WENDLEBURY PARISH COUNCIL RISK ASSESSMENT 2018/19 – DRAFT

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the Parish Council to identify any and all potential inherent risks. The Parish Council, based on a recorded assessment, will take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible.

This document has been produced to enable Wendlebury Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

The Parish Council will review all risks annually and annotate actions.

FINANCIAL AND MANAGEMENT

Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Precept	Adequacy of precept in order for the Council to carry out its Statutory duties	L	To determine the precept amount required, the Council regularly receives budget update information. At the precept meeting Council will receive a budget report, including actual position and projected position to the end of year and indicative figures or costings obtained by the Clerk. With this information the Council will map out the required monies for standing costs and projects for the following year and applies specific figures to budget headings, the total of which is resolved to be the precept amount to be requested from Cherwell District Council. The figure is submitted by the Clerk in writing. The Clerk informs the Council when the monies are received.	Existing procedure adequate

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Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Budget Provision and Reserves	Insufficient available funds	M	A full budget needs to be submitted prior to the Precept request. This should include funds placed in reserve for future projects, a contingency fund and three months' running costs.	
Financial Records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations which sets out the requirements. Internal Auditor and appointment of a Councillor responsible for Internal Financial Control	Review the Financial Regulations when necessary Appoint a Councillor annually with Internal Control responsibility
Bank and banking	Inadequate checks Bank mistakes Cheque mistakes Credit references	L L L L	The Council has Financial Regulations which set out the banking requirements. A monthly reconciliation is completed by the Clerk. Cheques to be written by the Clerk following inspection of the invoices and signed by two Councillors on production of the Payment Schedule agreed at the PC Meeting. Cheque, cheque stub, invoice and schedule to be signed or initialled. The Bank performs credit references on cheque signatories.	The procedures will be adequate Existing procedure adequate Existing procedure adequate Existing procedure adequate
Reporting and auditing	Information communication	L	Financial information is a regular agenda item (Finance Report) and discussed/reviewed and approved at each meeting.	Existing procedure adequate
Grants	Receipt of grant	L	Parish Council receives the grass cutting grant from OCC. Clerk to ensure received by August	New procedure devised
Charges-rents receivable	Payment of rents	L	The Parish Council receives the peppercorn rent from the Village Hall which is invoiced by the	Existing procedure adequate

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Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
			Clerk. The Parish Council receives allotment rents once the tenants have received their renewal letters.	
Grants and support payable	Power to pay Authorisation of Council to pay	L	All such expenditure goes through the required Council process of approval, minuted and listed accordingly if a payment is made using S137 powers of expenditure.	Existing procedure adequate
Best value accountability	Work awarded Incorrectly Overspend on services	L M	Normal Parish Council practice would be to seek, if possible, at least three quotations for any substantial work to be undertaken. For major work competitive tenders would be sought. If problems encountered with a contract the Clerk would investigate the situation and report to the Council.	Existing procedure adequate Procedure in Financial Regulations adequate
Salaries and assoc. costs	Salary paid incorrectly	L	Salary cheque agreed and signed at PC meeting with the information supplied by the Payroll Accountant.	Existing procedure adequate
	Unpaid Tax to Inland Revenue	L	Tax amounts (if any) arranged by payroll administrators and paid by cheque, agreed and signed at PC meeting.	Existing procedure adequate
Employees	Fraud by staff	L	Requirements of Fidelity Guarantee insurance adhered to with regards to fraud.	An internal financial control system is advised
	Health and safety	L	All employees (currently the Clerk) to be provided adequate direction and safety equipment needed to undertake their roles.	Monitor health and safety requirements and insurance annually
	Clerk resignation / sickness	L	Councillors may act in a temporary capacity at nil pay. Provision needs to be made for pension / retirement gratuity. Contingency required for	Existing procedure adequate

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Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
			advertising, sickness cover etc	
VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out the requirements. The Council has no requirement for charging VAT.	Reclaim should be undertaken annually
Annual Returns	Submit within time limits	L	Employers Annual Return is completed and submitted online with the prescribed time frame by payroll administrators.	Existing procedure adequate
	Submit within time limits	L	External Audit Annual Return completed and signed by the Internal Auditor and then completed and signed by the Chairman and Clerk / RFO before 30 June and published on the website. If the PC payments and receipts fall below £25,000 the PC may agree that there is no need for a Limited Assurance Review and that Exemption is acceptable; the Certificate of Exemption must be completed and sent to the External Auditor by 30 June. All paperwork must still be completed and published whether or not it is sent to the External Auditor. The PC may still have a Limited Assurance Review (recommend every three years) and the paperwork must be completed and sent to the External Auditor and published on the website in the usual way.	New procedures for year end 2017/18

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Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
	Public Inspection of Documents	L	By appointment only, at the Village Hall. For the safety of the Clerk, the Public are welcome to inspect documents, but in the Village Hall with another Councillor present.	
Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved at full Council Meetings, including reference to the power used under the Finance section of agenda and Finance report monthly.	
Minutes/agendas/ Notices Statutory Documents	Accuracy and legality	L	Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements including publishing on the Agenda and Minutes section of the Parish Council website (wendleburypc.org.uk). Minutes are approved and signed at the next Council meeting.	Existing procedures adequate
	Standing Orders and Financial Regulations	L	Adopted in June 2016 and reviewed annually	Standing Orders to be updated
Minutes/agendas/ Notices Statutory Documents cont…	Business conduct	L	Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair	Members adhere to Code of Conduct
Councillors	Losing a Councillor	L	When a vacancy arises there is a legal process to follow which leads to either a by-election or a co-option process. The more usual is a co-option which starts with an advert, acceptance of applications, consideration of applicants and co-	Existing procedures adequate including a separate Councillor Vacancy Policy

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Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
			option vote at a Council meeting. The Council tries to draw members from around the Parish to make sure each area is represented.	
	Losing more than four Councillors to make the Council inquorate	M	If there are more than four vacancies at any one time, the Council becomes inquorate and the District Council will take over the running of the Council (at the Village's expense).	Procedures of Cherwell District Council are adequate
Election Costs	Risk of an election cost	L	Risk is higher in an election year, but there has never been an election in the village in living memory. However, this is no guarantee that it will not happen so the Council will set aside a sum each year to a maximum of £1,600 in case of an election (currently set at £1,200).	Existing procedure will be adequate for the four yearly elections but inadequate in the unlikely event of a by-election
Members interests and Code of Conduct	Conflict of interests	L	Declarations of interest by members at Council meetings.	Existing procedures adequate
	Code of Conduct	L	Code issued by CDC, adopted in June 2012 and issued to each Councillor on election to office	
	Register of members' interests	M	Register of members' interests forms completed at election to office and reviewed regularly	Members take responsibility to update register with an annual reminder from the Clerk
Insurance	Adequacy	L	An annual review is undertaken of all insurance arrangements. Employer, Employee and volunteer Liabilities Insurance a necessity and within policies.	Existing procedure adequate. Insurance reviewed annually.
	Cost	L		
	Compliance	L	Ensure compliance measures are in place.	
	Fidelity Guarantee	M	Fidelity checks in place.	
Data protection	Policy provision	L	The Parish Council is registered with the	Ensure annual renewal of

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			Information Commissioner and has a Data Protection Policy (adopted July 2017).	registration
Freedom of Information	Policy	L	The Council has a Model Publication scheme in place. To date there have been no requests under FOI.	Monitor any requests made under FOI
	Provision	M	The Parish Council is aware that if a substantial request came in it could create a number of additional hours work. ~~The Parish Council can request a fee to supplement the extra hours.~~	
Document Retention	Policy	L	The Parish Council adopted a Document Retention Policy in March 2018	Existing procedure adequate

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PHYSICAL EQUIPMENT OR AREAS

Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Assets	Loss or damage	L	An annual review of assets is undertaken for insurance provision.	Existing procedures adequate
	Risk/damage to third party (ies) property	L		
Maintenance	Poor performance of assets or amenities	L	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for any repair is actioned/authorised in accordance with the correct procedures of the Parish Council. Assets are insured.	Existing procedures adequate
Notice Board	Risk of damage	L	The Parish Council currently has one notice board which is insured. It will be checked by Councillors / the Clerk when posting notices.	Existing procedures adequate
Street Furniture	Risk of damage	L	The Parish Council is responsible for one bench by the letter box, three dog bins, one litter bin and the Milestone. No formalised programme of inspections is carried out, but all reports of damage or faults are reported to the council and / or dealt with.	Existing procedures adequate
Village Hall Land	Risk of Damage	L	The Parish Council owns the land on which the Village Hall is built for which a peppercorn rent is paid.	
	Health and Safety	M		

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Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Meeting locations	Adequacy	L	Parish Council meetings are held in a venue considered to have appropriate facilities for the Clerk, members and the general public.	Existing procedures adequate
	Health and Safety	M		
Council records – paper	Loss through: Theft Fire damage	 L M L	The Parish Council records are stored at the home of the Clerk and in the Village Hall. Records include historical correspondences, minutes, insurance, bank records.	Damage (apart from fire) and theft is unlikely and so provision is adequate. The Clerk will be investigating disposal of some records to the County Record Office.
Council records – electronic	Loss through: Theft, fire damage	L	The Parish Council electronic records are stored on the Clerk's laptop held with the Clerk at her home. The data is constantly backed up to OneDrive in the Cloud and a physical backup is taken regularly. Sophos antivirus is also used.	
	or corruption of computer	M		

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THINGS WHICH ARE THE RESPONSIBILITY OF OTHER GROUPS WITHIN THE VILLAGE

Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Village Hall	Damage to Village Hall	M	Insurance cover for building, employees, trustees and public liability	Responsibility of Village Hall Committee
Playground	Damage to play equipment	M	Insurance cover in place	Responsibility of Village Hall Committee
	Regular Inspections	M	Annual ROSPA inspection and report carried out. Regular visual inspections should be undertaken	Responsibility of Village Hall Committee
Churchyard and burial ground	Regular inspections including headstones and logbook kept	L		Responsibility of Churchwardens

Adopted at a meeting on x

To be reviewed in May 2019