

Knowstone Parish Council Risk Assessment

June 2018

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 enables Knowstone Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

FINANCIAL AND MANAGEMENT

Subject	Risk(s) indentified	H/M/L	Management/control of Risk	Review/Assess/Revise
Precept	Adequacy of precept for the Council to carry out its Statutory duties	L	<p>To determine the precept amount required, the Council regularly receives budget updates, financial statements and bank reconciliations from the Clerk.</p> <p>At the precept meeting Council receives 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 maps 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 Devon County Council. The figure is then submitted by the Clerk in writing. The Clerk informs the Council when the monies are received.</p>	Existing procedure adequate.
Financial Records	Inadequate records Financial irregularities	L	The Council has draft Financial Regulations, due to be adopted on 24.04.18, that sets out the requirements.	Financial Regulations to be reviewed annually
Bank and banking	Inadequate checks Banks mistakes	L L	<p>The Council has draft Financial Regulations which set out banking requirements</p> <p>Monthly reconciliation</p>	Existing procedure adequate

Reporting and auditing	Inadequate information and communication	L	Financial information is a regular agenda item (Finance Report) and discussed/reviewed and approved at each meeting.	Existing procedures adequate.
Grants	Failure to understand, seek, secure and spend grant	L	Regular financial reporting to the Parish Council by the Clerk	Existing procedures adequate
Charges – rents receivable	Non-payment of rents	L	The Parish Council does not presently collect rents	Procedure would be formed if required
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.	L	Normal Parish Council practice would be to seek, if possible, more than one quotation for any substantial work to be undertaken.	Existing procedure adequate.
	Overspend on services.	M	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.	Include when reviewing Financial Regulations
Salaries and assoc. costs	Salary paid incorrectly. Unpaid Tax to Inland Revenue.	L L	KPC has one employee, the Clerk, who submits money timesheet to Chairman. Salary is calculated using HMRC software and reported to HMRC online	Existing procedure adequate.
Employees	Fraud by staff	L	Requirements of Fidelity Guarantee insurance adhered to with regards to fraud.	Existing procedures adequate.
	Health and safety	L	All employees to be provided adequate direction and safety equipment needed to undertake their roles	Monitor health and safety requirements and insurance annually.
VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out the requirements.	Existing procedures adequate

Annual Return	Submit within time limits	L	Annual Return is completed and submitted within the prescribed time frame by the Clerk. Annual Return completed and signed by the Council, submitted to internal auditor for completion and signing, then checked and sent to External Auditor within time frame.	Existing procedures adequate.
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.	Existing procedures adequate and covered by the KPC Standing Orders
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. Minutes are approved and signed at the next Council meeting. Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair	Existing procedures adequate.
	Business conduct	L		Members adhere to Code of Conduct and Standing Orders
Members interests	Conflict of interests Register of members interests	L	Declarations of interest by members at Council meetings.	Existing procedures adequate.
		M	Register of members' interest's forms reviewed regularly.	Members take responsibility to update register.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L	An annual review is undertaken of all insurance arrangements.	Existing procedure adequate. Insurance reviewed annually.
		L	Employers and Employee liabilities a necessity and within policies.	
		L	Ensure compliance measures are in place.	
		M	Fidelity checks in place.	
Data protection	Policy provision	L	The Parish Council is registered with the Data Protection Agency.	Renew annually
	Data breaches			

		M	Physical data stored in locked filing cabinet; electronic data on password protected devices; all councillors to have separate council email account. Data Protection policy to be written & adopted.	Review annually when policy drawn up & adopted
Freedom of Information	Policy Provision	L	To date there has been no requests under FOI. 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	Monitor any requests made under FOI.
		M		Review the situation annually.
PHYSICAL EQUIPMENT OR AREAS				
Assets	Loss or damage, Risk/damage to third party (ies) property	L L	An annual review of assets is undertaken for insurance provision and audit purposes	Existing procedures adequate
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 Boards	Risk of damage	L	The Parish Council currently has 3 notice boards. No formal inspection procedures are in place but any reports of damage or faults are reported to the Parish Council and dealt with in accordance of the correct procedures of the Council.	Existing procedures adequate
Meeting locations	Adequacy of Health & Safety	L M	The Parish Council meeting is held in a venue considered to have appropriate facilities for the Clerk, members and the general public.	Existing procedures adequate
Council records – paper	Loss through: <ul style="list-style-type: none">• Theft• Fire• Damage	L M L	The most recent Parish Council records are stored at the home of the Clerk in a fire proof lockable filing cabinet & in archives at the Parish Hall. Records include historical correspondence, minutes, insurance, and bank records. The documents in the Parish Hall are stored in	Existing provision is adequate.

			lockable cabinets.	
Council records – electronic	Loss through: Theft, fire damage or corruption of external drive	L M	The Parish Council electronic records are stored on a council owned laptop which is password protected and kept at the Clerk's home. Backups of electronic data are regularly made to the cloud.	Existing procedures considered adequate
Planning applications	<ol style="list-style-type: none"> 1. Missing opportunity to comment/slow response 2. Personal safety during site visits 	L	<ol style="list-style-type: none"> 1. KPC to nominate specific Cllr from the committee to oversee planning applications impacting Knowstone parish 2. Cllrs aware of the need to ensure their own personal safety and to wear appropriate PPE whenever relevant and necessary 	Existing procedures considered adequate