

## WHIXLEY PARISH COUNCIL RISK ASSESSMENT

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 necessary steps to reduce or eliminate the risks, insofar as is practically possible.

This document has been produced to enable Whixley 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) 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 receives formal budget update information at its bi-monthly meetings. 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 Responsible Financial Officer (RFO). 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 Harrogate Borough Council. The figure is submitted by the RFO in writing. The RFO informs the Council when the monies are received.	Existing procedure adequate.
Financial Records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations which sets out the requirements.	Existing procedure adequate Review the Financial regulations as necessary
Bank and banking	Inadequate checks Banks mistakes	L L	The Council has Financial Regulations which set out banking requirements. Monthly reconciliation of statements by RFO.	Existing procedure adequate Existing procedure adequate
Reporting and auditing	Information communication	L	Financial information is a standing agenda item (Finance Report) and discussed/reviewed and approved at each meeting.	Existing procedures adequate.
Grants	Receipt of grant	L	Parish Council does not presently receive any regular grants.	Procedure would be formed, if required

Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Charges-rents receivable	Payment of rents	L	The Parish Council collects Allotment & Garage rents in April each year. All holders have signed agreements and rent income is reviewed every two years.	Existing procedure adequate
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, more than one quotation for any substantial work to be undertaken. For major work competitive tenders would be sought. If problems encountered with a contract the RFO would investigate the situation and report to the Council.	Existing procedure adequate. Include when reviewing Financial regulations.
Salaries and associated costs	Salary paid incorrectly. Unpaid Tax to Inland Revenue.	L L	A financial statement is shared with the full council at each meeting which details expenditure, income and anticipated transactions for the coming month. RFO open to questions from all members. Whixley Parish Council members able to view financial records at any time by arrangement with RFO.	Existing procedure adequate. Include when reviewing Financial regulations.
Employee(s)	Fraud by staff  Health and safety	L  L	Requirements of Fidelity Guarantee insurance adhered to with regards to fraud.  Employee(s) to be provided with adequate direction and safety equipment needed to undertake their roles	Existing procedures adequate. 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	Employers Annual Return is completed and submitted online with the prescribed time frame by the RFO in consultation with payroll services body.  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 at each scheduled meeting.	Existing procedures adequate

Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
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.  Members adhere to Code of Conduct
	Business conduct	L		
Members interests	Conflict of interests Register of members interests	L M	Declarations of interest by members at Council meetings. Register of members interests forms reviewed regularly.	Existing procedures adequate. Members take responsibility to update register.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity and within policies. Ensure compliance measures are in place. Fidelity checks in place.	Existing procedure adequate. Insurance reviewed annually.
Data protection	Policy provision	L	The Parish Council is not currently required to be registered with the Data Protection Agency.	Ensure annual review of registration position.
Freedom of Information	Policy Provision	L M	The Council has a Model Publication scheme in place. 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.

### PHYSICAL EQUIPMENT OR AREAS

Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Assets	Loss or damage Risk/damage to third party (ies) property	L	An annual review of assets is undertaken for insurance provision.	Existing procedures adequate
		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

Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Notice Board	Risk of damage	L	The Parish Council currently has three 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 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: theft fire damage	L M L	The Parish Council records are stored at the home of the Clerk. Records include historical correspondences, minutes, insurance, bank records. The documents are stored in a lockable room and in the attic.	Damage (apart from fire) and theft is unlikely and so provision is adequate.
Council records – electronic	Loss through: Theft, fire damage or corruption of computer	L M	The Parish Council electronic records are stored on the clerk's laptop at his home. Back-ups of electronic data to various sites are made at regular intervals.	Existing procedures considered adequate.
Litter-picking	Potential injury to volunteers during litter picking.	L	High-visibility vests, industrial gloves and litter-pickers are provided to minimise risk	Existing procedures considered adequate.

This Risk Assessment adopted by Whixley Parish Council on: 17<sup>th</sup> January 2012 Reviewed: 17th May 2016

Signed by Chairman:

