

## Parton Parish Council Risk Assessment

### Introduction:

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the employer to identify any and all potential risks inherent in the place or practices. Based on a recorded assessment the employer should then should take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible. Making sure that all employees are aware of the risk assessment.

This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. In conducting this exercise the following plan was followed:

- Identify the areas to be reviewed
- Identify what the risk may be.
- Identify the level of risk
- Evaluate the control of the risk
- Review, assess or action as required.

Finance and Management				
Subject	Risk	Level (H/M/L)	Control	Recommendation
Business Continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	L	All files and recent records are kept at the clerk's home. The clerk makes regular back ups of files to an external hard drive . In the event of the clerk being indisposed the chairman to contact CALC for a locum clerk and support.	Existing procedures adequate. Review periodically.
Precept	Adequacy of Precept	L	The council reviews the budget estimates for the coming year, together with the projected reserves from the current year. The precept amount is calculated from these figures with an allowance for 3-6 months of reserves to be retained at all times.	Existing procedure adequate.
Financial Records	Inadequate records Financial Irregularities	L L	The Council has financial regulations that set out the requirements.	The existing procedure is adequate, but the financial regulations should be reviewed periodically
Bank and Banking	Inadequate checks Bank errors Cheque writing errors	L L L	The financial regulations set out the requirements for checking statements and writing cheques etc. There have been no known bank errors, but theses would be discovered when checking the statement.	The existing procedure is adequate. Bank signatory list should be reviewed at least annually
Finance and Management				

Subject	Risk	Level (H/M/L)	Control	Recommendation
Cash	Loss or theft	L	The Council does not handle cash	Review if position changes
Reporting and Auditing	Information Communication Compliance	L M	Budgets are monitored and reported. Cash balances and bank reconciliation reports are presented at every meeting.	Existing procedures are adequate.
Direct Costs Overheads Debts	Goods not supplied but billed. Incorrect Invoicing	L L	The financial regulations set out the procedures. Invoices are presented to the council when a list of payments for approval is submitted.	Existing procedures are adequate.
Best Value Accountability	Work awarded incorrectly. Overspend on services	L M	As per the financial regulations, Council seeks a number of quotes where possible, particularly for any substantial work.	Existing procedures adequate, review financial regulations regularly.
Salaries and associated costs	Salary or Tax paid incorrectly	L	The clerk's salary and tax are calculated by HMRC software. The payslip and cheques are presented to Council for approval at each meeting.	Existing procedures adequate
Election Costs	Risk of an election cost	M	Risk is higher in a normal election year. The Council make an annual contribution into a reserve to cover these costs.	Existing procedure adequate
VAT	Risk of failing to reclaim	L	The financial regulations set out the procedure. The budget review would indicate the omission	Existing procedures adequate
Annual Returns	Submitting within time limits	L	The employer's annual return is submitted online. The accounts are always kept up to date and will be ready for submission to auditors within days of year end.	Existing procedures adequate
Council papers/records	Theft, fire or damage	L M	The Council's recent records are stored at the home of the clerk, including minutes, personnel and insurance records. More historic records are archived with Copeland Borough Council.	Copies of important documents, such as deeds, should be kept off site. The council may consider purchasing a second electronic storage device so that regular back ups may be left with a councillor for safe keeping.
Insurance	Adequacy Cost Compliance	L	An annual review is undertaken before renewal. Best value is sought.	Existing procedure is adequate
Data Protection	Data Breach	L	The council only holds a handful of names and contact details where we are in correspondence with individuals. The individuals are not listed in a data base format so the risk of any breach is minimal. Annual registration with the ICO is now paid by direct debit so cannot	Existing procedures are adequate

			be missed.	
Freedom of Information Act Enquiries	Cost of response	M	The Council has taken measures to eliminate vexatious requests by introduction of a policy.	Review what charges can be made and under what circumstances.
Meeting Location	Adequacy Health and Safety	L	Currently meetings are held in the Village Hall. This is a spacious building with its own risk assessments, insurance etc in place.	Review if location changes
<b>Assets</b>				
<b>Subject</b>	<b>Risk</b>	<b>Level (H/M/L)</b>	<b>Control</b>	<b>Recommendation</b>
Street Furniture	Loss or damage	M	These may be subject to vandalism. This will be taken into consideration with the insurance review	Ensure adequate insurance cover
Play Area & Equipment	Damage Injury	M M	Some items are currently in need of repair. They are inspected annually to comply with insurance requirements.	To ensure a regular schedule of maintenance is in place.
<b>Liability</b>				
<b>Subject</b>	<b>Risk</b>	<b>Level (H/M/L)</b>	<b>Control</b>	<b>Recommendation</b>
Legal Powers	Illegal Activity or payments	L	All activities and payments are made within the powers of the parish council. They are resolved and minuted.	Existing Procedures adequate
Minutes/Agendas/Statutory Documents	Accuracy and legality	L	Minutes and the agenda are produced by the clerk in the prescribed method and adhere to legal requirements. Minutes are approved and signed at the next council meeting. They are displayed according to the legal requirements.	Existing Procedures adequate
Public Liability	Risk to third party, property or individuals	L	Insurance is in place. Risk assessments are carried out where activities take place.	Ensure risk assessment is carried out for any council activity.
Employer Liability	Non compliance with employment law Staff Health & Safety	L L	If in doubt Council to seek advice from CALC  The only risk to the clerk is from display screen equipment, but as she works limited hours this is not significant.	Existing Procedures adequate

Date carried out: May 2023