

RIDLINGTON 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 practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible. This document has been produced to enable Ridlington Parish Council to assess the risks that it faces and to satisfy itself that it has taken adequate steps to minimise them.

Subject	Risks identified	H/M/L	Management/control of risk	Review/Assess/Revise
Precept	Adequacy of the precept in order for the Council to carry out its Statutory duties Failure to honour precept level	L M	To determine the precept amount required the Council receives budget update information quarterly. 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 the budget headings, the total of which is resolved to be the precept amount to be requested from Rutland County Council. The figure is submitted by the Clerk in writing. The Clerk informs the Council when the monies are received.	Existing procedure is adequate
Financial records	Inadequate records and financial irregularities	L	The Council has Financial Regulations which sets out the requirements.	Existing procedure adequate. The Regulations are reviewed when necessary
Bank and Banking	Inadequate checks Bank mistakes	M	The Council has Financial Regulations which set out banking requirements. Quarterly reconciliation with Clerk's Report.	Existing procedure adequate
Reporting and auditing	Inadequate Information communication	L	Financial information is a regular agenda item (Finance Report) and discussed/reviewed and approved at each meeting. There is an annual external Audit signed off plus regular updated internal Audit in May. Chairman's diarising check on Clerk.	Existing procedure adequate
Grants	Receipt of grant	L	Parish Council does not presently receive any regular grants	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. Overspend on services	L M	Normal Parish Council practice is 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 were to be encountered with a contract the Clerk would investigate the situation and report to the Council.	Existing procedure adequate. Include when reviewing Financial regulations
Councillors	Fraud by same Health and safety	L L	Requirements of Fidelity Guarantee Insurance adhered to with regard to fraud. Councillors provided with adequate direction and safety equipment needed to undertake their roles.	Existing procedure adequate Monitor health and safety requirements and insurance annually
VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out the requirements.	Existing procedure adequate
Annual Return	Failure to submit within time limit	L	Annual Return is completed and signed by the Council, submitted to internal Auditor for completion and signing then checked and sent to External Auditor within time frame. The Annual Return is completed and submitted online in the prescribed time frame by the Clerk.	Existing procedure adequate
Legal powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council are resolved at Full Council Meetings, including reference to the power used under the Finance section of agenda and Finance Report quarterly.	Existing procedure adequate
Minutes/agendas/ Notices/Statutory Documents	Accuracy and legality Business conduct	L L	Minutes and agenda are produce 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.	Existing procedure adequate. Councillors adhere to the Code of Conduct

Councillors' interests	Conflict of interests Register of Councillors' interests	L M	Declarations of interest by Councillors at meetings. Registers of Councillors interest forms reviewed regularly.	Existing procedure adequate. Councillors take responsibility to update register and to notify changes at each Council meeting.
Insurance	Adequacy and Cost Compliance Fidelity Guarantee	L L M	An annual review is undertaken of all insurance arrangements. Compliance procedures in place. Fidelity checks in place. Clerk reports annually.	Existing procedure adequate
Data Protection	Policy provision	L	The Parish Council is registered with the Data Protection Agency.	Ensure annual renewal of registration.
Freedom of Information	Policy provision	L M	The Council has a Model Publication scheme in place. To date there have been no requests under FOI. The Parish Council is aware that if a substantial request came in it would 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
Assets	Loss or damage Risk/damage to third party (ies) property	L L	An annual review of assets is undertaken for insurance provision.	Existing procedure 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 authorised/actioned in accordance with the correct procedures of the Parish Council. Assets are insured.	Existing procedure adequate
Notice Board	Risk of damage	L	The Parish Council currently has one notice board. 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 with the correct procedures of the Council.	Existing procedure adequate

Meeting locations	Adequacy Health and Safety	L M	The Parish Council meetings is held in a venue considered to have appropriate facilities for the Clerk, Councillors and general public.	Existing procedure adequate.
Council records - paper	Loss through: Theft Fire Damage	L M L	Records are stored at the home of the Clerk. Records include historical correspondence, minutes, insurance, bank records. The documents are stored in a locked garage.	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	Where appropriate, Council records are held electronically at the Clerk's home. These are duplicates of documents referred to above. Backups of electronic data are made at regular intervals.	Existing procedures considered adequate.
Transparency	Failure to comply with requirements	M	The Council have complied with the Transparency Act in that it has registered a domain name and has created a website.	Existing procedure adequate
	Loss of data	M	Records are stored at the home of the Clerk	
	Data Protection	L	The council is not required to register with the Data Protection Agency	

Date: 7th November 2016

By: Peter Richards

Review date: September 2017