



## Duffield Parish Council Risk Assessment 2016

### Notes

**“The greatest risk facing a local authority is not being able to deliver the activity or services expected of the Council.”**

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 take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible. Making sure that all employees are made aware of the results 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.
- Evaluate the management and control of the risk and record all findings.
- Review, assess and revise if required.

<b>FINANCIAL AND MANAGEMENT</b>				
<b>Topic</b>	<b>Risk</b>	<b>H/M/L</b>	<b>Management/control of risk</b>	<b>Review/Assess/Revise</b>
Business Continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	L	Areas of concern-Clerk and Assistant Clerks separate roles. Both share information and train each other in their separate roles. Office Manual being prepared-contains guide to calculating wages, Pension, Tax; VAT summary, diary of milestones etc etc. Everyone trained on Unity Trust bank process. Relief Staff available to undertake Village Warden and Cemetery Superintendent Role. Clerk can take funerals. Office Manual has guide to funerals.	Finalise Office Manual
Precept	Adequacy of precept	L	To determine the precept amount required, the Parish Council regularly receives budget update information and the precept is an agenda item at Full Council. At the Precept meeting Council receives a budget update report, including actual position and projected position to end the year and indicative figures or costings obtained by the Clerk.	Existing procedure adequate
	Requirements not submitted to Borough Council	L	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 the Borough Council. This figure is submitted by the Clerk in writing to the Borough Council.	
	Amount not received by Parish Council	L	The Clerk informs Council when the monies are received (approx May time).	
Financial Records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations which set out the requirements. Recently revised to allow for Unity trust online banking.	Existing procedure adequate. Review the Financial Regulations annually.
Bank and Banking	Inadequate checks Bank mistakes Loss Charges	L L L L	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts. The bank may make occasional errors in processing cheques which are discovered when the Assistant Clerk	Existing procedure adequate. Review the Financial Regulations annually and bank signatory list when necessary, especially after

			reconciles the bank accounts once a month when the statement arrive, these are dealt with immediately by informing the bank and awaiting correction.	an AGM and an election. Monitor the bank statements monthly.
Cash	Loss through theft or dishonesty	L	The Council has Financial Regulations which set out the requirements. Cash received is banked within 3 banking days. There is no petty cash or float. Process implemented to check on cash received for funerals etc.	Existing procedure adequate. Review the Financial Regulations and cemetery procedures annually.
Reporting and Auditing	Information communication	L	All payments are authorised at Full Council. A list is produced and published as a report to Full Council. All approved payments are listed in the Full Council minutes. Budget reports are brought to SFGP Committee and published. In addition Cllrs can check on line at any point the Councils bank account with Unity Trust.	Existing communication procedures adequate.
	Compliance	L	Council should regularly audit internally to comply with the Fidelity Guarantee.	Six monthly checks are undertaken-see Internal Audit Report.
Direct costs Overhead expenses Debts	Goods not supplied but billed	L	The Council has Financial Regulations which set out the requirements.	Existing procedure adequate. Review the Financial Regulations annually.
	Incorrect invoicing	L	At each Council meeting the list of invoices awaiting approval is reported and considered.	
	Payment incorrect	L	One Councillor is nominated to check each invoice against the payments and associated paperwork and initials the invoices. Council approves the list of requests for payment.	
	Loss of stock	L	The Council has minimal stock, these are checked and monitored by the Clerk.	
	Unpaid invoices	L	Unpaid invoices to the Council for services are pursued and where possible, payment is obtained in advance.	

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 the S137 power of expenditure.	Existing procedure adequate.
Grants - receivable	Receipts of Grant	L	The Parish Council does not presently receive any regular grants. One off grants would come with terms and conditions to be satisfied.	Procedure would need to be drafted, if required.
Charges – rentals payable	Payments of charges, leases, rentals	L	The Parish Council has a licence to occupy the Weston Centre for its office-and rents the centre for meetings - invoices payable for the rental amounts will be/are entered into the normal payment system for authorisation.	Existing procedure adequate.
Charges – rentals receivable	Receipt of rental	L	Recreational use - The Clerk issues an agreement for usage and the invoice. Both parties sign the agreement and the Parish Council copy is held in Parish Council records. The payment is received and banked. The Parish Council is notified accordingly. Cemetery Field-license is signed, invoice issued and payment made. Allotments, all holders are subject to a license, fee is increased annually, invoices sent and payments received. Cemetery Chapel-License signed. Fee is commensurate with electricity use. The Parish Council pays and recharges the Church.	Existing procedure adequate. Review agreement and fees annually. Ensure payment and copy of insurance document received.
	Insurance implication	M	All hirers/license holders/leasees arrange own insurance and provide a copy to the Parish Council each year.	Clerk to request copies
Best value	Work awarded incorrectly	L	Financial Regulations and Standing Orders provide for process to appoint/contract. Six monthly check on contracts and appointments undertaken as part of internal audit and reported to annual Council. In addition, if a problem is encountered with a contract the Clerk would investigate the situation, check the quotation/tender, research the problem and report to Council.	Existing procedure adequate.
Accountability	Overspend on services	L		

Salaries and associated costs	Salary paid incorrectly Wrong hours paid Wrong rate paid False employee Wrong deductions of NI or Tax Unpaid Tax & NI contributions to the Inland Revenue	L L L L L L	The Parish Council authorises the appointment of all employees together with starting SCP. SCP are assessed annually at SFGP in June each year. Salary analysis and slips are produced by the Assistant Clerk monthly together with a schedule of payments to the Inland Revenue (for Tax and NI). These are inspected at Full Council meetings and signed off. The Tax and NI is worked out using an Inland Revenue computer programme updated annually. All Tax and NI payments are submitted in the Inland Revenue Annual Return. Each employee has a contract of employment and job description. All contracts of employment contain a section on overpayment and recoup.	Existing appointment and payment system is adequate.
Employees	Loss of key personnel  Fraud by staff  Actions undertaken by staff  Health & Safety	L  L  L  L	See above.  The requirements of the Fidelity Guarantee insurance to be adhered to with regards to Fraud.  The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role.  The Village Warden/Cemetery Superintendent should be provided with adequate direction and safety equipment needed to undertake the roles, ie. protective clothing and training.	Existing procedure adequate.  Membership of the DALC.  Monitor working conditions, safety requirements and insurance regularly.
Councillor allowances	Councillors over-paid Income tax deduction	L	Same allowances paid annually. Letter from HMRC that no Income tax deductible. Procedure in place. Clerk and Assistant Clerk diary publication requirement and on Year Planner.	Existing procedure adequate
Election costs	Risk of an election cost	L	Risk is higher in an election year. When an election is due the Clerk will obtain an estimate of costs from the Borough Council for a full election and an uncontested election.	Existing procedure adequate

			There are no measures which can be adopted to minimise the risk of having a contested election as this is a democratic process and should not be stifled. Budgeted for.	
VAT	Re-claiming/charging	L	The Council has Financial Regulations which set out the requirements	Existing procedure adequate
Annual Return	Submit within time limits	L	Employer's Annual Return is completed and submitted online and to the Inland Revenue within the prescribed time frame by the Assistant Clerk.  Annual Return is completed and signed by the Council, submitted to the internal auditor for completion and signing then checked and sent on to the External Auditor within time limit.	Existing procedures adequate
Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved and minuted at Parish Council Meetings, including a reference to the power used. Six monthly check as part of internal audit procedure. Any issues the Clerk will report to Full Council.	Existing procedures adequate
Minutes/Agendas/Notices Statutory Documents	Accuracy and legality	L	Minutes and Agendas are produced in the prescribed method by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Minutes and Agendas are displayed according to the legal requirements.	Existing procedure adequate. Guidance/training to Chair should be given (if required).
	Business conducted	L	Business conducted at Council meetings should be managed by the Chair.	Members to adhere to Code of Conduct.
Members interests	Conflict of interest	L	Although not a requirement, the declaring of interests by members at a meeting should be an obvious process to remind Councillors of their duty and should remain on the agenda.	Existing procedure adequate.
	Register of Members interests	L	Register of Members Interest forms should be reviewed annually by Councillors. On year Planner. On Full Council Agenda every December.	Members take responsibility to update their Register.

Insurance	Adequacy	L	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Employers and Employee liability insurance is a necessity and must be paid for. Ensure compliance measures are in place. Ensure Fidelity checks are in place.	Existing procedure adequate.
	Cost	L		Review insurance provision annually.
	Compliance Fidelity Guarantee	L M		Review of compliance.
Data protection	Policy Provision	L	The Council is registered with the Information Commissioner and pays £35 annually to keep the registration up to date. Date entered onto Year Planner.  The Council has up to date DPA policy and records retention and destruction policy.	Existing Procedures Adequate  New policy and procedure required for CCTV
Freedom of Information Act	Policy  Provision	L  M	The Council has adopted the model publication scheme. All information required to be published is published on the Council's web site.  There have been no substantial/lengthy requests for information to date but the Clerk is aware that if a substantial request arrives then this may require many hours of additional work. The Council is able to request a fee if the work will take more than 15 hours but the applicant also has the right to re-submit the request broken down into sections, thus negating the payment of a fee.	Monitor and report any impact of requests made under the FOI Act.

<b>PHYSICAL EQUIPMENT OR AREAS</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/control of risk</b>	<b>Review/Assess/Revise</b>
Assets	Loss or Damage Risk/damage to third party(ies)/property	L L	An annual review of assets is undertaken for insurance provision, storage and maintenance provisions.	Existing procedure adequate.
Maintenance	Poor performance of assets or amenities  Loss of income or performance  Risk to third parties	L  L  L	<p>All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for these repairs are actioned/authorised in accordance with the correct procedures of the Parish Council.</p> <p>Changing Rooms-The Village Warden undertakes weekly, monthly tests on the hot water system in the changing rooms and regular checks on the fitness of the building itself. Any issues are reported to the Clerk and actioned. The checks are reported to Recreational Committee. An annual Water Safety report is commissioned. The report is reported to Recreational Committee and recommendations followed.</p> <p>Gray Rec Childrens Play area-The Village Warden undertakes weekly checks of the equipment and reports any issues to the Clerk. The Clerk has delegated authority o incur up to £5k spend to rectify any issues. These reports are copied for Recreational Committee. The Council commissions an annual RoSPA inspection of the play area and the report is presented to Recreational Committee and recommendations actioned.</p> <p>Cemetery Grounds-Headstones. The Council has implemented a Gravestone safety check and policy to lay memorials flat that are a danger. All staked headstones</p>	Existing procedure adequate. Ensure inspections carried out.



			<p>have now been laid.</p> <p>Tree survey was undertaken last year. Urgent remedial work has been undertaken. None urgent work to be scheduled.</p> <p>All assets are insured and reviewed annually.</p> <p>All public amenity land is inspected regularly by parish employees.</p>	
Notice boards	<p>Risk/damage/injury to third parties</p> <p>Road side safety</p>	<p>L</p> <p>L</p>	<p>Parish Council has 5 no of notice boards sited around the village.</p> <p>All locations have approval by relevant parties, insurance cover, inspected regularly by the Clerk - any repairs/maintenance requirements brought to the attention of the Parish Council. Keys held by the Clerk.</p> <p>New notice board on Eyes Meadow.</p>	<p>Existing procedure adequate.</p> <p>Remove meadow Vale Notice Board - Not used.</p>
Street furniture	Risk/damage/injury to third parties	L	<p>The Parish Council is responsible for 11 no. seats, 7 no bus shelters and 0 no bike hoops around the village and covered by insurance. The Village Warden inspects regularly and reports damage or faults to the Clerk which are dealt with.</p> <p>2 new shelters being installed</p> <p>Council is to replace inappropriate or damaged shelters. DCC to aid funding.</p>	Existing procedure adequate.
Meeting location	Adequacy Health & Safety	<p>L</p> <p>L</p>	<p>The Parish Council Meetings are held at the Weston Centre and The Cemetery Meeting room.</p> <p>The premises and the facilities are considered to be adequate for the Clerk, Councillors and Public who attend from Health and Safety and comfort aspects.</p>	Existing locations adequate.

Council records – paper	Loss through: theft fire damage	L M L	The Parish Council records are stored at the Weston Centre and the Cemetery Meeting Room. Records include historical correspondence, minute books and copies, leases for land or property, records such as personnel, insurance, salaries etc. Recent materials are in a (metal filing cabinet (not fire proof)) at the Weston Centre, older documents at the Cemetery Meeting Room and minutes and agendas over 6 years old at the Derbyshire Records Office.	Damage (apart from fire) and theft is unlikely and so provision adequate.  A copy of the Office Copies, leases and licences are saved to the Councils One drive.  Minutes are uploaded onto web site.
Council records - electronic	Loss through: Theft, fire, damage corruption of computer	M	The Parish Council's electronic records are stored on the Clerks computer. Back-ups of the files are taken at regular intervals to One Drive.	Considered adequate.
Events	Injury to third parties, damage to facilities etc	M	Fire works display-Risk Assessment undertaken separately  Remembrance Parade- Risk Assessment undertaken separately  Other events-non Council-Carnival, Music Festival etc-licence requires risk assessment, insurance cover etc.	Consider adequate

26 April 2016