Congham 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. Based on a recorded assessment the Parish Council will take all practical and necessary steps to reduce or eliminate the risks, as far as is practically possible.
This document has been produced to enable Congham 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 regularly receives budget update information. At the Precept meeting Council receives an 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 the Borough Council of King's Lynn & West Norfolk. This figure is submitted by the Clerk in writing. The Clerk 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 set out the requirements.	Existing procedure adequate. Review the Financial Regulations when necessary.
Bank and Banking	Inadequate checks Bank mistakes	L L	The Council has Financial Regulations which set out banking requirements. Monthly reconciliation.	Existing procedure adequate. Existing procedure adequate.

Reporting and Auditing	Information communication	L	Financial information is a regular agenda item and discussed/reviewed and approved at each meeting.	Existing procedures 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 the S137 power of expenditure.	Existing procedure adequate.
Grants - receivable	Receipt 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 be formed, if required.
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 Clerk would investigate the situation and report to Council.	Existing procedure adequate. Include when reviewing Financial Regulations.
Salaries and associated costs	Salary paid incorrectly Unpaid Tax to Inland Revenue	L L	Salary rates are assessed annually and applied on 1 April each year. Salary slips are produced monthly together with a schedule of payments to the Inland Revenue (for Tax and NI). These are inspected at the Council meetings and signed off.	Existing appointment and payment system is adequate.
Employees	Fraud by staff Health & Safety	L L	Requirements of Fidelity Guarantee insurance 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.	Existing procedure adequate. Membership of SLCC/Norfolk ALC. Monitor health and safety requirements and insurance regularly.
VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out the requirements.	Existing procedure adequate.
Annual Return	Submit within time limits	L	The Annual Return is completed and submitted within the prescribed time frame by the Clerk. The Annual Return is completed and signed by the Council, submitted to the internal auditor for completion and signing then checked and sent on to 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 at Full Parish Council Meetings, including a reference to the power used.	Existing procedures adequate.
Minutes/Agendas/Notices Statutory Documents	Accuracy and legality Business conduct	L L	Minutes and agenda 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 agenda are displayed according to the legal requirements. Business conducted at Council meetings should be managed by the Chair.	Existing procedure adequate. Members to adhere to Code of Conduct.
Members interests	Conflict of interest Register of Members interests	L M	Declaration of interests by members at Council meeting. Register of Members Interest forms reviewed regularly.	Existing procedure adequate. Members take responsibility to update their Register.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken of all insurance arrangements. 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. Review insurance provision annually. Review of compliance.
Data protection	Policy Provision	L	The Council is registered with the Data Protection Agency	Ensure annual review of registration.
Freedom of Information Act	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 arrives then this could create a number of additional hours work. The Parish Council can request a fee to supplement the extra hours.	Monitor and report 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 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 these repairs are actioned/authorised in accordance with the correct procedures of the Parish Council. All assets are insured.	Existing procedure adequate.
Notice boards	Risk of damage	L	The Parish Council has 2 notice boards. Any reports of damage or faults are reported to the Parish Council and dealt with in accordance of the correct procedures of Council. Keys held by the Clerk.	Existing procedure adequate.
Meeting location	Adequacy Health & Safety	L M	The Parish Council meetings are held at the Anvil Inn. The premises and the facilities are considered to be adequate for the Clerk, Councillors and Public.	Existing location adequate.
Council records – paper	Loss through: theft fire damage	 L M	The Parish Council records are stored at the home of the Clerk. Records include historical correspondence, minutes, insurance, bank records. The documents are stored in a lockable cabinet.	Damage (apart from fire) and theft is unlikely and so provision adequate.
Council records - electronic	Loss through: Theft, fire damage or corruption of computer	 L M	The Parish Council's electronic records are stored on the Clerks computer. Back-ups of the files are taken at regular intervals.	External Hard Drive back-up of electronic files produced each month.