

## Claybrooke Magna Parish Council

### Risk Assessment

A risk assessment is an examination of working conditions, workplace activities and environmental factors to enable the Parish Council to identify any potential risks. The Parish Council will undertake take all necessary steps to reduce or eliminate the risks which are identified as far as practically possible. This document will identify any risks and document the steps taken to eliminate or reduce them.

| AREA | RISK | LEVEL OF RISK<br>H/M/L | CONTROLS | REVIEW |
|------|------|------------------------|----------|--------|
|------|------|------------------------|----------|--------|

| FINANCIAL RISKS          |   |   |  |   |
|--------------------------|---|---|--|---|
| <b>Precept</b>           | Inadequacy of precept so the Council unable to carry out its Statutory duties | L | To determine the precept amount required, the Council regularly receives budget update information. At the annual precept meeting, the Council receives a budget report from the Clerk, including actual and projected position to the end of year. This information allows the Council to decide the required monies which is submitted to Harborough District Council. The monies are received in two halves and the Clerk informs the Council when the monies are received. | Existing procedures are documented and comply with Financial Regulations and to safeguard public money. |
| <b>Financial Records</b> | Inadequate records, financial irregularities                                  | L | The Council has Financial Regulations which determine the procedures.  | Financial records comply with Regulations. These Regulations to be regularly reviewed.                  |

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| <b>Bank and banking</b>          | Inadequate checks of bank statements leading to loss of funds             | L | <p>The Council has Financial Regulations which set out banking requirements.</p> <p>No cash is handled. Current account insured and covered by FTA Regulations.</p> <p>Monthly reconciliations of accounts take place and are submitted to the Council. Bank statements received monthly.</p> | Existing procedure complies with Financial Regulations.                    |
| <b>Reporting and auditing</b>    | Information not communicated. Audit not successful                        | L | Financial information is an agenda item of every Council meeting. Payments, receipts and bank reconciliations are discussed and approved by the members. Accounts are audited internally annually by a competent person.  | Existing procedure complies with Financial Regulations.                    |
| <b>Receiving Grants</b>          | Non -receipt of grant   | L | The Council has Financial Regulations which set out requirements and procedures for receiving grants  | Existing procedure complies with Financial Regulations.                    |
| <b>Paying Grants</b>             | Authorisation to pay not received. Grant not valid.                       | L | All proposed grants are approved by Council and minuted before any payment is made.   | Existing procedure complies with Financial Regulations.                    |
| <b>Best value accountability</b> | Contract/order awarded Incorrectly resulting in an overspend on services. | M | The Council has Financial Regulations which set out requirements and procedures for both regular revenue payments and capital items.  | Existing procedure adequate. Include when reviewing Financial regulations. |
| <b>Salaries and assoc. costs</b> | Salary paid incorrectly. Unpaid Tax to Inland Revenue.                    | L | All salary and associated payments approved by Council meeting and completed by external accountant. Payments to HMRC are paid quarterly.   | Existing procedures are adequate.  |

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| <b>VAT</b>   | Reclaiming not completed  | L | The Council has Financial Regulations which set out the requirements. VAT reclaimed regularly, at least every 3 years..   | Existing procedures adequate  |
| <b>Annual Return</b>                                 | Not submitted within time limits  | L | Annual Return is completed and signed by the Council, submitted to internal auditor for completion and signing within time frame as stated in Financial Regulations   | Existing procedures adequate.   |
| <b>Legal Powers</b>                                  | Illegal activity or payments  | L | All activity and payments within the powers of the Parish Council are resolved at full Council Meetings and minuted. All minutes available on website.  | Existing procedures adequate  |
| <b>Minutes/agendas/ Notices Statutory Documents`</b> | Not carried out accurately or legally   | 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 following Council meeting by the Chair. Master copy of the agenda and minutes kept in a safe place.<br><br>Agenda published according to legal requirements. Business conducted at Council meetings are managed by the Chair | Existing procedures adequate.<br><br>Members adhere to Code of Conduct                                |
| <b>Members interests</b>                             | Conflict of interests Register of members interests forms not completed or abused | L | Declarations of interest stated at every meeting by members. Register of members' interests forms reviewed every 4 years, after election or changed if necessary.   | Existing procedures adequate. Members take responsibility to update their register of interests form. |
| <b>Insurance</b>                                     | Not adequate/ too expensive   | L | An annual review is undertaken of all insurance arrangements to ensure correct cover at best price.   | Existing procedure adequate.  |

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| <b>Data protection</b>         | Policy in place   | L      | The Parish Council is exempt from paying the fee to the Data Protection Agency but adheres to its Data Protection Policy  |  |
| <b>Freedom of Information</b>  | Policy in place   | L      | The Council will react as necessary to requests. To date there have been no requests under FOI. Procedure in place.   | Monitor any requests made under FOI                                |
| <b>ASSETS AND EQUIPMENT</b>    |   |        |   |  |
| <b>Assets</b>                  | Loss or damage to assets or third party property                      | L      | An annual review of assets is undertaken for insurance purposes. Assets covered by insurance annually.  | Existing procedures adequate                                       |
| <b>Maintenance</b>             | Poor maintenance of assets or amenities<br>Unsafe work by contractors | L<br>L | All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for any repair or maintenance is authorised in accordance with the procedures of the Parish Council. Assets are insured. Proper procedures followed in tender documents, risk assessed prior to work being undertaken.<br><br>Public liability insurance in place. | Existing procedures adequate                                       |
| <b>Council records – paper</b> | Loss through theft, fire or damage                                    | L      | Current Parish Council records are stored at the home of the Clerk. Historical correspondences, minutes, insurance, and bank records are stored in a locked room. The Clerk holds electronic copies of agendas, minutes and other documentation.  | Damage (apart from fire) is unlikely and so provision is adequate. |
| <b>Website</b>                 | Out of date. Hacked by third party                                    | L      | Clerk ensures the content is updated following each meeting.  | Existing procedures considered adequate                            |

| <b>PERSONAL RISKS</b>                                |  |   |   |                              |
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| <b>Injury, death , malicious prosecution</b>         | Injury or death of employee or contractor; prosecution in connection with council business | L | Insurance reviewed annually to cover employee liability and public liability.   | Existing procedures adequate |
| <b>Negligent act or error by Councillor or clerk</b> | Putting Council reputation at risk   | L | Officials Indemnity Insurance reviewed as part of annual insurance  | Existing procedures adequate |
| <b>Libel/slander</b>                                 | Unsafe comments leading Council into disrepute   | L | All Councillors in receipt of Code of Conduct. Covered by insurance together with legal expense insurance.  | Existing procedures adequate |
| <b>Injury, death in playground</b>                   | Non supervision of children.   | L | All parishioners aware of dangers in playground. Playground inspected regularly and maintained. Annual RoSPA inspection takes place. Ensure all trip hazards are reduced. Undergrowth etc kept well maintained. |                              |

Reviewed and accepted by the Parish Council on 23rd May 2024; Annual Parish Meeting, minute 6