

Curbridge & Lew 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 CLPC to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

Subject	Risk(s) indentified	H/M/L	Management/control of Risk	Review/Assess/Revise
FINANCIAL AND MANAGEMENT				
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 December meeting, Council receives a budget report, including projected position to the end of the year. 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 precept amount to be requested from West Oxfordshire District Council is then resolved and minuted. The figure is submitted by the Clerk in writing.	Existing procedure adequate.
Financial Records	Inadequate records. Financial irregularities.	L L	The Council has Financial Regulations which sets out the requirements.	Financial Regulations reviewed annually.
Bank and banking	Inadequate checks. Bank mistakes.	L L	The Council has Financial Regulations which set out banking requirements. Accounts are reconciled on a monthly basis.	Existing procedure adequate.
Reporting and auditing	Information communication.	L	Financial information is a regular agenda item (Finance Report) and	Existing procedure adequate.

			discussed/reviewed and approved at each meeting. Expenditure is minuted for transparency.	
Grants	Receipt of grant.	L	Parish Council does not presently receive any regular grants.	
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.	L	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 as per Standing Orders. Projects to be budgeted before implementation. If problems encountered with a contract the Clerk would investigate the situation and report to the Council.	Existing procedure adequate.
	Overspend on services.	M		
Salaries and assoc. costs, (PAYE)	Salary paid incorrectly.	L	Monthly Standing Order set up for Clerk's & Cleaner's pay which can only be amended with 3 councillor signatures. Yearly increment is included in the budget. HMRC cheques signed by 3 councillors. HMRC PAYE system is in place.	Existing procedure adequate.
	Unpaid Tax to Inland Revenue.	L		
Employees	Fraud by staff.	L	Three separate signatures are required for cheques. Clerk checks all paying-in to the Bank; recorded and reconciled. All employees to be provided adequate direction and safety equipment needed to undertake their	Existing procedure adequate.
	Health and Safety.	L		

			roles.	
VAT	Reclaiming/charging.	L	The Council has Financial Regulations that set out the requirements. Claims are made in June by RFO. Income reported to Council and minuted.	Existing procedure adequate.
Annual Return	Submit within time limits.	L L	HMRC Employers Annual Return is completed and submitted online within the prescribed time frame by the Clerk. Annual Return completed and signed by the Council, submitted to internal auditor for completion and signing then checked and sent to External Auditor within time frame.	Existing procedure adequate.
Legal Powers	Illegal activity or payments.	L	All activity and payments within the powers of the Parish Council to be resolved at Council meetings.	Existing procedure adequate.
Minutes/Agendas/ Notices/Meetings/Statutory Documents	Accuracy and legality, business conduct.	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 next Council meeting. Agenda displayed according to legal requirements. Agenda and Minutes posted on Village web site. Business conducted at Council meetings should be managed by the Chair.	Members adhere to Code of Conduct. Members adhere to Standing Orders. Standing Orders reviewed annually.
Web site	General public posting notices themselves or providing inappropriate copy for publication	M	All information to be published has to come through the Clerk and the web master (currently the Chairman), who makes all changes	Review should the web master change
Members interests	Conflict of Interest. Register of Members'	L	Standard agenda item. Councillors to declare interests at the start of each	

	Interests.	M	meeting. Register of members interests forms reviewed regularly.	Members take responsibility to update register.
Insurance	Adequacy. Cost. Compliance.	L L L	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity and within policies.	
Freedom of Information	Policy. Provision.	L M	The Council has a Model Publication scheme in place. The Parish Council is aware that if a substantial request came in it could 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.
Clerk Business Continuity	Loss of Clerk, Council unable to function.	M	Contact OALC.	
PHYSICAL EQUIPMENT OR AREAS				
Assets	Loss or damage.	L	An annual review of assets is undertaken for insurance provision.	
Well Lane Play Area	Injury to users.	M	Playground inspected monthly by both the PC Chairman and by WODC, both produce reports. Inspected annually by ROSPA, again with a report.	Existing procedure adequate.
Parish Hall	Damage to buildings and fabric. Injury to users.	L M	Electrical Safety Inspection July 2015. Annual fire extinguisher check. Warning signs, as needed, in place. Defibrillator installed Nov 2014.	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 in accordance with the correct procedures. Assets are	

			insured.	
Notice Boards	Risk of damage.	L	The Parish Council currently has two notice boards. 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 of the correct procedures of the Council.	
Meeting locations	Adequacy, Health & Safety.	L	The Parish Council meeting is held in a venue considered to have appropriate facilities for the Clerk, members and the general public. Keys are held by more than one person and one set is kept by the Clerk.	
Council records - paper	Loss through theft, fire, damage.	L	The Parish Council records: historical correspondences, minutes, insurance, bank records are stored in the Parish Hall. More recent kept at the Clerk's home.	
Council records - electronic	Loss through theft, fire damage or corruption of computer.	L M	The Parish Council electronic records are stored on an external hard drive with the Clerk at home.	Existing procedures considered adequate.

Note: Lord Kitchener Field subject to separate Risk Assessment.

February 2017