

## Welton Parish Council Risk Assessment

review date: Meeting July 2021  
next review December 2021

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable Welton Parish Council (WPC) to identify all potential inherent risks. WPC, 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 WPC 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, WPC regularly receives budget update information monthly. At the precept meeting, WPC 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 WPC 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 West Northants Council. The figure is submitted by the Clerk in writing. The Clerk informs WPC when the monies are received.	Existing procedure adequate.

	Precept not received	L	WPC to build unallocated reserves of approximately 50% of annual precept.	Existing procedure adequate
Financial Records	Inadequate records Financial irregularities	L L	The Council have Local Government Financial Regulations that set out the requirements.	Existing procedure adequate Review the procedure in line with any changes in the financial regulations when necessary
Bank and banking	Inadequate checks Banks 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 (Finance Report), discussed/reviewed, and approved at each meeting. A monthly report is also placed on the WPC web site.	Existing procedures adequate.
Grants	Grant not received.	L	WPC has adequate reserves to cover any grant shortfall.	Procedure would be formed and implemented, if required
Charges-rents receivable	Payment of rents	L	WPC has contracts in place for rental of land which are reviewed annually and has adequate reserves to cover any rent shortfall.	Existing procedure adequate
Grants and support payable	Power to pay Authorisation	L	All such expenditure goes through the required Council process of approval, minute 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 would be to seek, if possible, more than one quotation for any substantial work to be undertaken. For major work, competitive tenders are sought. If problems encountered with a contract the Clerk would investigate the situation and report to the Council.	Existing procedure adequate. Include when reviewing Financial regulations.

Salaries and assoc. costs	Salary paid incorrectly. Unpaid Tax to Inland Revenue.	L  L	Salaries included in monthly accounting package, which also includes PAYE payments.	Existing procedure adequate
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Employees	<p>Fraud by staff</p> <p>Health and safety</p>	<p>L</p> <p>L</p>	<p>Requirements of Fidelity Guarantee insurance adhered to concerning fraud.</p> <p>All employees to be provided adequate direction and safety equipment needed to undertake their roles.</p>	<p>Existing procedures adequate.</p> <p>Monitor health and safety requirements and insurance annually.</p>
VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out the requirements.	Existing procedures adequate
Annual Return	Submit within time limits	L	<p>Employers Annual Return are completed and submitted online with the prescribed period by the Clerk.</p> <p>Annual Return completed and signed by the Council, submitted to internal auditor for completion and signing.</p> <p>WPC is an exempt council and therefore does not have to make submissions to an external auditor.</p>	WPC 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 Council Meetings, including reference to the power used under the Finance section of agenda and Finance report monthly.	Existing procedures adequate
Minutes/agendas/ Notices Statutory Documents`	<p>Accuracy and legality</p> <p>Business conduct</p>	<p>L</p> <p>L</p>	<p>Minutes and agenda are produced in the prescribed manor by the Clerk and adhere to the legal requirements.</p> <p>Minutes are approved and signed at the next Council meeting.</p> <p>Agenda displayed according to legal requirements.</p> <p>Business conducted at Council meetings should be managed by the Chair.</p>	<p>Existing procedures adequate.</p> <p>Members adhere to Code of Conduct</p>
Members interests	Conflict of interests	L	Declarations of interest by members at Council meetings.	Existing procedures adequate.

	Register of members interests	M	Register of member's interests forms reviewed regularly.	Members take responsibility to update register.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity and within policies. Ensure compliance measures are in place. Fidelity checks in place.	Existing procedure adequate. Insurance reviewed annually.
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. The Parish Council is aware that if a substantial request came in it could create a number of additional hours work. The Parish Council publish on the website that they can request a fee to cover the additional hours of work.	Monitor any requests made under FOI
<b>Physical Equipment or Areas</b>				
Assets	Loss or damage Risk/damage to third party property.  Play equipment.	L  M	An annual review of assets is undertaken and recorded for insurance provision.  Regular inspections carried out by volunteers/Annual Professional Inspection.	Existing procedures adequate.  A requirement of insurance. PL cover currently £10 million.
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 actioned/authorised in accordance with the correct procedures of the Parish Council.	Existing procedures adequate

Notice Boards	Risk of damage	L	WPC currently has three notice boards. No formal inspection procedures are in place but any reports of damage or faults are reported to WPC and dealt with in accordance of the correct procedures of the Council.	Existing procedures adequate
Meeting locations	Adequacy Health & Safety	L M	WPC meetings are held in a venue considered to have appropriate facilities for the Clerk, members and to provide access to the public.	Existing procedures adequate
Council records – paper	Loss through: Theft Fire damage	L M L	The Parish Council records are stored at the clerk’s residence. Records include historical correspondences, minutes, insurance, and bank records.	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	The Parish Council electronic records since 2000 are stored and backed up to the cloud separately.	Existing procedures considered adequate