

FRINGFORD PARISH COUNCIL RISK ASSESSMENT 2017/18 - DRAFT

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 Fringford 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	<p>To determine the precept amount required, the Council regularly receives budget update information.</p> <p>At the precept meeting Council 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 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 Cherwell District Council. The figure is submitted by the Clerk in writing.</p> <p>The Clerk informs the Council when the monies are received.</p>	Existing procedure adequate

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Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Financial Records	Inadequate records	L	The Council has Financial Regulations which sets out the requirements.	Existing procedure adequate
	Financial irregularities	L	Internal controls implemented so a Councillor has responsibility for checking all accounts.	Review the Financial regulations when necessary Appoint a Councillor annually with Internal Control responsibility
Bank and banking	Inadequate checks	L	The Council has Financial Regulations which set out banking requirements.	Existing procedure adequate
	Bank mistakes	L	Monthly reconciliation by the Clerk.	Existing procedure adequate
Reporting and auditing	Information communication	L	Financial information is a regular agenda item (Finance Report) and discussed/reviewed and approved at each meeting.	Existing procedures adequate.
Grants	Receipt of grant	L	Parish Council does not presently receive any regular grants.	Procedure would be formed, if required
Charges-rents receivable	Payment of rents	L	The Parish Council receives the peppercorn rent from the Village Hall Committee.	Procedure may need updating
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. If problems encountered with a contract the Clerk would investigate the situation and report to the Council.	Existing procedure adequate
	Overspend on services	M		Procedure in Financial Regulations adequate

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Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Salaries and assoc. costs	Salary paid incorrectly	L	Fixed salary paid by Standing Order with the amount agreed at a regular meeting	
	Unpaid Tax to Inland Revenue	L		
Employees	Fraud by staff	L	Requirements of Fidelity Guarantee insurance adhered to with regards to fraud.	Existing procedures adequate
	Health and safety	L	All employees (currently the Clerk) to be provided adequate direction and safety equipment needed to undertake their roles.	Monitor health and safety requirements and insurance annually
VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out the requirements.	Existing procedures adequate
Annual Return	Submit within time limits	L	Employers Annual Return is completed and submitted to HMRC online with the prescribed time frame by the Clerk. External Audit 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 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

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Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Minutes/agendas/ Notices Statutory Documents	Accuracy and legality	L	Minutes and agenda are produced in the prescribed manor by the Clerk and adhere to the legal requirements including publishing on the Parish Council section of the Village website (Fringford.info). Minutes are approved and signed at the next Council meeting.	Existing procedures adequate.
	Business conduct	L	Agenda displayed (including on the village website) according to legal requirements. Business conducted at Council meetings should be managed by the Chair	Members adhere to Code of Conduct
Councillors	Losing a Councillor	L	When a vacancy arises there is a legal process to follow which leads to either a by-election or a co-option process. The more usual is a co-option which starts with an advert, acceptance of applications, consideration of applicants and co-option vote at a Council meeting.	Existing procedures adequate including a separate Councillor Vacancy Policy
	Losing more than five Councillors to make the Council inquorate		If there are more than five vacancies at any one time, the Council becomes inquorate and the District Council will take over the running of the Council (at the Village's expense).	Procedures of Cherwell District Council are adequate

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Election Costs	Risk of an election cost	L	Risk is higher in an election year, but there has never been an election in the village in living memory. However, this is no guarantee that it will not happen so the Council sets aside a sum to a current maximum of £1,600 in case of an election.	Existing procedure is adequate for the four yearly elections but inadequate in the unlikely event of a by-election
Members interests	Conflict of interests	L	Declarations of interest by members at Council meetings.	Existing procedures adequate
	Register of members' interests	M	Register of members' interests forms reviewed regularly.	Members take responsibility to update register with an annual reminder from the Clerk
Insurance	Adequacy	L	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.
	Cost	L		
	Compliance	L		
	Fidelity Guarantee	M		
Data protection	Policy provision	L	The Parish Council is registered with the Information Commissioner.	Ensure annual renewal of registration
Freedom of Information	Policy	L	The Council has a Model Publication scheme in place. To date there has been one request under FOI in the past three years.	Monitor any requests made under FOI
	Provision	M	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.	

PHYSICAL EQUIPMENT OR AREAS				
Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Assets	Loss or damage	L	An annual review of assets is undertaken for insurance provision.	Existing procedures adequate
	Risk/damage to third party (ies) property	L		
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. Assets are insured.	Existing procedures adequate
Notice Board	Risk of damage	L	The Parish Council currently has two notice boards (one for Parish Council business, one public) and are insured. The Clerk checks them when posting notices.	Existing procedures adequate
Street Furniture	Risk of damage	L	The Parish Council is responsible for a bus shelter, 3 timber seats and 5 dog bins. No formalised programme of inspections is carried out, but all reports of damage or faults are reported to the council and / or dealt with.	Existing procedure adequate
Playground	Risk of Damage	L	The Parish Council is responsible for the playground. An annual ROSPA inspection is undertaken.	Existing procedure adequate
	Health and Safety	M		
Meeting locations	Adequacy	L	The Parish Council meeting is held in a venue considered to have appropriate facilities for the Clerk, members and the general public.	Existing procedures adequate
	Health and Safety	M		
Council records –	Loss through:		The Parish Council records are stored at the	Damage (apart from fire) and

PHYSICAL EQUIPMENT OR AREAS				
Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
paper	Theft Fire Damage	L M L	home of the Clerk and in the cupboard in the Chinnery Room of the Village Hall. Records include historical correspondences, minutes, insurance, bank records.	theft is unlikely and so provision is adequate.
Council records – electronic	Loss through: Theft, fire damage	L	The Parish Council electronic records are stored on the Clerk’s laptop held with the Clerk at her home. The data is constantly backed up to CrashPlan in the Cloud and a physical backup is taken weekly.	Existing procedures considered adequate
	or corruption of computer	M		

Adopted at a meeting on