East Budleigh & Bicton Parish Council

Risk Assessment

DRAFT

2018 Edition

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 East Budleigh & Bicton 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	M	To determine the precept amount required, the Council regularly receives budget update information monthly. 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 East Devon District Council. The figure is submitted by the Clerk in writing. The Clerk informs the	Existing procedure adequate.

			Council when the monies are received.	
Financial Records	Inadequate records Financial irregularities / fraud / litigation	M M	The Council has Financial Regulations which set out the requirements. Suitable record keeping to ensure adherence to 'Smaller Authorities (Transparency Requirements) (England) Regulations 2015'.	Review Financial Regulations annually. Review electronic controls.
Bank and banking	Inadequate checks Banks mistakes	L L	The Council has Financial Regulations which set out banking requirements. Monthly reconciliation	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. Publications in accordance with 'Smaller Authorities (Transparency Requirements) (England) Regulations 2015'.	Existing procedures adequate. Review online publication of financial and other management information.
Grants	Receipt of grant. Missing grant opportunities	L	Parish Council does not presently receive any regular grants. Seek grant opportunities to maximise income, where appropriate.	Procedure would be formed, if required
Grants and support payable	Power to pay Authorisation of Council to pay	L	All such expenditure goes through the required Council process of approval and is minuted and listed accordingly.	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	Existing procedure adequate. Include consideration when reviewing Financial regulations.

			would be sought. If problems encountered with a contract the Clerk would investigate the situation and report to the Council. Produce clear, accurate and comprehensive specification of work requirements to minimise risk of overspend.	
Employees	Health and safety Adequate skill set	L L	All employees to be provided adequate direction and safety equipment needed to undertake their roles. All activities are risk assessed before commencing. Relevant training made available as required.	Existing procedures adequate. 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 Compliance	L M	Annual Governance and Accountability Return (AGAR) is completed and submitted online within the prescribed time frame by the Clerk. AGAR completed and signed by the Council, submitted to internal auditor for completion and signing then checked and sent to External Auditor within time frame. AGAR and other annual reports published in accordance with 'Smaller Authorities (Transparency Requirements) (England) Regulations 2015'.	Existing procedures adequate. Financial Regulations and Standing Orders fully comply.
Governance	Illegal activity or payments (Operating Ultra Vires)	M M	All activity and payments within the Council's statutory functions, powers and obligations to be resolved at full Council Meetings, including reference to the power used under the	Existing procedures adequate. The General Power of Competence to extend the range of expenditure, is not applicable to the Council currently. Review annually.

	Risk of litigation or claim or reputational damage		Finance section of agenda and Finance report monthly. Expenditure beyond the stated powers must comply with S. 137 of the Local Gov't Act 1972 and be within the budget available. Adherence to Statute, 'Proper Practice', 'Best Practice' and the Council's Code of Conduct, Standing Orders, Financial Regs, Risk Register, Data Protection / FOI and other documented policies. Chair provides good leadership and Members act responsibly and as a team. All Members adequately trained.	
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. Minutes are approved and	Existing procedures adequate.

			signed at the next Council meeting.	
Members interests	Conflict of interests Register of members interests	L L	Declarations of interest by members at Council meetings. Register of members interests forms reviewed regularly.	Existing procedures adequate. 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. Ensure compliance measures are in place.	Existing procedure adequate. Insurance reviewed annually.
Data protection / Retention of data & records	Policy provision	L	The Parish Council is registered with the Data Protection Agency. Policies in place in accordance with statutory requirements and national standards.	Ensure annual renewal of registration. Produce website policy & procedure for GDPR and for Data / Records Retention.

Freedom of Information / Publication Scheme	Policy provision	L	A substantial FOI request could create many additional hours work. Minimise this work potential by publication online and use of Publication Scheme. Policies in place in accordance with statutory requirements and national standards. All persons associated with council business to have separate 'open' council email addresses.	Monitor any requests made under FOI. Produce website policy & procedure for FOI and for Publication Scheme.

PHYSICAL EQUIPMENT OR AREAS

Assets	Loss or damage Risk/damage to third party property	L L	An annual review of assets is undertaken for insurance provision. Register / Inventory checked and updated. Assets inspected for Health & Safety checks.	Existing procedures adequate. Annual review

Maintenance/ Recreation Field / Car Park & Toilets	Poor performance of assets or amenities Claim against the council for damages	L M	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. Public liability cover is in place and has been checked with the insurers. The Recreation Ground is regularly inspected by councillors and parishioners. Any complaints are reported to the Landlord and are dealt with by them or where possible, by the parish council. The car park and toilets are regularly inspected and any issues raised with the council.	Existing procedures adequate. Carry out annual risk assessment for car park / toilets and recreation ground.

Notice Boards	Risk of damage	L	No formal inspection procedures are in place but any reports of damage are faults are reported to the Parish Council and dealt with in accordance of the correct procedures of the Council.	Existing procedures adequate
Meeting locations	Adequacy Health & Safety	L 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
Council records – paper	Loss through: Theft Fire Damage	 L M L	The Parish Council records are stored at the home of the Clerk. Records include historical correspondences, minutes, insurance, bank records. The documents are stored in a lockable cabinet and in the attic. Important documents to be held in a fire proof cabinet and / or online.	Damage (apart from fire) and theft is unlikely and so provision is adequate. Produce records retention policy.
Council records – electronic / website	Loss through: Theft, fire damage or	 L M	The Parish Council electronic records are stored on the Council	Existing procedures considered adequate. Produce online records

	corruption of computer		laptop held with the Clerk at their home. Backups of electronic data are made at regular intervals. Full backup to be held off site or in the 'cloud'. Adherence to full security standards as set down in Financial Regulations (virus, firewall, password / PIN control, electronic transactions etc)	retention policy.
Flooding	Adequacy of control and prevention procedures	M	Nominated councillor appointed to lead and liaise with other local relevant parties (Environment Agency, Emergency Services, Emergency Planning, OVA, Devon Communities Resilience Forum (DCRF). Maximise grant opportunities (e.g. DCRF). Neighbourhood Plan inclusive of flood risk and control / prevention	Review annually. P7 Chapter 8 trained person vacancy. Review Neighbourhood Plan.

			measures together with forward planning.	
Liaison with external bodies	Adequacy of engagement	L	Co-ordinate and liaise as appropriate with all relevant external bodies including (but not exclusively): HM Gov't bodies, EDDC, DCC, Villages / Parishes Together, Devon Communities Resilience Forum, OVA, CDE, Emergency Services, EA and EBBPC local groups.	Review annually
Defibrillator	Operationally unfit for purpose	H	Insurance in place. Equipment regularly checked and maintained in full working order. Training provided.	Procedures established.
Events	Appropriate measures for local council organised events.	L	Risk assessment for each event, including Health & Safety risks. Appropriate insurance in place, including any contractor's insurance (when deployed).	Review any shortcomings following the event for future avoidance.

Footpaths	Injury when carrying out maintenance. Negligent reporting of risks to public.	L L	Insurance in place. Risk assessment for paths carried out particularly with regard to health and safety risks and any risk minimised, including reporting shortcomings to DCC and closure of path (by DCC) if required. Essential that all council equipment is properly maintained and regularly checked in accordance with all health and safety guidelines. All employees (volunteers) must have undertaken the required training and been provided with the correct safety and personal protection equipment.	P3 training in place and existing procedures adequate.

This risk management paper was considered by the Full Council in November 2018 and will be reviewed annually.