**MAWSLEY PARISH COUNCIL RISK ASSESSMENT**

A Risk Assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable Mawsley Parish Council to identify any and all potential inherent risks. Mawsley Parish Council will take all practical and necessary steps to reduce or eliminate risks, in so far as is practically and reasonably possible. This document has been produced to enable Mawsley Parish Council to assess the risks it faces and satisfy itself that it has taken adequate steps to minimise them.

Rating A = Satisfactory, Rating B = Review Proposed, Rating X = Unsatisfactory

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|  | **Risks Identified** | **Management/Control** | **Rating** | **Review/Assess** | **Action By** |
| **Financial** | Inadequate records Financial Irregularities | The Parish Council uses Model Financial Regulations which set out the requirements. | A | Existing procedure adequate. Review May 2018. | Clerk /Council |
|  | Lack of commitment by Councillors to the budgetary process | Include regulations in Standing Orders issued to all Councillors. Place item on Agenda early in the year to remind Councillors of budget process and actions required. Involve all Councillors in budgetary process not solely the Clerk. | A | New procedure in place, budget timetable published. | Clerk /Council |
|  | Failure to ensure that the | Start consideration of budgetary process at least four | A | Existing procedure | Clerk/ Council |
| annual precept results from | months prior to submission date of Precept. Checks by |  | adequate. |  |
| an adequate budgetary | Clerk/RFO and supervising Councillor. |  |  |  |
| process. |  |  |  |  |

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|  | Inadequate internal controls with regard to monitoring expenditure | Internal Audit checks are carried out every three months by the Chairman to ensure effective financial management by Clerk/RFO. | A | Existing procedure adequate. | Clerk / Finance Working Party |
|  | Reserves too high/low | External Auditor advises reserve balance must not exceed the Precept. | A | Existing procedure adequate. | Council / External Auditor |
|  | Illegal activity or payments | All activity and payments within the powers of the Parish Council to be resolved at Council meetings, as per the Financial regulations | A | Ensure that the lease agreement is referred to when making TCAM maintenance payments. Confirm Power to Pay in cashbook. | Clerk Council |
|  | Fraud by Employees/ Councillors | Ensure level of Fidelity Insurance is adequate and review annually. | A | Review annually. | Clerk |
| **Business Continuity** | Incapacity/Absence of Clerk/ Resignation of Clerk | Designate a person to temporarily act as Clerk in an emergency. Creation of an operations manual by the clerk to ensure smooth handover in the event of immediate departure (such as ill health / death) | B | Designated person to be identified / operations manual to be produced | Council / Clerk |
|  | Loss or damage to Council records through theft/fire/ damage  Inability to access records | Minutes and Agendas are held on the Council's website. Paper copies held at Clerks home. Data Back-up is in the Cloud. | A | Existing procedure adequate. | Clerk |

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|  | Security of data (IT systems and support) | Confidential documents are stored at the Clerk’s home.  Any confidential documents no longer required are securely shredded. | A / B | Existing procedure adequate. | Clerk |
|  | Failure to retain or secure the necessary number of members for the Council | Clerk to maintain an up to date Councillor Attendance Register. Advertise for an election immediately a vacancy exists. Co-opt Members where no election is held. | A | Existing procedure adequate. | Clerk Council |
|  | Election costs | In an election year, estimated costs obtained from the Electoral Officer at KBC and included in the budget if insufficient reserves exist. In other years the Council will add a contingency in budget to meet possible by-election costs. | A | Existing procedure adequate. | Clerk / Council |
| **Legal** | Conflict of Interests  Members Register of Interests | Councillors are required to declare an interest in any item of business and this is recorded in the Minutes. Completed Register of Interests forms are submitted to the Monitoring Officer at KBC and regularly reviewed. Any change in a Councillor’s Register of Interests must be notified to the Clerk. | A | Existing procedure adequate. | Clerk / Council |
|  | Freedom of Information | The Council’s responsibility under the Freedom of Information act are detailed in the Standing Orders. | A / B | Monitor any requests made under FOI.  Create and adopt a specific FOI policy | Clerk |

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|  | Governing Policies not up to date | All Polices are reviewed annually by the Council and a check list is retained by the Clerk. | A/B | New Process | Clerk /  Council |
|  | Failure to ensure that all employees are paid in accordance with Council regulations and are adequately monitored. Failure to comply with Inland Revenue and HMRC regulations. | A Contract of Employment and Job Description is agreed upon appointment of the Clerk. Clerk pay is processed by an independent payroll company. No additional payment to the Clerk without Council approval. | A | Existing procedure adequate. | Clerk / Council / Internal Auditor |
| **Governance & Management** | Lack of knowledge of regulations and codes | Ensure that a Code of Conduct, Standing Orders and Financial Regulations are in place and are reviewed annually. Highlight essential parts and provide training where relevant. | A | Existing procedure adequate. | Clerk / Council |
|  | Action by the Parish Council outside its powers laid down by Parliament | Clerk to monitor relevant legislation and report to Council | A | Existing procedure adequate. | Clerk |
|  | Lack of commitment to regulations and procedures | Chairman and Clerk to review Council's meeting and operational procedures annually. | A | New Process | Clerk  Chairman |
|  | Notice of meeting | The meeting Agenda is placed on village noticeboards and on the Council's website and Facebook page giving the required notice of each meeting. Councillors to receive summons electronically or by post if requested. | A | Existing procedure adequate. | Clerk |

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|  | Approval of minutes | Minutes are approved at the next Meeting of the Council. Draft Minutes are forwarded to Councillors once complete. Minutes are displayed on the Council's website in draft form and replaced once approved by the Council if amended. | A | Existing procedure adequate. | Clerk / Council |
|  | Written communication to third parties | All formal written communication/emails should be directed through the Clerk and may be signed by the Chairman or Vice-Chairman when necessary. Letters to be on headed paper | A | New Process – clerk to create headed paper. | Clerk / Council |
|  | Engagement by Members in the operation and activities of the Parish Council | Take every opportunity to publicise the role of the Parish Council through the website and on social media. Public Open Forum Sessions are held at start of each Council meeting. Effective use of village noticeboards. Use key issues to raise the profile of the Parish Council and to test parishioners’ views. Councillors contact details are available on the website and the Village noticeboards. | A | Existing procedure adequate. | Council |
|  | Impact of Public spending cuts | All Councillors to be made aware that priorities must be set on the basis of the financial capacity of the Parish Council to deliver. Attend training where appropriate. | A | Existing procedure adequate. | Council |
|  | Lack of engagement by Councillors and Residents on major items of public interest | Ensure publicity through village noticeboards / website / other social media. | A | Existing procedure adequate. | Clerk Council |
|  | Lack of knowledge by Councillors on their role, responsibility and accountability | Delegate responsibility to one or two experienced Councillors to assist new Members. New councilors to attend ‘Off to a flying start’ course as a minimum. | A | Existing procedure adequate. | Clerk / Council |

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|  | Inadequate insurance cover for members and Clerk | Review Risk Assessment by including on Agenda of Parish Council meetings at least annually. Ensure a Risk Assessment is carried out for all new assets and appropriate insurance cover implemented. | A/B | New process. | Clerk Council |
|  | Failure to identify, value and maintain all assets of the Parish Council, and ensure that asset and investment registers are complete. | Record and maintain a record of all assets for which the Parish Council is responsible and include in the year end accounts. Annual review of asset register. Investment register not currently required. | A | Existing procedure adequate. | Clerk |
|  | Adoption and implementation of appropriate Government legislation | Clerk to have appropriate legislation available. Review liabilities and responsibilities periodically at Parish Council meetings and make the council aware of updates in relevant legislation. | A | Existing procedure adequate. | Clerk |
| **Assets and Property** | Loss of damage to Assets  Risk/damage to third party property | An annual review of any assets will undertaken for insurance purposes.  Regular risk checks around the Parish. | A | New Process | Clerk / Council |
|  | Poor maintenance of assets or amenities | 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 in the Council meetings. | A | Existing procedure adequate. | Council / Clerk |

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|  | Employment of Contractors | Any contracts awarded over £1000 to be subject to a tender exercise and decision made by council at a full council meeting. Clerk to ensure that all contractors hold sufficient public liability insurance and health and safety certificates. | A | Existing procedure adequate. | Council / Clerk |
|  | Damage to Noticeboards | The Parish Council use the noticeboard in the Village. Regular visual inspections are undertaken by the Clerk. Any damage or faults to be reported to the Parish Council. | A | Existing procedure adequate. | Clerk |
|  | Adequacy of meeting locations  Health & Safety | Parish Council meetings are held in TCAM which is a venue considered to have all the appropriate facilities for the Clerk, Councillors and the general public. Back up venue available if any issue means there will be a significant number of public there. | A/B | Existing procedure adequate. Back up plan in place | Clerk / Council |
|  | Bus Shelter may need to be removed to allow works to be carried out | Estimates for repair and replacement received. Money ringfenced for eventuality. | A | Existing procedure adequate. | Clerk |

Amended to add Bus shelter risk March 2018 – full review as below.

Signed ……B Littler….. Chairman of Mawsley Parish Council

Dated: 06/08/17