

## Rolleston Parish Council Risk Assessment

**“The greatest risk facing a local authority is not being able to deliver the activity or services expected of the Council.”**

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the employer to identify any and all potential risks inherent in the place or practices. Based on a recorded assessment the employer should then take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible, making sure that all employees are made aware of the results of the risk assessment.

This document has been produced to enable Rolleston Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. In conducting this exercise, the following plan was followed:

- Identify the areas to be reviewed.
- Identify what the risk may be.
- Evaluate the management and control of the risk and record all findings.
- Review, assess and revise if required.

FINANCE AND MANAGEMENT				
Topic	Risk	H/M/L	Management/control of risk	Review/Assess/Revise
Business Continuity	Risk of Council not being able to continue its business due to an unexpected circumstance	L	All files and recent records are kept at the Clerk’s home. In the event of the Clerk being indisposed, the Chair to collect the Parish Council’s laptop and supporting information to enable the Parish Council to continue its business.	Existing procedure adequate
Precept	Adequacy of precept Precept request not submitted to NSDC Lack of BPC reserves	L L M	The Council reviews the Precept requirement annually in November and December meetings. The Council reviews the presented budget information, including actuals and projected position to year end and estimates budgets for the next financial year. With this information, the Council agrees the precept amount to be requested from Newark and Sherwood District Council. This figure is submitted by	Existing procedure adequate

			<p>the Clerk in writing. The Clerk informs the Council when the monies are received.</p> <p>The Council reviews its current expenditure monthly to ensure it has adequate reserves to deal with an emergency</p>	
Financial Records	Inadequate records Financial irregularities	L L	<p>The Council has Financial Regulations which set out the requirements.</p> <p>Each year, the Council appoints an internal auditor to review processes and an external auditor when necessary.</p>	<p>Existing procedure adequate.</p> <p>Review the Financial Regulations when necessary.</p>
Bank and Banking	Inadequate checks Bank mistakes Loss	L L L	<p>The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts.</p> <p>Councillors have electronic access view Council Bank statements etc.</p>	<p>Existing procedure adequate.</p> <p>Review the Financial Regulations when necessary and bank signatory list when necessary.</p>
Reporting and Auditing	Information communication	L	<p>A bank reconciliation and payment sheet is produced regularly before each Council meeting with the agenda. This is reviewed and approved at each meeting.</p> <p>This statement includes, bank reconciliation, budget update, and a breakdown of receipts and payments.</p>	<p>Existing communication procedures adequate.</p>
Direct costs Overhead expenses Debts	Goods not supplied but billed Incorrect invoicing Unpaid invoices	L L L	<p>The Council has Financial Regulations which set out the requirements.</p> <p>At each Council meeting the list of payments for approval is distributed to Councillors and considered.</p> <p>Council approves the list of requests for payment.</p>	<p>Existing procedure adequate.</p> <p>Review the Financial Regulations when necessary.</p>
Grants - payable	Authorisation of Council to pay	L	<p>All such expenditure goes through the required Council process of approval, minuted and listed.</p>	<p>Existing procedure adequate.</p>
Grants - receivable	Receipts of Grant	L	<p>If any grants received are subject to terms and conditions, the Clerk would ensure these are satisfied.</p>	<p>Each grant to be handled accordingly</p>

Salaries and associated costs	Salary paid incorrectly Wrong hours paid Wrong deductions of NI or Tax Unpaid Tax & NI contributions to the Inland Revenue	L L L L	The Parish Council uses a payment bureau to ensure all salaries, NI and tax deductions are correctly calculated. The necessary payments are made quarterly after approval by the Parish Council.	Existing appointment and payment system is adequate.
Employees	Loss of Clerk	L	A contingency arrangement in place with a Locum Clerk to cover an unexpected loss of the Clerk.	
Councillor allowances	Councillors over-paid Income tax deduction	L	Councillors have no allowances	Existing Procedures adequate
Election costs	Risk of an election cost	L/M	Risk is higher in an election year. When an election is due the Clerk will obtain an estimate of costs from the District Council for a full election and an uncontested election. There are no measures which can be adopted to minimise the risk of having a contested election as this is a democratic process and should not be stifled.	Existing Procedure adequate
VAT	Re-claiming/charging	L	VAT is reclaimed every 3 months, unless it is under £100.	Existing procedure adequate
Annual Return	Submit within time limits	L	Annual Return is completed and signed by the Council, submitted to the internal auditor for completion and signing then checked and sent on to the External Auditor (if necessary).	Existing procedures adequate

Minutes/Agendas/Notices Statutory Documents	Accuracy and legality	L	Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Minutes and agenda are displayed according to the legal requirements. Business conducted at Council meetings should be managed by the Chair.	Existing procedures adequate
	Business conduct	L		
Members interests	Conflict of interest	L	The declaring of interests by members at a meeting should be an obvious process to remind Councillors of their duty and should remain on the agenda.	Existing procedure adequate.
	Register of Members interests	M	Register of Members Interest forms should be reviewed regularly by Councillors.	Members take responsibility to update their Register.
Insurance	Adequacy	L	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place.	Existing procedure adequate Review insurance provision annually.
Data protection	Policy Provision	L	The Council is registered with the Data Protection Agency	Ensure annual review of registration

<b>PHYSICAL EQUIPMENT OR AREAS</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/control of risk</b>	<b>Review/Assess/Revise</b>
Assets	Loss or Damage Risk/damage to third party(ies)/property  Rolleston Play Park	L L  M	An annual review of assets is undertaken for insurance provision, storage and maintenance provisions.  A separate Risk Assessment has been undertaken for Rolleston Play Park.	Existing procedure adequate.
Maintenance	Poor performance of assets or amenities  Risk to third parties	L  L	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for these repairs are actioned/authorised in accordance with the correct procedures of the Parish Council. All assets are insured and reviewed annually. All public amenity land is inspected regularly	Existing procedure adequate.  Ensure inspections carried out.
Notice boards	Risk/damage/injury to third parties Road side safety	L L	Parish Council has a notice board sited in the village. The location has been approval by relevant parties, has insurance cove and is inspected regularly - any repairs/maintenance requirements brought to the attention of the Parish Council.	Existing procedure adequate.

Street Furniture	Risk/damage to third parties	L	The Parish Council is responsible for Boundary signs, benches and flood equipment around the village. All items are covered by insurance. All reports of damage or faults are reported to Council and/or dealt with.	Existing procedure adequate
Meeting location	Adequacy Health & Safety	L M	The Parish Council Meetings are held at Rolleston Village Hall. The premises and the facilities are adequate for the Clerk, Councillors and Public who attend from Health and Safety and comfort aspects.	Existing locations adequate.
Council records – paper	Loss through: theft fire damage	L M L	Historical records including historical correspondence, minute books and copies, leases for land or property, records such as personnel, insurance, salaries etc are stored in the Clerk's home and also in a filing cabinet in the Village Hall.	Damage (apart from fire) and theft is unlikely and so provision adequate.
Council records - electronic	Loss through: Theft, fire, damage, corruption of computer	L	The Parish Council records are stored on the Parish Council laptop and in the Cloud (Microsoft 365 and OneDrive)	Existing procedure adequate

