

Kirk Langley Parish Council Risk Assessment and Management Policy

Notes

“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 Kirk Langley 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.

FINANCIAL 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 or tragic circumstance	L	Amber Valley would take temporary control until a new Council could be formed	This is deemed to be highly unlikely
Precept	Adequacy of Precept	L L L	<p>To determine the Precept amount required, the Parish Council receives budget update information quarterly and the Precept is an agenda item at full Council. At the Precept meeting in October the Council receives a budget update report, including actual position and projected position to end the year and indicative figures or costings obtained by the Clerk.</p> <p>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 the District Council. This figure is submitted by the Clerk in writing to the Amber Valley Borough Council.</p> <p>The Clerk informs Council when the monies are received (split between approx. April/October).</p>	Existing procedure adequate
Financial Records	Inadequate records	L	The Council has Financial Regulations which set out the	Existing procedure adequate.

	Financial irregularities	L	requirements.	Review the Financial Regulations annually.
Bank and Online Banking	Inadequate checks	L	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts.	Existing procedure adequate.
	Bank mistakes	L		Review the Financial
	Loss	L	The bank does make occasional errors in processing cheques which are discovered when the Clerk reconciles the bank accounts once a month when the statement arrives. These are dealt with immediately by informing the bank and awaiting their correction.	Regulations annually
	Charges	L		and bank signatory list when necessary especially after an AGM and an election.
	Payment of Invoices	L	The Clerk pays each invoice online dated 2 days after each meeting and prints out the confirmation slip which is attached to the original invoice. Both are signed by 2 Cllrs at the meeting. If the Cllrs do not agree to the payment then the pending invoice can be deleted online.	Clerk to monitor the bank statements monthly and Finance Cllr quarterly
	Use of cheques if online banking is unavailable	L	The Clerk cannot sign any cheque. Two Cllrs to sign and initial cheque stub & invoice	
	Banking online in event of Clerk's incapacity	L	The Chairman holds all the bank details, passwords etc so that s/he can access the banking facilities in an emergency only. All details to be submitted in a sealed envelope and passed to each new chairman.	Ensure details are passed on when the Chair changes, and if the details have not had to be used, that the envelope is still sealed. If unsealed then passwords MUST be changed.

Cash	Loss through theft or dishonesty	L	The Council has Financial Regulations which set out the requirements. Cash received is banked within 3 banking days. There is no petty cash or float. The Clerk to have a Business Debit Card which allows for money to be paid in at the Post Office but cash cannot be drawn out.	Existing procedure adequate. Review the Financial Regulations when necessary.
Reporting and Auditing	Information communication Compliance	L M	A monitoring statement is produced for every quarter for the Council meeting with the agenda. Prior to presentation it is checked by the Cllr responsible for Finance. It is discussed and approved at the meeting. This statement includes bank reconciliation, budget update, and a breakdown of receipts and payments balanced against the bank. Council should regularly audit internally to comply with the Fidelity Guarantee.	Existing communication procedures are adequate. Council annually to appoint a Councillor Auditor for Fidelity Compliance.
Direct costs Overhead expenses Debts	Goods not supplied but billed Incorrect invoicing	L L	The Council has Financial Regulations which set out the requirements. Unpaid invoices will be chased up by the Clerk.	Existing procedure adequate. Review the Financial Regulations when necessary.
Grants and	Power to pay	L	All such expenditure goes through the required Council	Existing procedure adequate.

support - payable	Authorisation of Council to pay		process of approval and is minuted. It is listed accordingly if a payment is made using the S137 power of expenditure.	Parish Councillors request a S137 rules if required.
Grants - receivable	Receipts of Grant	L	The Parish Council does not presently receive any regular grants. One off grants would come with terms and conditions to be satisfied.	Procedure would be written, if required.
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 required to be undertaken or goods. For major contract services, formal competitive tenders would be sought. If a problem is encountered with a contract the Clerk would investigate the situation, check the quotation/tender, research the problem and report to Council.	Existing procedure adequate. Include when reviewing Financial Regulations.
Salaries and associated costs	Salary paid incorrectly	L L L L L L	The whole Parish Council authorises the appointment of the Clerk. Salary rates are assessed annually and applied on 1 April each year. Salary analysis and slips are produced by the Clerk for each meeting. These are inspected at the Council meetings and signed off. The Clerk keeps a time sheet and has a contract of employment and job description. All contracts of employment contain a section on overpayment and recoup.	Existing appointment and payment system is adequate.

Employees	Loss of key personnel	L	The Clerk is required to give a minimum of 1 month's notice and more if possible to ensure a smooth hand-over.	Existing procedure adequate.
	Fraud by staff	L	The requirements of the Fidelity Guarantee insurance to be adhered to with regards to Fraud.	
	Actions undertaken by staff	L	The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role.	Purchase revised books or see online advice.
	Health & Safety		A Health and safety Policy should be in place.	Membership of the DALC. Health and safety Policy in place
	Clerk's in capacity	L L M	If the Clerk is unable to attend one meeting then a Councillor would take the Minutes in an emergency. If the Clerk is to be off work for approx. 3 months then arrangements would be made for a neighbouring Clerk to help out if possible or an approach be made to DALC for help. If the Clerk is off long-term then a temporary Clerk would be put in post to cover	Monitor working conditions, safety requirements and insurance regularly. If any the
Councillor allowances	Chairman's Expenses	L	No allowance is set aside for the Chairman.	
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	Existing procedure adequate

			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.	
VAT	Re-claiming/charging	L	The Council has Financial Regulations which set out the requirements. This should be reclaimed annually or when there has been a specific project.	Existing procedure adequate
Annual Return	Submit within time limits	L	Employer's Annual Return is completed and submitted online and to the Inland Revenue within the prescribed time frame by the Clerk. 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 within time limit.	Existing procedures adequate
Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved and minuted at Parish Council Meetings, including a reference to the power used.	Powers have been minuted
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 procedure adequate. Guidance/training to Chair should be given (if required).

	Business conduct	L		Members to adhere to Code of Conduct.
Members interests	Conflict of interest	L	Although not a requirement, 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	A 3-yearly review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Employers and Employee liability insurance is a necessity and must be paid for.	Existing procedure adequate.
	Cost	L		Review insurance provision
	Compliance	L	Ensure compliance measures are in place.	Every 3 years.
	Fidelity Guarantee	M	Ensure Fidelity checks are in place.	Review of compliance.
Data Protection	Policy Provision	L	The Council is registered with the Data Protection Agency. Payment is set up automatically to be paid online thus ensuring a reduction	Ensure annual review of registration
Freedom of Information Act	Policy	L	The Council has a model publication scheme for Local Councils in place.	Monitor and report any

	Provision	M	There have been no requests for information to date but the Clerk is aware that if a substantial request arrives then this may require many hours of additional work. The Council is able to request a fee if the work will take more than 15 hours but the applicant also has the right to re-submit the request broken down into sections, thus negating the payment of a fee.	impacts of requests made under the F of I Act.
--	-----------	---	--	--

PHYSICAL EQUIPMENT OR AREAS				
Subject	Risk(s) Identified	H/M/L	Management/control of risk	Review/Assess/Revise
Assets	Loss or Damage Risk/damage to third party(ies)/property	L L	An annual review of assets is undertaken for insurance provision, storage and maintenance provisions.	Existing procedure adequate.
Maintenance	Poor performance of assets or amenities Loss of income or performance	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 by Parish Councillors and the Clerk. Amber Valley Borough Council, or	Existing procedure adequate. Ensure inspections carried out.

	Risk to third parties	L	their designated contractor complete an inspection of the playground annually.	
Notice boards	Risk/damage/injury to third parties Road side safety	L L	Parish Council has 2 notice boards sited in the village. All locations have approval by relevant parties, insurance cover, inspected regularly by the Clerk - any repairs/maintenance requirements brought to the attention of the Parish Council. Keys held by the Clerk.	Existing procedure adequate.
Street furniture	Risk/damage/injury to third parties	L	The Parish Council is responsible for 3 boundary signs and 2 seats around the village and is covered by insurance. No formalised programme of inspections is carried out but all Councillors keep a watchful eye out. 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 Kirk Langley Village Hall. The premises and the facilities are considered to be 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	The old Parish Council records are stored at the County Records Office in Matlock. Records include historical correspondence, minute books and copies and leases for land or property. Current materials are in The Clerk's home (not fire proof).	Damage (apart from fire) and theft is unlikely and so provision adequate. Deeds/leases copied and deposited off-site.

Council records - electronic	Loss through: Theft, fire, damage corruption of computer	LM	The Parish Council's electronic records are stored on the Parish computer held by the Clerk. A portable hard drive is used every 3 months to back up data held on the Council laptop. Quarterly Financial accounts are printed out and signed off.	Files are backed up every quarter on a separate hard drive.
---------------------------------	--	----	--	---

M P Matthews

Clerk to Kirk Langley Parish Council

Signed:

Chair

Date: December 7th 2021