

MISTERTON PARISH COUNCIL

RISK ASSESSMENT

Mission Statement

To provide services for, and manage and maintain the assets of, the Parish of Misterton, within the resources provided by the annual precept and other incomes, taking into account the wishes of the residents and the need to obtain value for money

Aim	Risk	Method used to Minimise Risk	Person(s) Responsible
1. To ensure compliance with the law and the Parish Council's Code of Conduct, Financial Regulations and Standing Orders	1. Ignorance of requirements	Ensure that all councillors are kept aware of legislative requirements, and are provided with copies of the Code of Conduct, Financial Regulations and Standing Orders	Clerk to the Council
	2. Out of date Standing Orders and Financial Regulations	Ensure that Standing Orders and Financial Regulations are reviewed annually	Clerk to the Council and all Councillors
	3. Ultra vires action	Ensure that the Clerk has access to relevant publications. Ensure that any uncertainties over powers are referred to Nottinghamshire Association of Local Councils for advice	Clerk to the Council and all Councillors Ditto
	4. Lack of commitment to procedures and legal requirements	Standing reference to requirements in agendas. Ensure Councillors each have a copy of Standing Orders and Financial Regulations	Clerk to the Council and all Councillors Ditto
	5. Failure to comply with the Race Relations Act 1976 and Section 17 of the Crime and Disorder Act 1998.	Standing reference to this legislation in agendas	Clerk to the Council and All Councillors

	<p>6. Payments made without proper authority</p> <p>7. VAT procedures not complied with</p> <p>8. Fraud</p>	<p>Ensure all payments comply with Standing Orders and Financial Regulations.</p> <p>Ensure all payments receive proper approval and appear on schedules which are included in the minute book</p> <p>Ensure that the Clerk is fully-aware of VAT requirements</p> <p>Ensure an adequate system of internal audit, both within the Council and by employment of an independent internal auditor</p>	<p>Clerk to the Council/RFO, all Councillors and Internal Auditor Ditto</p> <p>Clerk to the Council/RFO and all Councillors</p> <p>Clerk to the Council/RFO, all Councillors and Internal Auditor</p>
<p>2. To identify and regularly review the Council's priorities and associated risks</p>	<p>1. Lack of knowledge of how to set objectives and identify risks to their achievement</p> <p>2. Unsatisfactory reporting mechanism to Council</p> <p>3. Lack of commitment by Councillors</p> <p>4. Inadequate review of risk</p> <p>5. Steps not taken to combat identified risks</p> <p>6. Evaluation of specific risks not properly recorded for future reference</p>	<p>All Councillors to be made aware of the need for objectives and identification of risk. Attend relevant training courses</p> <p>Ensure that progress against objectives and issues is regularly reviewed through inclusion on agendas</p> <p>Include risk assessment on all ordinary Council meeting agendas</p> <p>Ensure that the risk assessment policy document (this document) is reviewed annually</p> <p>As at 2.3</p> <p>Ensure that evaluation documentation is attached to the risk assessment policy document</p>	<p>Clerk to the Council and all Councillors Ditto</p> <p>Clerk to the Council and all Councillors</p> <p>Clerk to the Council and all Councillors</p> <p>Clerk to the Council and all Councillors</p> <p>Clerk to the Council and all Councillors</p> <p>Clerk to the Council and all Councillors</p>

<p>3. To carry influence with other organisations in achieving the requirements of the Parish</p>	<p>1. Lack of effective lines of communication with other organisations</p> <p>2. Lack of effective lines of communication with parishioners</p> <p>3. Lack of preparation on subjects requiring influence</p> <p>4. Lack of confidence in Councillors</p>	<p>Establish a relationship and dialogue with relevant organisations. Invite relevant organisations to present reports to Annual Parish Meeting</p> <p>Publicise initiatives and matters of importance in Parish News Issue annual report and quarterly newsletters. Publicise Annual Parish Meeting</p> <p>Ensure that all Councillors are aware of the need for research and where to look for information</p> <p>As at 3.1</p> <p>Experienced Councillors to assist newcomers to establish contacts</p>	<p>Clerk to the Council and all Councillors Ditto</p> <p>Clerk to the Council and all Councillors Ditto Ditto</p> <p>Clerk to the Council and all Councillors</p> <p>Clerk to the Council and all Councillors All Councillors</p>
<p>4. To ensure that all Councillors are aware of their responsibilities and possible liabilities, and to provide adequate insurance cover for all possible risks</p>	<p>1. Lack of knowledge of possible culpability of Councillors</p> <p>2. Inadequate insurance cover</p>	<p>All Councillors to be made aware of the need to read and understand Standing Orders and Financial Regulations. Attend relevant training courses</p> <p>Review risk on a monthly basis</p>	<p>Clerk to the Council and all Councillors Ditto</p> <p>Clerk to the Council, all Councillors and Internal Auditor</p>
<p>5. To keep appropriate books of account accurately and up-to-date throughout the financial year</p>	<p>1. Lack of knowledge of accounting requirements</p> <p>2. Lack of commitment to accounting requirements</p>	<p>Ensure that the Clerk is properly trained.</p> <p>As at 4.1</p> <p>As at 5.1</p>	<p>Clerk to the Council/RFO and all Councillors Ditto</p> <p>Clerk to the Council/RFO, and all Councillors</p>

		Schedules of payments and bank reconciliation statements to be submitted to every ordinary meeting, together with a report on budget monitoring. Internal Audit reports to be reported to Council and acted on. Audit Committee to meet annually	Clerk to the Council/RFO, all Councillors and Internal Auditor Ditto Ditto
	3. Bank charges unnecessarily incurred	Bank reconciliation to be carried out monthly. Periodic internal audit by Councillors	Clerk to the Council/RFO and all Councillors
	4. Failure to attract bank interest	As at 5.3	Clerk to the Council/RFO and all Councillors
	5. Failure to attract best interest rates	Review banking arrangements periodically	Clerk to the Council/RFO and all Councillors
	6. Inadequate control of cash receipts and payments	Avoid cash as far as possible, but, where cash is received, ensure that a receipt is issued and the cash is banked at the earliest opportunity	Clerk to the Council/RFO, all Councillors and Internal Auditor
	7. Books of account to be kept up-to-date	As at 5.3	Clerk to the Council/RFO, all Councillors and Internal Auditor
	8. Receipts to be banked and payments to be made promptly	As at 5.3	Clerk to the Council/RFO, all Councillors and Internal Auditor
	9. Clerk taken ill or departs suddenly	Contact the SLCC to request a locum Clerk	Chairman
6. To ensure that payments made from Council funds, and the use of assets, represent value for money, are adequately managed, and comply generally with the wishes of residents	1. Lack of knowledge of, and failure to meet, the wishes of residents 2. Value for money not being obtained	As at 3.1 and 3.2. Ensure residents are consulted on major financial issues Ensure effective budget planning process.	Clerk to the Council/RFO and all Councillors Ditto Clerk to the Council/RFO and all Councillors

		Ensure Standing Orders and Financial Regulations regarding contracts to be complied with. Exercise care in selection of contract terms.	Ditto Ditto
	4. Inadequate charges	Effective budget planning process.	Clerk to the Council/RFO and all Councillors
7. To ensure that the annual precept requirements results from an adequate budgetary process, progress against the budget is regularly monitored, and reserves are appropriate.	1. Lack of knowledge of budgetary process	Ensure that the budget is considered at the January Finance Committee meeting and that Councillors receive a set of budget working papers	Clerk to the Council/RFO, all Councillors and Internal Auditor
	2. Lack of commitment to budgetary process	All Councillors to be involved in budgetary process	Clerk to the Council/RFO and all Councillors
	3. Inadequate internal controls with regard to monitoring expenditure	As at 5.2	Clerk to the Council/RFO and all Councillors
	4. Inadequate reserves	As at 5.3	Clerk to the Council/RFO and all Councillors
8. To explore all possible sources of income and to ensure that expected income is fully received	1. Lack of knowledge of possible sources of income, e.g. grants	Ensure that the Clerk and Councillors attend training courses on grant-availability	Clerk to the Council/RFO and all Councillors
	2. Lack of commitment to pursuing grant availability	As at 8.1	Clerk to the Council/RFO and all Councillors
	3. Debts not promptly pursued	Periodic checks by Councillors and Internal Auditor	All Councillors and Internal Auditor
	4. VAT claims not made correctly or promptly	Ensure Clerk is up-to-date with requirements	All Councillors and Internal Auditor

<p>9. To ensure that salaries paid to staff and monies paid to contractors are paid in accordance with Financial Regulations and are adequately monitored</p>	<ol style="list-style-type: none"> 1. Incorrect rate of pay to staff 2. Tax and NI deductions incorrect 3. Incorrect payments to contractors 	<p>Ensure correct rates applied when setting budget</p> <p>Ensure Clerk to the Council/RFO is familiar with requirements</p> <p>Periodic review of contractual obligations</p>	<p>Clerk to the Council/RFO, all Councillors and Internal Auditor</p> <p>Ditto</p> <p>Clerk to the Council/RFO and all Councillors</p>
<p>10. To ensure that year end accounts are prepared on the correct accounting basis, on time, and supported by an adequate audit trail</p>	<ol style="list-style-type: none"> 1. Lack of knowledge of Accounts and Audit Regulations 2. Inadequate audit trail from records to final accounts 	<p>Clerk and Councillors to attend training courses when available</p> <p>Ensure that the Clerk is properly trained and understands the Accounts and Audit Regulations</p>	<p>Clerk to the Council/RFO and all Councillors</p> <p>Clerk to the Council/RFO, all Councillors and Internal Auditor</p>
<p>11. To identify, value and maintain all the assets of the Council, and ensure that asset and investment registers are complete, accurate and properly maintained</p>	<ol style="list-style-type: none"> 1. Lack of knowledge of assets and investments of Council 2. Assets and investments lost or misappropriated 3. Inaccurate valuation of assets and investments 4. Inadequate reserves 	<p>Ensure that records in existence are maintained and kept up-to-date</p> <p>Nominate Councillors to monitor location and assets, including amenity areas - see 13. below</p> <p>Ensure that annual insurance revaluations are used</p> <p>Bank reconciliation to be carried out monthly</p>	<p>Clerk to the Council/RFO, all Councillors and Internal Auditor</p> <p>Clerk to the Council/RFO and Nominated Councillor</p> <p>Clerk to the Council/RFO, all Councillors and Internal Auditor</p> <p>Clerk to the Council/RFO and all Councillors</p>
<p>12. To comply with legislation regarding disability, racial equality, safeguarding children, etc.</p>	<ol style="list-style-type: none"> 1. Lack of knowledge of legislation and other requirements 2. Lack of public awareness of requirements 	<p>Ensure that relevant legislation, requirements, etc. are known.</p> <p>Review responsibilities annually</p> <p>Use Parish News as and when necessary</p>	<p>Clerk to the Council and all Councillors</p> <p>Clerk to the Council and all Councillors</p>

<p>13. To ensure that Council-owned property is properly-maintained and in a safe condition</p>	<p>1. Failure to regularly inspect and report matters requiring attention</p>	<p>Nominate Councillors to carry out periodic inspections and report to monthly meetings. Urgent work to be reported immediately to the Clerk to the Council</p>	<p>Clerk to the Council and Nominated Councillor</p>
<p>14. To ensure that Council-owned play equipment at Church Meadow is properly maintained and in a safe condition</p>	<p>1. Failure to regularly inspect</p> <p>2. Failure to carry out major annual inspection</p>	<p>The Groundsman to carry out weekly inspections and record his findings on a check list. Urgent work to be reported immediately to the Clerk to the Council. Less urgent work to be reported on a weekly basis.</p> <p>Wicksteed Leisure Ltd. to carry out annual inspection every December</p>	<p>Clerk to the Council and Groundsman</p> <p>Clerk to the Council and Wicksteed Leisure Ltd.</p>
<p>15. To ensure that maintenance contractors comply with all necessary requirements</p>	<p>1. The contractor has not carried out a site assessment</p> <p>2. The contractor does not have adequate public liability insurance in place</p> <p>3. The contractor does not have the necessary resources to satisfactorily comply with the contract</p> <p>4. Unsatisfactory contractual arrangement</p> <p>5. Unsatisfactory monitoring of contract performance</p>	<p>Ensure that written site risk assessment is provided</p> <p>Ensure that a copy of the insurance certificate with £5million public liability cover is provided</p> <p>Ensure that proper tender documents, including invitation to tender, specification and official tender, are prepared</p> <p>Ensure that the contract includes an exchange of letters, together with the documentation referred to at 15.3 above</p> <p>Ensure that sites are inspected at least fortnightly during the cutting season by the Clerk to the Council</p>	<p>Clerk to the Council and all Councillors</p> <p>Clerk to the Council and all Councillors</p> <p>Clerk to the Council and all Councillors</p> <p>Clerk to the Council and all Councillors</p> <p>Clerk to the Council and all Councillors</p>

<p>16. To ensure that play equipment at the Sports Field is properly maintained and in a safe condition</p>	<p>1. Failure to regularly inspect</p> <p>2. Failure to carry out major annual inspection</p>	<p>Nominated Councillors to carry out weekly inspections and record the findings on a check list. Urgent work to be reported immediately to the Clerk to the Council. Other work to be reported to monthly meetings</p> <p>IPI to carry out annual inspection every Autumn</p>	<p>Clerk to the Council and Nominated Councillor</p> <p>Clerk to the Council and IPI</p>
<p>17. To ensure that the sports pavilion is properly maintained and in a safe condition</p>	<p>1. Failure to regularly inspect for routine maintenance purposes</p> <p>2. Failure to comply with the relevant water and electrical safety regulations</p>	<p>The Groundsman to carry out weekly inspections and report urgent work to the Clerk to the Council immediately. Less urgent work to be reported on a weekly basis</p> <p>Contractual arrangements to be entered into to ensure compliance with requirements. Routine inspection requirements under the water regulations to be carried out by the Groundsman as at 17.1 above.</p>	<p>Clerk to the Council and Groundsman</p> <p>Clerk to the Council and all Councillors. Clerk to the Council and Groundsman</p>
<p>18. To ensure that the Council's key records are securely preserved</p>	<p>1. Key computer records not backed-up on a regular basis</p> <p>2. Inadequate computer virus protection</p> <p>3. Key documentation not kept in hard copy format</p> <p>4. Financial records not kept for statutory six year period</p> <p>5. Failure to safely preserve minute books</p>	<p>Ensure daily backing up to memory stick</p> <p>Ensure that anti-virus software is updated daily</p> <p>Ensure that hard copies of all documents are preserved on file</p> <p>Ensure that the Clerk is aware of his responsibilities</p> <p>All minute books, apart from the last two years approx. to be lodged at County Archives. Minute books in the possession of the Clerk to be kept in a fire-proof container</p>	<p>Clerk to the Council</p> <p>Clerk to the Council</p> <p>Clerk to the Council</p> <p>Clerk to the Council/RFO and all Councillors</p> <p>Clerk to the Council and all Councillors</p>

<p>19. To ensure that staff are employed according to proper recruitment, conditions of service and health and safety requirements</p>	<p>1. Failure to ensure that staff are recruited in accordance with correct, fair and unbiased procedures</p> <p>2. Failure to ensure that staff are correctly paid and enjoy proper conditions of employment</p> <p>3. Failure to ensure proper health and safety provision</p>	<p>Ensure that vacancies are widely advertised, based on job descriptions and person specifications, and that all Councillors are invited to participate in interviews</p> <p>Ensure that staff are paid in accordance with nationally-agreed pay scales and given contracts of employment based on national models. Review contracts of employment at the annual budget meeting</p> <p>Carry out risk assessments of duties performed.</p> <p>Ensure that staff receive training and instruction in relation to special risk situations. Ensure that staff who use plant and equipment are provided with adequate training to competently use such plant and equipment. Ensure that staff are instructed to report accidents using a form to be provided. Ensure that staff working from home are working in safe and appropriate conditions.</p>	<p>Clerk to the Council and all Councillors</p> <p>Clerk to the Council/RFO, all Councillors and Internal Auditor</p> <p>Ditto</p> <p>Clerk to the Council, all Councillors and Internal Auditor</p> <p>Clerk to the Council and all Councillors</p> <p>Ditto</p> <p>Ditto</p> <p>Ditto</p>
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