

DRAYTON BASSETT PARISH COUNCIL

RISK REGISTER

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the Parish Council to identify all potential inherent risks. The Council will take all practical and necessary steps to reduce or eliminate the risks, as far as is it practically possible. This document enables DBPC to assess the risks it faces and satisfy itself that it has taken adequate steps to minimise them.

FINANCIAL AND GOVERNANCE				
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	L	<p>To determine the precept amount required, the Council regularly receives budget updates, financial statements and bank reconciliations from the Clerk</p> <p>A financial review takes place in April and October each year</p> <p>At the November 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, including a year to date analysis. 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 Lichfield District Council. The figure is submitted by the Clerk in writing. The Clerk informs the Council when the monies are received.</p>	
Contracts & Tenders	May not be robust enough so that compensation can be claimed in the event of poor workmanship	M	Continue to seek tenders for repairs/refurbishment, grass cutting and grounds maintenance	
Salaries & associated costs	Not paid in accordance with Council regulations Unpaid tax to Inland Revenue	L	<p>Clerk uses HMRC Basic PAYE Tools to perform payroll tasks, including working out tax and NI and sending this information to HMRC.</p> <p>Ensure all NALC updates are regularly monitored for updates to salary bandings.</p>	

Financial controls	Inadequate records Financial irregularities Fraud by staff Mistakes	L L L	Council has Financial Regulations which set out the requirements Bank reconciliations and interim reports presented to Council at each meeting All cheques written are signed by four Councillors and/or the Clerk and counterfoil initialed. All expenditures listed in minutes Financial records scrutinised by Internal Auditor No cash transactions	
Records	Expenditure and Income not listed	L	All income and expenditure listed in the minutes	
Annual Return	Not submitted within time limits and not in accordance with financial regulations	L	Annual Return is completed and submitted within the prescribed time frame by the Clerk (usually July) Annual Return completed and signed by the Council, submitted to Internal Auditor for completion and signing, then checked and sent to External Auditor within time frame	
VAT	Reclaiming/charging	L	The Council has Financial Regulations that set out the requirements, ensure correct values are applied. Recovered bi-annually.	
Employees	Fraud by staff	L	See above Financial Controls.	
	Loss of service of an employee	M	Advertise vacancy immediately. if necessary buy in parish clerk services.	
MANAGEMENT AND LIABILITY				
Minutes/Agendas Notices. Statutory Documents	Accuracy and legality	L	Minutes and Agenda produced in the prescribed manner by the Clerk and adhere to legal requirements Minutes are approved and signed at the next Council meeting Agenda displayed according to legal requirements	
	Business conduct	L	Business conducted at Council meetings should be managed by the Chair	
Members' interests	Conflict of interests	L	Declarations of interest by members at Council meetings	
	Register of members' interests	L	Register of members' interests' forms reviewed annually	

INSURANCE

Employer's Liability	No insurance in place or non-compliance with employment laws or Inland Revenue requirements	L	Continue existing cover of £10m	
Money & personal assault	Assault to employees following robbery or attempted robbery	L	Currently no cover for personal assault. No cash is handled by the Clerk.	
Property		L	As per the policy documentation.	
Official's indemnity	Refer to policy documentation	L	Continue existing cover £500,000	
Libel and Slander	Loss of reputation	L	Continue existing cover £500,000 and exercise care in the preparation of Council minutes as per council policy and NALC guidelines.	
Personal Accident	Money claimed from the Council in event of person being injured while engaged in Council activities	L	To be reviewed at a future meeting.	

PHYSICAL EQUIPMENT, AREAS & LIABILITY

Assets	Loss or damage Risk/damage to third party (ies) property	L	Annual review of assets of the Council and recreation ground is undertaken for insurance provision. Assets owned by the Council are the building in the recreation ground, a laptop, printer, notice boards, play equipment, planters and the area known as the Village Green. Asset register is accurately maintained	
Maintenance	Poor performance of assets or amenities	L	Assets owned by DBPC are regularly reviewed and maintained. All repairs and relevant expenditure for any repair is actioned/authorised in accordance with the correct procedures of the Council. Assets are insured Annual and interim inspections of the play equipment performed by DBPC and annual inspections performed by an authorised external body	

Council records – paper	Loss through: Theft Fire Damage	L M L	DBPC records are stored at the home of the Clerk and at the Council's meeting room. Records include historical correspondence, minutes, insurance and bank records	
Council records – electronic	Loss through Theft Fire Corruption of computer	L L L	DBPC electronic records are stored on Dropbox.	
Agency Advice		L	Continue with membership of SLCC, NALC and SPCA	
Legal Liability	Employment dispute/allegations of discrimination or the fact that correct procedures have not been followed	L	Clerk will seek legal advice where necessary and share with the Council.	
Town & Country Planning	Councillors not properly consulted on planning applications	L	All planning applications are dealt with at full Council meetings if deadlines allow. Otherwise planning applications are communicated by email/hard copy with clear deadlines for a response. If application is controversial, a special meeting is called	

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