

**PORTSKEWETT COMMUNITY 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. of the results of the risk assessment.

This document has been produced to enable the Community 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 risks might be*
- Evaluate the management and control of the risks and record all findings*
- Review, assess and revise if required*

**FINANCIAL AND MANAGEMENT**

SUBJECT	RISK(S) IDENTIFIED	H/M/L	MANAGEMENT/CONTROL OF RISK	REVIEW/ASSESS/REVISE
Councillors	Losing Councillor membership or having more than 6 vacancies at any one time.	L	When a vacancy exists there is a legal process to follow. This either leads to a bye-election or into a co-option process. An election is out of the Community Council's control. The co-option process begins with an advert, acceptance of applications, consideration of applicants and co-option vote at a Council meeting, then appointment. If there are more than 6 vacancies at any one time the Council becomes inquorate. The legal process of the County Council appointing members then takes place.	Existing procedure adequate  Procedures of another body are adequate

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Precept	Adequacy of precept	L	<p>To determine the precept amount required, the Community Council regularly receives budget update information and the precept is an agenda item at full Council. At the precept meeting the Council receives a budget update report, including the actual position and projected position to end the year and indicative figures or costings obtained by the Clerk. 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. This forms a draft budget which is presented for consideration at full Council. Following review and amendment the budget and precept are finalised and presented at following full Council meeting for ratification.</p> <p>This figure is submitted by the Clerk to Monmouthshire County Council.</p> <p>Precept should be considered by Council in accordance with agreed timetable</p> <p>The Clerk informs Council (via pink paper) when the monies are received.</p>	Existing procedures adequate
	Requirements not submitted to MCC in time	L		
	Amount not received by PCC	L		
Financial records	Inadequate records	L	The Council has Financial regulations which set out the requirements.	Review Annually
	Financial irregularities	L		
Bank and Banking	Inadequate checks	L	The Council has Financial Regulations which set out the requirements for banking, making payments and reconciliation of accounts.	Existing procedures adequate
	Bank mistakes	L	The Bank may make occasional errors in processing cheques which are identified when the Clerk reconciles the bank accounts once a month when the statements arrive. These are dealt with immediately by informing the bank and awaiting their correction.	
	Loss	L		
	Charges	L	Bank statements and charges are monitored monthly.	
	Loss of signatories	L	All Councillors are signatories.	

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Cash/loss	Loss through theft or dishonesty	L	The Council has Financial Regulations which set out the requirements. Cash/cheques received are banked within 3 working days. The majority of transactions via cheque. Only cash transactions at Council sponsored events (usually 2 per year). There is no petty cash. Audited by internal auditor annually.	Existing procedures adequate
Litigation	Potential risk of legal action being taken against Council	M	Public liability insurance covers general/personal injury claims where the Council is found to be at fault, but not spurious or frivolous claims - these cannot be insured against.	Insurance is adequate for requirements but there is still risk of other claims.
Reporting and auditing	Information communication	L	The pink paper is produced monthly and presented to the Council, discussed and approved at the Council meeting. This statement reports payments for authorisation, income received and bank balances. A budget monitoring statement is presented quarterly to the Council, discussed and approved at the Council meeting. This reports expenditure for the year to date and income received to date, comparing them to the budget set and identifying/explaining any variances.	Existing procedures adequate
	Compliance	L	Council should regularly audit internally to ensure compliance.	
Direct costs	Incorrect invoicing Cheques payable incorrect	L L	The Council has Financial Regulations which set out the requirements. At each Council meeting a list of invoices for approval is presented together with the relevant cheques for signature. Two of the authorised signatories cross check the information sign the cheques and initial the cheque stubbs. No councillor may sign a cheque payable to him/her self.	Existing procedures adequate
Grants receivable	Non receipt of grants	L	The Community Council does not presently receive any regular grants. One off grants come with terms and conditions to be satisfied.	Procedure would need to be formed if required

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Grants and support payable	Power to pay Authorisation of Council to pay	L	The Council may occasionally make small grants/donations to local organisations or other organisations who provide services which benefit residents in the Council's catchment. All applicants are required to complete a grant application form which is considered for approval at a council meeting. A maximum is determined during budget setting and individual sums are approved within normal financial arrangements.	Existing procedures adequate
Charges or leases payable	Non payment of charges, leases, rentals	L	The Community Council leases 2 pieces of land from Monmouthshire County Council, namely Harold's Field and The Quest. These are held on long term leases and rental payments are made in accordance with leases.	Existing procedures adequate
Charges or rentals receivable	Non receipt of rental	L	The Community Council does not at present rent any land or property to any third party.	Procedures would need to be formed if required
Best value accountability	Work awarded	L	Normal contract work comprises regular grass cutting at Harolds Field and the Quest and occasional grass cutting at Stowball Common and Harold's Field. This work would normally be awarded to regular contractor as agreed at Council meeting. For non-regular contracts (such as play equipment at the Quest) 3 competitive tenders would be obtained and the contract awarded on a best value for money basis, following approval by full Council.	Existing procedures adequate
	Overspend on services	M	Any overspend would be investigated by clerk and brought to attention of the Council for the appropriate action to be determined.	Existing procedures adequate
VAT	Reclaiming/charging	L	There are financial regulations which set out the requirements for accounting for VAT. VAT paid is reclaimed annually.	Existing procedures adequate

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Salaries and associated costs	Salaries paid incorrectly	L	Salary and hours of work of clerk are determined by National formula. Changes to formula/rates are advised to Council each anniversary. Hourly rate of caretaker is determined by Minimum Wage Legislation and hours are agreed by Council on appointment.	Existing procedures adequate
	Wrong rate paid	L	Salaries and associated costs are approved each month at full Council meeting via "pink Paper" in finance section of agenda. Check includes regularity and consistency	
	Wrong hours paid	L		
	False employee	L		
Employees	Wrong deduction/ accounting of tax/NI	L	The Council is registered as an employer with HM Revenue and Customs and uses the HMRC PAYE system to determine amounts payable.	Existing procedures adequate
	Employment status	L	Clerk and caretaker have contracts of employment and job descriptions.	Existing procedures adequate
	Loss of key personnel	M	Action in accordance with agreed continuity plan.	
	Fraud by staff	L	The requirements of Fidelity Guarantee insurance to be adhered to with regard to fraud.	
	Actions undertaken by staff	L	The clerk should be provided with relevant training, reference books, access to assistance required to undertake the role.	
Health and safety	L	Caretaker should be provided with adequate direction and safety equipment required to undertake the role i.e protective training and clothing.	Monitor working conditions, safety requirements and insurance regularly	
Councillor allowances	Overpayment of allowances to Councillors	N/A	Councillors have declined to accept allowances receivable so no payments are made.	Review Annually

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Election costs	Risk of election cost	M	Risk is higher in an election year. There is always a risk that a bye-election is called for any casual vacancies. When a scheduled election is due the clerk will obtain an estimate of costs from the County Council for a full election and uncontested election. There is no measure which can be adopted to minimise the risk of having elections as this is a democratic process. The Community Council provides a sum each year to cover election costs.	Existing procedure adequate
Employers Annual Return	Paying and accounting for NI and Tax of employees	L	The Council is registered as an employer with HM Revenue and Customs and uses the HMRC PAYE system to determine amounts payable. Payments are authorised and monitored within normal financial arrangements.	Existing procedures adequate
Audit-Internal Auditor	Completion within time limits	L	Internal Auditor is appointed by the Council. Internal Auditor is supplied with all relevant documents and the Annual Return to complete and sign for the External Auditor. Procedures are all covered in the "Review of effectiveness of the systems audit" which is reviewed annually by the Audit Committee.	Existing procedures adequate
Annual Return	Completion/ submission within time limits	L	Annual Return is completed by the RFO and submitted to the internal auditor for completion and signing. The return is presented to a council meeting for approval and signed by the Chairman. The return is sent to External Auditor within time limit.	Existing procedure adequate
	Error in information	L		
Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Council are resolved and minuted at Council Meetings.	Existing procedures adequate
Data Protection	Non compliance with legislation	L	The Council is registered with the Data Protection Agency. The Council is undertaking steps to comply with new General Data Protection Regulations.	Ensure Annual review of registration and compliance with legislation

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Minutes/ Agendas/ Notices	Accuracy and legality	L	Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements and best practice guidelines.	Existing procedures adequate
	Business conduct	L	Minutes are approved and signed by the Chair at the following Council meeting	Members to adhere to
Statutory notices	Accuracy		All statutory notices are displayed in accordance with legal requirements.	Regular review of requirements
Members Interests	Conflict of interest	L	Councillors declare any interest they may have in a particular agenda item and this is recorded in the minutes and on file.	Existing procedures adequate
	Register of Members Interests		Register of members interests forms are reviewed annually.	Register should be updated annually
Insurance	Adequacy	L	An annual review is undertaken (before policy renewal) of all insurance arrangements in place. Employers and Employee liability insurance is a necessity and must be paid for.	Existing procedures adequate
	Cost	L		
	Compliance	L	Ensure that compliance measures are in place. Ensure fidelity checks are in place.	Review insurance provision annually
	Fidelity Guarantee	L		Review compliance annually
Freedom of Information Act	Non compliance with policy provision	L	There is a model publication for Local Councils in place. If a substantial request arrives this may require many hours of additional work. The council is able to request a fee if the work will incur a cost of more than £450.  Any requests to be submitted to full Council	Monitor and report any requests made under Fof I Act

## PORTSKEWETT COMMUNITY COUNCIL - RISK ASSESSMENT

## PHYSICAL EQUIPMENT AND AREAS

SUBJECT	RISK(S) IDENTIFIED	H/M/L	MANAGEMENT/CONTROL OF RISK	REVIEW/ASSESS/REVISE
Assets	Loss or damage Risk/damage to third parties/property	L	An annual review of assets is undertaken at AGM and as part of insurance review. List of assets included in notes to annual accounts. Insurers notified of any changes in assets held.	Existing procedure adequate
Maintenance of assets	Poor performance of assets or amenities Risk/damage to third parties/property	L	The main assets which are the responsibility of the Community Council are the items of play equipment in the Quest play park and Sudbrook Play Park. This equipment is inspected weekly by the Caretaker and any damage reported to the Council. The caretaker also carries out a quarterly operational inspection. Equipment is inspected annually by a competent inspection agency. Other assets include waste bins and equipment used by Caretaker. Any issues are reported by him to the council as and when they occur.	Existing procedure adequate Ensure that weekly, quarterly and annual inspections are carried out
Notice boards	Damage or injury to third parties/property	L	The Community Council has five notice boards sited around the villages. All are inspected regularly by the Clerk and any damage reported to the Council	Existing procedure adequate
Meeting location	Adequacy Health and safety	L	The Council Meetings are held at Archbishop Rowan Williams School in Portskewett and Sudbrook Trinity Presbyterian Church in Sudbrook. The premises and facilities are considered to be adequate for all attendees (including Councillors, Clerk and Public) from a Health/Safety/Comfort aspect.	Existing locations adequate
Council records - paper	Loss through fire/theft/damage	L	The Council records are kept at the home of the Clerk. Recent materials are stored in a locked metal filing cabinet. Historic records are kept at the County Archives.	Damage considered to be unlikely so insurance provision is adequate

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Council Records - Electronic	Loss through fire/ theft/damage	L	The Community Council's electronic records are stored on the council computer at the home of the Clerk. Monthly Back-ups of the files are taken on a memory stick and passed to the Chairman for safe keeping. More frequent back-ups are made by the clerk to the Cloud	Existing procedure adequate
	Corruption of computer	M	Norton anti-virus is installed on the council computer and subscription renewed annually.	Ensure subscription renewed annually
Business Continuity	Non-availability of Clerk	L	Meeting minutes would be taken by a councillor. Email system and electronic documents accessible by Chairman.	Ensure access changes when new Chair elected.
	Pandemic	M	Business to be conducted remotely via internet, email, video conference facilities.	Ensure all council processes Standing Orders & Financial Regulations are followed. Consider a basic Business Continuity Plan.