

PURTON PARISH COUNCIL

RISK MANAGEMENT SCHEME

Risk assessment is a systematic general examination of working conditions, workplace activities and environment factors that will enable Purton Parish Council to identify any and all potential inherent risks. The Parish Council, based on a recorded assessment, will take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible.

This document has been produced to enable Purton Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. The list is not exhaustive, and the Parish Council may wish to consider other risks not identified.

FINANCIAL AND MANAGEMENT				
Area	Risk	Control Measures	Recommendations	Residual Risk
Precept	Adequacy of precept in order for the Parish Council to carry out its Statutory Duties.	To determine the precept amount required, the Parish Council regularly receives budget reviews throughout the year, and at the time the precept amount is considered, the Parish Council receives a budget report, including actual position and projected position, with indicative figures/costings obtained by the Clerk and Responsible Financ Officer (RFO). With this information, and from consideration of any future projects, the Parish Council determines the amount of precept required for the following financial year. The Clerk requests the precept in writing. The Clerk advises the Parish Council when the precept monies are received.	Existing procedure adequate.	LOW
Financial Records	Inadequate Records. Financial Irregularities.	The Parish Council has Finance Regulations which sets out the requirements.	Existing procedure adequate. Review the Finance Regulations annually.	LOW
Bank and Banking	Inadequate checks. Bank Mistakes. Loss of Signatories.	The Parish Council has Finance Regulations which sets out the banking requirements. The RFO reconciles the bank account(s) once a month when the statement arrives, the Clerk checks the statements on arrival into the office. Any problems/irregularities are dealt with immediately. The Parish Council will choose replacement signatories, but the process it slow.	Existing procedure adequate. Review the Finance Regulations annually.	LOW

Cash / Loss	Loss through theft or dishonesty.	<p>Cash is received by the Admin Officer, Clerk and RFO against the hire of the village hall, rental payments for lease agreements. A receipt is issued at the time of payment. The cash is securely locked in the finance office in the fire proof safe. The cash is banked as soon as is practical (monthly). Cash payments are discouraged where possible. A petty cash float is held in the safe and issued with receipt by Office staff only. A register of petty cash usage is kept for input into the financial system. The physical process of banking is carried out on random days, with two members of staff where feasible to provide a non consistent routine to diminish the exposure of the process to outsiders.</p> <p>During April 2021 the Council also become administration responsible for the management of the facility known as the Purton Red House. The Manager will be responsible for the banking, collections and cash management with policies in place. A safe is provided and sufficient insurance for staff security. Non regular routines of transit will be adopted and back up by the office staff when required.</p>	Existing procedures are adequate.	LOW
Reporting and Auditing	Information. Communication. Compliance.	An Income and Expenditure Report is produced monthly and presented to the Parish Council for approval at the meeting. A bank reconciliation is also provided on a monthly basis to Council and signed as a true record.	Existing procedures are adequate.	LOW
Grants/Donations Payable	Power to pay (LGA). Authorisation of Parish Council to pay.	All such expenditure goes through the required Parish Council's process of approval, minuted and listed accordingly if a payment is made using S137 powers of expenditure.	Existing procedures are adequate.	LOW
Grants received	Receipt of grant.	The Parish Council does not presently receive any regular grants. One-off grants would come with terms and conditions to be satisfied such as local Area Board grants.	Existing procedures are adequate.	LOW
Charges/Rents Receivable	Payment of rents/lease agreements.	The Parish Council collects rent in respect of Football Club, Bowls Club, Tennis Club, Scouts/Guide Groups and a few land agreements as administrators of the Charities. Most payments are made via bank transfer, a few via cheque. Signed leases are held for all agreements.	Existing procedures are adequate.	LOW

Best Value Accounting	Work awarded incorrectly. Overspend on services.	Normal Parish Council procedure is to seek, if possible, three quotations for any substantial work to be undertaken of a value over £1000 to £5000. For major contract services (over £25k), formal competitive tenders are 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 the Parish Council. If specialist services, one quotation can be accepted provided research into the company used is accepted by the Council.	Existing procedures are adequate.	LOW
Salaries and associated costs	Salary paid incorrectly.	The Parish Council authorises the appointment of all employees through its meetings. Salary rates are assessed annually by the Parish Council in line with NJC guidance. All staff have a contract and job description. Salaries are paid monthly in arrears by Bank transfer. Tax and NI contribution are calculated through a SAGE Payroll system and automated returns and submissions are made to the HMRC. If errors are made when calculating the wage through overtime or agreed additional amounts, the Clerk can authorise a re-run of the payroll for that month or recoup/repay the changes the following month provided the employee is aware. All employees sign an agreement requesting errors in payroll to be returned if made.	Existing procedures are adequate.	LOW
Employees	Loss of Clerk. Fraud by Staff. Health & Safety.	Measures have been implemented so all records are held in a central office. Only office staff members have access to the building. The requirements of the Insurance to be adhered to with regards to Fraud. All employees to be provided with adequate direction and safety equipment, where appropriate, needed to undertake their roles.	Existing procedures adequate. Monitor H&S Policy. Review Insurance Policy annually or on significant change in services or provision.	LOW
Election Costs	Risk of Election Costs.	Risk is higher in an election year. When a scheduled election is due, the Clerk will obtain an estimate of costs from the local Council. There are no measures which can be adopted to minimise the risk of having elections, as this is a democratic process, however, the Council have budgeted for the standard election process to alleviate any undue expenditure.	Existing procedures are adequate.	LOW

VAT	Reclaiming.	The RFO analyses out any VAT charged on purchases within the expenditure of the Parish Council and maintains all VAT receipts within the Parish Council's records with use of the Financial Software system (Omega). A quarterly VAT return is submitted to HM Revenue & Customs for payment/recovery of the amounts due. The payment/refund is made by Direct Debit/BACS transfer with the details listed on the income and expenditure reporting at the next meeting. All documentation in relation to the process is maintained in the Parish Council's records.	Existing procedures are adequate.	LOW
Training	Lack of training can lead to incorrect decisions being taken.	All staff are provided with relevant training, reference books and access to assistance and legal advice required to carry out their role. Parish Councillors should also be provided with training wherever applicable (whether new or refresher). The Parish Council is a member of NALC an WALC which is a source of information/training for many aspects.	All staff and Councillors to consider training periodically.	LOW
Audit – Internal	Completion within time limits.	The Internal Auditor is appointed by the Council. The Internal Auditor is supplied with relevant documents to carry out the audit as required by law.	Existing procedures are adequate.	LOW
Annual Return	Completion and submission within time limits.	The Annual Return (AGAR) is completed and signed by the Parish Council and sent to the External Auditor within the set timelines.	Existing procedures are adequate.	LOW
Legal Powers	Illegal activity or payments.	All activity and payments within the powers of the Parish Council to be resolved and minuted at a full Parish Council meeting, and to include reference to the powers used, if not already done so in the budget. The annual budget to reference the powers used for regular payments made.	Existing procedures are adequate.	LOW
Minutes/ Agendas/ Notices/ Statutory Documents	Accuracy and legality. Business conduct.	Minutes and agendas are produced in the prescribed method by the Clerk and adhere to the legal requirements and guidelines. Minutes are approved and signed at the following meeting. Minutes and agendas are displayed according to the legal requirements. Business conducted at Parish Council meetings should be managed by the Chair supported by professional advice from the Clerk.	Existing procedures adequate. Training/guidance given to the Chair and Vice Chair (if required). Members to adhere to the Code of Conduct.	LOW

Members Interests	Conflict of Interest. Register of Members Interests.	Declarations of interest by members at Parish Council meetings is a regular agenda item to remind members of their duty. Register of Members Interests forms should be reviewed regularly by Councillors.	Existing procedures are adequate.	LOW
Insurance	Adequacy Cost.	An annual review is undertaken of all insurance arrangements to ensure best value and that adequate cover is being achieved.	Existing procedures are adequate.	LOW
Insurance	Legal liability as consequence of asset ownership	Trees inspected by specialist contractor. Play equipment visually inspected weekly by grounds staff and annually by qualified external inspector. Playing fields, cemetery visually inspected weekly by grounds staff and annually by Inspection Team. Portable electrical equipment tested annually. Fixed wire tested every 3 years.	Existing procedures are adequate	LOW
Data Protection	Non compliance	The Parish Council is registered for Data Protection with the Information Commissioner Office and has a data Protection Policy, Privacy Notice and all staff are trained and aware of actions required when dealing with personal data. All software programmes holding data are encrypted.	Existing procedures are adequate.	LOW
Freedom of Information	Non Compliance with the Act. Publication Scheme.	The Parish Council has a Model Publication Scheme in place. To date there has been no requests under FOI. The Parish Council is aware that if a substantial request came in it could create several hours of additional work. The Parish Council can request a fee to supplement the extra hours.	Monitor and act upon any request for FOI.	LOW
Councillors	Losing Councillors or having more than 7 vacancies at any one time.	When a casual vacancy arises, there is a legal process to follow. This either leads to a by election or if no election is called Parish Council will follow the co-option process. A by election is out of the Parish Council's control and the cost of this is covered by general reserves. The co-option process begins with an advert, acceptance of applications, consideration of applications and a co-option vote held at a meeting. Appointment and formal co-option then takes place. If there are more than 12 vacancies at any one time, the Parish Council would become inquorate.	Existing procedures are adequate. The Clerk to ensure all procedures are followed quickly.	LOW

		The legal process of Wiltshire Council to appointment members takes place.		
Litigation	Potential risk of legal action being taken against the Parish Council.	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. The Parish Council has paid out a claim previously.	Existing procedures are adequate. Insurance reviewed to ensure sufficient cover.	MEDIUM
Assets	Loss or damage Risk/damage to third party(ies) property.	An annual review of assets is undertaken for insurance provision, storage and maintenance provisions.	Existing procedures are adequate. Asset registered updated twice a year.	LOW
Maintenance	Poor performance of assets or amenities. Loss of Income Risk/damage to third parties.	All assets owned by the Parish Council are regularly reviewed, inspected and maintained as required. All repairs and relevant expenditure for any repair is actioned/authorised in accordance with the current procedures of the Parish Council. Assets are insured.	Existing procedures are adequate.	LOW
Notice Boards x 3	Risk of damage.	The Parish Council currently has five notice boards (Village Hall/Pavenhill Shops/Cemetery/Moulden View and Ridgeway Estate). No formal inspection procedures are in place, but any reports of damage or faults are reported to the Parish Council and dealt with in accordance with the correct procedures of the Parish Council. The Grounds Staff and Parish Staff when placing items will always do a visual check (weekly).	Existing procedures are adequate.	LOW
Meeting Location	Adequacy. Health & Safety.	The Parish Council's meetings are held in the Village Hall, where the Parish Council's office resides. The premises and facilities are maintained by the Charity and are adequate for the Clerk, staff, Councillors and Public who attend from Health & Safety, Disability Discrimination and comfort aspects.	Existing procedures are adequate.	LOW
Electronic Records of the Parish Council.	Loss through theft, fire, damage or corruption of computer.	The Parish Council's records are stored in the cloud on one drives allocated to each member of staff with a share drive and backed up each day onto a QDrive and then stored in the fire proof safe.	Existing procedures are adequate.	LOW
Paper Records of the Parish Council.	Loss through theft, fire, damage or corruption of computer.	The Parish Council's paper records are stored in the Parish Council Office and storage space under the stage in the Village Hall. The records include historical correspondence, minutes, agendas, insurance details, bank	Existing procedures are adequate.	LOW

		records etc. The Office and under stage area is locked at all times.		
Village Hall / Parish Council Office	Loss of Income/loss of office accommodation. Loss through fire or damage and not owned space so loss of tenancy	<p>Fire detection systems are checked quarterly. Fire extinguishers are maintained by a contractor annually. The Premises are cleaned weekly. All equipment is inspected regularly. The Charity rent the space to the Council and if the charity fails the Council will have no office space.</p> <p>Key allocation to hire spaces is to be managed within tight parameters with no keys being left in key safe boxes unless hired that day/night or if required the weekend to reduce risk of loss through theft of keys which are named and viewable from the footpaths.</p>	<p>Fire procedures are adequate. Council office space security is a concern and measure are being taken to search for Council owned accommodation.</p> <p>Existing procedures are adequate, must ensure no keys are placed unnecessarily into key collection points before their required time.</p>	<p>LOW</p> <p>MEDIUM</p> <p>LOW</p>

COVID-19 PANDEMIC

It was agreed by full council that should a further outbreak/pandemic situation necessitate delegation, the Chairman, Vice Chair and Clerk will use delegated powers to action emergency requirements. The Chairs and Vice Chairs of Council will be utilised to aid this process if required.

REVIEW DATE	CHANGES	NEXT REVIEW DATE
Monday 10 th December 2018	Adoption by full council	Annually
Monday 13 th January 2019	Adopted by Full Council	Annually
Monday 2 nd November 2020	Adopted by Full Council	Annually
Monday 10 th January 2022	Adopted by Full Council	Annually
Monday 9 th January 2023	Adopted by Full Council	Annually