

## Stoke Mandeville Parish Council

### STOKE MANDEVILLE PARISH COUNCIL RISK ASSESSMENT

This document has been produced to enable the 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

<b>Rating</b>	1	2	3
Probability of happening	Unlikely	Possible	Probable
Impact to Council	Low impact	significant	very serious
Overall Grade	1 – 3 LOW	4-6 MEDIUM	7 – 9 HIGH

Area	Risk(s) identified	Probability P	Impact I	Grade Pxl	Management of Risk	Actions identified
Financial	<ul style="list-style-type: none"> <li>• Inadequate funds</li> </ul>	1	3	3	<ul style="list-style-type: none"> <li>• To determine the amount of precept required by the Parish Council annually, a full budget review is undertaken.</li> <li>• The Council maintains reserves of 25% of the precept.</li> </ul>	Council introduces a reserves policy and maintain reserve of 50% of precept
	<ul style="list-style-type: none"> <li>• Financial irregularities</li> </ul>	1	1	1	<ul style="list-style-type: none"> <li>• The Council has Financial Regulations in place which were last reviewed May 2015.</li> <li>• An internal audit and external audit is conducted annually on the financial records. Results are presented to the Parish Council and are available for inspection from the Clerk.</li> </ul>	

Stoke Mandeville Parish Council

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	<ul style="list-style-type: none"> <li>Financial controls and banking</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>The Parish Council has 3 bank accounts – a Treasurer’s account, Reserve account and a Clerk’s Imprest account</li> <li>The Clerk pays all monies received into the Treasurer’s account. All payments are made using cheques drawn on this account and signed by two Councillors.</li> <li>All invoices, statements and bank details are kept in the office and are reviewed when signing cheques.</li> <li>The Clerk undertakes bank reconciliations and provides a report to Councillors monthly which is reviewed by the Finance &amp; Governance committee.</li> <li>The Clerk’s Imprest account has a maximum limit of £300, it is reconciled monthly and signed off by the Chairman of the Governance and Resources Committee.</li> </ul>	
	<ul style="list-style-type: none"> <li>Loss of Cash through theft or dishonesty</li> </ul>			n/a	<ul style="list-style-type: none"> <li>No petty cash system in operation, thus negating the risk, however, Money cover is part of mandatory insurance.</li> </ul>	
	<ul style="list-style-type: none"> <li>Maintain records and VAT receipts</li> <li>Re-claim VAT within time limits</li> </ul>	1	2	2	<ul style="list-style-type: none"> <li>The Clerk analyses any VAT charged on purchases within the accounting spreadsheets and maintains all VAT receipts within Parish Council records.</li> <li>The Clerk produces a VAT refund analysis annually and makes a claim to H M Revenue &amp; Customs for recovery of the amounts.</li> </ul>	<ul style="list-style-type: none"> <li>VAT reclaims to be submitted 6 monthly</li> </ul>
	<ul style="list-style-type: none"> <li>Insurance</li> </ul>	1	1	1	<ul style="list-style-type: none"> <li>An annual review is undertaken (at the time of the policy renewal) of all insurance arrangements in place.</li> <li>Insurance renewal documents to emailed to Cllrs each year</li> <li>New Cllrs to be provided with information about the policy</li> </ul>	
	<ul style="list-style-type: none"> <li>Unexpected major event</li> </ul>	2	3	6	<ul style="list-style-type: none"> <li>Insurance cover in place for asset damage/loss</li> <li>Grant application would be made to the Stoke Mandeville and other Parishes Charity or other funding source.</li> <li>Reserves kept for unexpected expenses</li> </ul>	<ul style="list-style-type: none"> <li>Reserves policy to be written</li> </ul>
Records	<ul style="list-style-type: none"> <li>Loss of paper records through theft / fire / damage</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>The Parish Council official records and papers are stored within a locked filing cabinet, in a locked office in a locked building.</li> <li>Deeds and other legal documents are kept in a fire safe.</li> </ul>	<ul style="list-style-type: none"> <li>Old minutes to be archived</li> </ul>

Stoke Mandeville Parish Council

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	<ul style="list-style-type: none"> <li>Loss of electronic records through theft / fire / damage /corruption of files</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>The Parish Council electronic records are stored on Parish Council's PC, which is password protected.</li> <li>Backups are taken monthly and stored offsite.</li> <li>Anti virus software kept up to date.</li> </ul>	
Employers Liability	<ul style="list-style-type: none"> <li>Comply with Employment Law</li> </ul>	1	2	2	<ul style="list-style-type: none"> <li>The Clerk has a contract of employment and job description, a copy of which is in Parish Council records.</li> <li>The Council has a Staff Handbook</li> </ul>	
	<ul style="list-style-type: none"> <li>Comply with HMRC requirements</li> </ul>	1	2	2	<ul style="list-style-type: none"> <li>HASE Services completes the Employer's Annual Return and submits to HMRC within the prescribed time frame on an annual basis.</li> <li>Employee Tax and NI contributions are paid quarterly.</li> </ul>	<ul style="list-style-type: none"> <li>New payroll company to be appointed for 2016-17</li> </ul>
	<ul style="list-style-type: none"> <li>Health and safety of staff</li> </ul>	1	2	2	<ul style="list-style-type: none"> <li>Clerk has injury cover under Employer's Liability insurance.</li> <li>Health and Safety Policy in place</li> </ul>	
	<ul style="list-style-type: none"> <li>Lone Working of Clerk</li> </ul>	1	2	2	<ul style="list-style-type: none"> <li>Ensure outer and office doors are kept locked when working alone in the building.</li> <li>Clerk to carry mobile phone when working out of the office</li> <li>All meetings with members of the public are by appointment only.</li> <li>Lone working guidelines included in the Staff Handbook</li> <li>Staff encouraged to work from home if the Community Centre is empty.</li> </ul>	
Employees	<ul style="list-style-type: none"> <li>Loss or incapacity of Clerk</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>In event of Clerk's demise or other non-availability, backup cover can be sourced through Bucks CC, BALC or SLCC Bucks Branch.</li> <li>Hard copies of policies and procedures are kept in a file in the office.</li> </ul>	

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Councillors	<ul style="list-style-type: none"> <li>Expenses</li> </ul>	1	1	1	<ul style="list-style-type: none"> <li>The Council has a travel expenses policy in place.</li> <li>Out of pocket expenses are reimbursed against a suitable receipt and paid by cheque in accordance with the Council's financial controls.</li> <li>CLRs notify Clerk of training, conferences or meetings they are due to attend to represent the Council and report back at the next meeting</li> </ul>	
	<ul style="list-style-type: none"> <li>Allowances</li> </ul>	1	1	1	<ul style="list-style-type: none"> <li>Level of allowance is set annually.</li> <li>Councillors complete a form to accept/reject the allowance.</li> <li>Allowances to be paid through Council's PAYE system.</li> </ul>	
	<ul style="list-style-type: none"> <li>Conflict of interest</li> </ul>	1	1	1	<ul style="list-style-type: none"> <li>Standard agenda item at all meetings for Members of the Council to declare any personal or pecuniary interests in respect of any matters under discussion.</li> <li>Register of Interest forms should be reviewed and updated by individual Members and re-submitted within 28 days if any change occurs. Register of interests available on the District Council's website.</li> </ul>	
Legal / Liability	<ul style="list-style-type: none"> <li>Comply with Data Protection legislation</li> </ul>	1	1	1	<ul style="list-style-type: none"> <li>The Parish Council is registered for Data Protection with the Information Commissioner.</li> </ul>	
	<ul style="list-style-type: none"> <li>Comply with Freedom of Information laws</li> </ul>	1	1	1	<ul style="list-style-type: none"> <li>The Parish Council has adopted the model Publication Scheme issued by the Information Commissioner and produced a guide which sets out what information is available, by what means and any associated cost of providing that information. A copy of this is on the Council's website.</li> </ul>	
	<ul style="list-style-type: none"> <li>Comply with Equality Act 2010</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>Insurance cover in place to protect the Council against the financial, legal and reputational consequences of a claim under the Equality Act 2010 in respect of disability discrimination.</li> <li>Make reasonable adjustments for the needs of disabled people</li> <li>The Council has a Diversity and Equality Policy in place.</li> </ul>	<ul style="list-style-type: none"> <li>Equality policy to be reviewed in 2015</li> </ul>

Stoke Mandeville Parish Council

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	<ul style="list-style-type: none"> <li>Action resulting in a cost to or claim against the council</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>Ensure actions are legal: Clerk to clarify legal position on any new proposal, legal advice to be sought where necessary.</li> <li>The Council is a member of Bucks and Milton Keynes Association of Local Councils, which again is a source of information/training for many aspects. As a member of BALC, the Council can access legal advice via NALC.</li> <li>The Clerk is a member of the SLCC, which is a source of information/training for many subject areas.</li> <li>Parish Councillors should also be provided with training wherever applicable (whether new training or refresher training).</li> </ul>	
	<ul style="list-style-type: none"> <li>Staff or Councillor action resulting in a cost to or claim against the individual</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>Insurance cover includes Officers indemnity insurance and Libel and Slander</li> <li>Complaints procedure adopted October 2012</li> </ul>	<ul style="list-style-type: none"> <li>Review insurance for legal costs</li> <li>Clerk to keep a contacts log of issues/queries raised</li> </ul>
	<ul style="list-style-type: none"> <li>Accurate and timely reporting via the Minutes</li> </ul>	1	1	1	<ul style="list-style-type: none"> <li>Minutes are produced by the Clerk and issued in draft to Parish Councillors for their review within 14 days. Thereafter minutes are approved at subsequent Parish Council Meeting and signed off by the Chairman as an accurate record.</li> <li>Signed minutes maintained by the Clerk and kept in Parish Council records. Approved minutes uploaded to the Parish Council website for public referral.</li> </ul>	
	<ul style="list-style-type: none"> <li>Failure to communicate with public</li> </ul>	1	1	1	<ul style="list-style-type: none"> <li>The notice boards are updated at least every 2 weeks.</li> <li>The Council's website and Parish magazine are also used to communicate with the public.</li> </ul>	
Assets	<ul style="list-style-type: none"> <li>Loss or Damage</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>Insurance cover in place for assets, amount covered is increased annually by RPI. Valuation of Community Centre carried out in September 2012.</li> <li>Seats/benches are anchored to make theft less likely</li> </ul>	

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	<ul style="list-style-type: none"> <li>Risk or damage to third party individual or property due to condition of assets or amenities</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>All assets owned by the Parish Council are reviewed, inspected and maintained as required.</li> <li>Shelters / benches / notice boards checked regularly</li> <li>All repairs and relevant expenditure for these repairs are actioned / authorised in accordance with the procedures of the Parish Council.</li> <li>Public liability insurance in place</li> <li>Street furniture should be inspected annually with a written record kept</li> </ul>	
	<ul style="list-style-type: none"> <li>Risk or damage to third party individual or property due to condition of trees</li> </ul>	1	1	1	<ul style="list-style-type: none"> <li>Public liability insurance in place</li> </ul>	<ul style="list-style-type: none"> <li>Identify and catalogue trees on Council land</li> <li>Implement inspection routine</li> </ul>
Play Areas	<ul style="list-style-type: none"> <li>Risk to public using equipment</li> <li>Defective surfaces (slips, trips and falls)</li> </ul>				<ul style="list-style-type: none"> <li>Playground, skate park and tennis court checked weekly and written record kept, ROSPA inspection carried out annually.</li> <li>Broken/damaged items are fenced/taped off until repaired.</li> <li>Surfaces regularly checked for defects (eg pot holes, broken glass)</li> </ul>	
Meeting Location	<ul style="list-style-type: none"> <li>Adequacy</li> <li>Health &amp; Safety</li> </ul>	1	1	1	<ul style="list-style-type: none"> <li>The majority of meetings take place at the Community Centre, Eskdale Road which has rooms of varying size suitable for the needs of the Council.</li> <li>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.</li> </ul>	
	<ul style="list-style-type: none"> <li>Loss or non availability of Community Centre</li> </ul>	1	1	1	<ul style="list-style-type: none"> <li>In the event of the Community Centre being unavailable, the Council would meet at other local venues available within the parish.</li> </ul>	

**Stoke Mandeville Parish Council**

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Snow and Ice	<ul style="list-style-type: none"> <li>Slips, trips and falls</li> </ul>	1	2	2	<ul style="list-style-type: none"> <li>Clerk to monitor salt supplies at the Community Centre which are available to all.</li> <li>Councillors to monitor salt supplies at Hawkslade and Ligo Avenue</li> <li>There is a first aid kit in the Community Centre office</li> </ul>	

Review carried out on: 25<sup>th</sup> January 2016

Signed: \_\_\_\_\_  
Jenny Hunt, Chairman

Signed: \_\_\_\_\_  
David Starr, Vice Chairman

Signed: \_\_\_\_\_  
Sarah Copley, Clerk to the Council