

Halton Parish Council

HALTON PARISH COUNCIL RISK ASSESSMENT – GENERIC OPERATIONAL RISKS TO THE COUNCIL

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

Rating	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"> • Inadequate funds 	1	3	3	<ul style="list-style-type: none"> • To determine the amount of precept required by the Parish Council annually, a full budget review is undertaken. • The Council maintains reserves of 25% of the precept. 	Increase reserves to a minimum of 50%
	<ul style="list-style-type: none"> • Financial irregularities 	1	2	2	<ul style="list-style-type: none"> • The Council has Financial Regulations in place which were last reviewed May 2022 • An internal audit and an external audit is conducted annually on the financial records. Results are presented to the Parish Council and are available for inspection from the Clerk. 	Review Financial Regulations

Halton Parish Council

Area	Risk(s) identified	Probability P	Impact I	Grade PxI	Management of Risk	Actions identified
	<ul style="list-style-type: none"> Financial controls and banking 	2	2	4	<ul style="list-style-type: none"> The Parish Council has 2 bank accounts – a Treasurer’s account, and Business Bank Instant account. The Clerk pays all monies received into the Treasurer’s account. Payments are made using cheques drawn on this account and signed by two Councillors or by direct debit with agreement of Full Council. All invoices, statements and bank details are kept by the Clerk and are available for inspection. The Clerk undertakes bank reconciliations and provides a monitoring report to Councillors at each meeting. 	
	<ul style="list-style-type: none"> Maintain records and VAT receipts Re-claim VAT within time limits 	1	2	2	<ul style="list-style-type: none"> The Clerk analyses any VAT charged on purchases within the cashbook and maintains all VAT receipts within Parish Council records. The Clerk produces a VAT refund analysis annually and makes a claim to H M Revenue & Customs for recovery of the amounts at the start of each financial year. 	
	<ul style="list-style-type: none"> Insurance 	1	3	1	<ul style="list-style-type: none"> An annual review is undertaken (or at the time of the policy renewal) of all insurance arrangements in place. Insurance renewal documents to emailed to Cllrs each year New Cllrs to be provided with information about the policy 	
	<ul style="list-style-type: none"> Unexpected major event 	2	3	6	<ul style="list-style-type: none"> Insurance cover in place for asset damage/loss Reserves kept for unexpected expenses 	
Records	<ul style="list-style-type: none"> Loss of paper records through theft / fire / damage 	2	2	4	<ul style="list-style-type: none"> The Parish Council official records and papers are stored at the Parish Office, Village Hall, Halton. Some records and papers are stored on an external drive that the Chair and Clerk can access. 	Old minutes to be archived at County Hall

Halton Parish Council

Area	Risk(s) identified	Probability P	Impact I	Grade PxI	Management of Risk	Actions identified
	<ul style="list-style-type: none"> Loss of electronic records through theft / fire / damage / corruption of files 	2	2	4	<ul style="list-style-type: none"> The Parish Council electronic records are stored securely in MS365 cloud. Backups are stored in the cloud and managed by CloudyIt Anti virus software kept up to date. All Cllrs and Clerk use a council managed email account with a .gov.uk address 	
Employers Liability	<ul style="list-style-type: none"> Comply with Employment Law 	1	2	2	<ul style="list-style-type: none"> The Clerk has a contract of employment and job description, a copy of which is in Parish Council records. 	
	<ul style="list-style-type: none"> Comply with HMRC requirements 	1	2	2	<ul style="list-style-type: none"> Where applicable employee Tax and NI contributions are paid monthly. 	
	<ul style="list-style-type: none"> Health and safety of staff and customers 	1	3	3	<ul style="list-style-type: none"> Clerk has injury cover under Employer's Liability insurance. Health and Safety Policy in place Village Hall risk assessments in place, instructions and agreements in place for all users of Village Hall iaw Govt Guidance 	
	<ul style="list-style-type: none"> Lone Working of Clerk 	3	1	3	<ul style="list-style-type: none"> The Clerk works from home, the Parish Office and attends meetings at Halton Village Hall 	
Employees	<ul style="list-style-type: none"> Loss or incapacity of Clerk 	2	3	6	<ul style="list-style-type: none"> In event of unplanned non-availability of the Clerk for an extended period, backup cover can be sourced through Bucks CC, BALC or SLCC Bucks Branch. 	
Councillors	<ul style="list-style-type: none"> Expenses 	1	1	1	<ul style="list-style-type: none"> The Council has a travel expenses policy in place. Out of pocket expenses are reimbursed against a suitable receipt and paid by cheque in accordance with the Council's financial controls. Cllrs notify Clerk of training, conferences or meetings they are due to attend to represent the Council and report back at the next meeting 	

Halton Parish Council

Area	Risk(s) identified	Probability P	Impact I	Grade PxI	Management of Risk	Actions identified
	<ul style="list-style-type: none"> • Allowances 	1	1	1	<ul style="list-style-type: none"> • 	No allowances are claimed.
	<ul style="list-style-type: none"> • Conflict of interest 	1	1	1	<ul style="list-style-type: none"> • 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. • 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 Bucks Council's website. 	
Legal / Liability	<ul style="list-style-type: none"> • Comply with General Data Protection Regulations (GDPR) 	1	2	2	<ul style="list-style-type: none"> • The Parish Council is registered for GDPR with the Information Commissioner. 	
	<ul style="list-style-type: none"> • Comply with Freedom of Information laws 	1	1	1	<ul style="list-style-type: none"> • 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. 	
	<ul style="list-style-type: none"> • Comply with Equality Act 2010 	2	2	4	<ul style="list-style-type: none"> • 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. • Make reasonable adjustments for the needs of disabled people • The Council has a Diversity and Equality Policy in place. 	

Halton Parish Council

Area	Risk(s) identified	Probability P	Impact I	Grade PxI	Management of Risk	Actions identified
	<ul style="list-style-type: none"> Comply with The Public Sector Bodies (Websites and Mobile Applications) Accessibility Regulations 2018 	2	1	2	<ul style="list-style-type: none"> The PC must review its website to make reasonable adjustments so it is accessible to people with various disabilities. 	The PC are in the process of refreshing the website and ensuring it is accessible
	<ul style="list-style-type: none"> Action resulting in a cost to or claim against the council 	2	2	4	<ul style="list-style-type: none"> Ensure actions are legal: Clerk to clarify legal position on any new proposal, legal advice to be sought where necessary. 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. The Clerk is a member of the SLCC, which is a source of information/training for many subject areas. Parish Councillors should also be provided with training wherever applicable (whether new training or refresher training). 	
	<ul style="list-style-type: none"> Clerk or Councillor action resulting in a cost to or claim against the individual 	2	2	4	<ul style="list-style-type: none"> Insurance cover includes Officers indemnity insurance and libel and slander Complaints procedure adopted Oct 2012 	
	<ul style="list-style-type: none"> Accurate and timely reporting via the Minutes 	1	1	1	<ul style="list-style-type: none"> Minutes are produced by the Clerk and issued in draft to the Chair for review within 14 days. Thereafter minutes are approved at subsequent Parish Council Meeting and signed off by the Chair as an accurate record. Signed minutes maintained by the Clerk and kept in Parish Council records. Approved minutes uploaded to a page on the Halton Parish Council website for public referral. 	

Halton Parish Council

Area	Risk(s) identified	Probability P	Impact I	Grade Pxl	Management of Risk	Actions identified
	<ul style="list-style-type: none"> Failure to communicate with public 	1	1	1	<ul style="list-style-type: none"> The notice boards are updated as and when required. Parish website is out of date. Each PC Meeting (including Zoom), have a public forum section where members of the public can raise questions, issues and concerns Village Newsletter is distributed quarterly, to every house in the parish The Council uses the Halton Hub Facebook site to communicate with the public. 	Comms Team has conducted a website review and a new website will be created in 2023
Assets	<ul style="list-style-type: none"> Loss or Damage 	2	2	4	<ul style="list-style-type: none"> Insurance cover in place for assets. 	
	<ul style="list-style-type: none"> Risk or damage to third party individual or property due to condition of assets or amenities 	2	2	4	<ul style="list-style-type: none"> All assets owned by the Parish Council are reviewed, inspected and maintained as required. The PC has responsibility for a Portaloo contract. (Portaloo situated in Church Yard). Public toilets are allowed to open as long as sufficient cleaning is taking place. The notice board is checked regularly. All repairs and relevant expenditure for these repairs are actioned / authorised in accordance with the procedures of the Parish Council. Public liability insurance in place Street furniture should be inspected annually with a written record kept The Bus Shelter has been removed and is awaiting replacement. 	The Village Hall has been opened with new procedures in place to comply with Govt Guidance. Sanitising equipment is provided. Contacted the Portaloo Supplier to check on cleaning. All surfaces are cleaned with sanitising detergent and consumables replenished on every service visit (fortnightly). Post COVID restrictions the RAF will build a new shelter funded by PC.
Councillors / parishoners						

Halton Parish Council

Area	Risk(s) identified	Probability P	Impact I	Grade PxI	Management of Risk	Actions identified
Meeting Location	<ul style="list-style-type: none"> Adequacy Health & Safety 	3	1	3	<ul style="list-style-type: none"> All meetings take place at the Village Hall, Halton. 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. 	
	<ul style="list-style-type: none"> Loss or non availability of the Village Hall. 	3	1	3	<ul style="list-style-type: none"> In the event of the Halton Village Hall not being available, the Council would meet on Zoom. 	

Review carried out on: 29 Apr 2023

Signed: _____
Jane MacKinnon Chair

Signed: _____

Signed: _____
Fiona Richardson, Clerk to the Council