

## Buckland Parish Council

### BUCKLAND 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

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 PxI	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>	Increase reserves to a minimum of 50%.
	<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 2021.</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>	

**Buckland Parish Council**

Area	Risk(s) identified	Probability P	Impact I	Grade Pxl	Management of Risk	Actions identified
	<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 2 bank accounts – a Treasurer’s account, and Business Bank Instant account.</li> <li>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.</li> <li>All invoices, statements and bank details are kept by the clerk and are available for inspection.</li> <li>The Clerk undertakes bank reconciliations and provides a monitoring report to Councillors at each meeting.</li> </ul>	The Parish are moving to a Metrobank Bank Account, due to issues of accessing Lloyds.
	<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 cashbook 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 at the start of each financial year.</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 (or 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>Reserves kept for unexpected expenses</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 at the Parish Office, Village Hall, Halton.</li> <li>Some records and papers are stored on an external drive that the Chair and clerk can access.</li> </ul>	Old minutes to be archived at County Hall

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Area	Risk(s) identified	Probability P	Impact I	Grade Pxl	Management of Risk	Actions identified
	<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 the clerk's PC, which is password protected.</li> <li>Backups are to an external zip drive.</li> <li>Anti virus software kept up to date.</li> </ul>	In order to increase security due to change of clerk, passwords are to be reviewed and strengthened, back up to the cloud.
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> </ul>	
	<ul style="list-style-type: none"> <li>Comply with HMRC requirements</li> </ul>	1	2	2	<ul style="list-style-type: none"> <li>Where applicable employee Tax and NI contributions are paid monthly.</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>The Clerk works from home, the Buckland Parish Office, and attends meetings at Buckland Village Hall</li> </ul>	
Employees	<ul style="list-style-type: none"> <li>Loss or incapacity of Clerk</li> </ul>	2	3	6	<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> </ul>	
Councillors	<ul style="list-style-type: none"> <li>Expenses</li> </ul>	1	1	1	<ul style="list-style-type: none"> <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>	Review Policy
	<ul style="list-style-type: none"> <li>Allowances</li> </ul>	1	1	1	<ul style="list-style-type: none"> <li></li> </ul>	No allowances are claimed.

**Buckland Parish Council**

Area	Risk(s) identified	Probability P	Impact I	Grade Pxl	Management of Risk	Actions identified
	<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>	Review Policy
	<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> </ul>	Review Policy
	<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>	Current clerk is not a qualified clerk. Clerk to beginning training with CILKA

**Buckland Parish Council**

Area	Risk(s) identified	Probability P	Impact I	Grade Pxl	Management of Risk	Actions identified
	<ul style="list-style-type: none"> <li>Clerk 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>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 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.</li> <li>Signed minutes maintained by the Clerk and kept in Parish Council records. Approved minutes uploaded to a page on the Buckland 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 as and when required.</li> <li>The Council uses the Everything Buckland Facebook site 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.</li> </ul>	
	<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>The notice board is 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>	
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>All meetings take place at the Village Hall, Buckland.</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>	

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	<ul style="list-style-type: none"> <li>Loss or non availability of the Village Hall, Buckland</li> </ul>	1	1	1	<ul style="list-style-type: none"> <li>In the event of the Buckland Village Hall not being available, the Council would meet at Halton Village Hall.</li> </ul>	

Review carried out on: 9<sup>th</sup> May 2022

Signed: \_\_\_\_\_  
Chairman

Signed: \_\_\_\_\_

Signed: \_\_\_\_\_  
Fiona Richardson, Clerk to the Council