

BOUGHTON PARISH COUNCIL RISK ASSESSMENT

A Risk Assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable Boughton Parish Council to identify any and all potential inherent risks. Boughton Parish Council will take all practical and necessary steps to reduce or eliminate risks, in so far as is practically and reasonably possible. This document has been produced to enable Boughton Parish Council to assess the risks it faces and satisfy itself that it has taken adequate steps to minimise them.

Rating A = Satisfactory, Rating B = Review Proposed, Rating X = Unsatisfactory

	Risks Identified	Management/Control	Rating	Review/Assess	Action By
Financial	Inadequate records Financial Irregularities	The Parish Council has an Internal Financial Control Policy and Financial Regulations which set out the requirements.	A	Existing procedure adequate. Review January 2018.	Clerk Council
	Use of funds not in accordance with residents wishes	Effective Budget Planning Process. The Annual Plan is reviewed annually.	A	Existing procedure adequate. Annual Plan review June 2017.	Clerk Council
	Lack of commitment by Councillors to the budgetary process	Include regulations in Standing Orders issued to all Councillors. Place item on Agenda early in the year to remind Councillors of budget process and actions required. Involve all Councillors in budgetary process not solely the Clerk.	A	Existing procedure adequate.	Clerk Council

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Adopted at Full Council Meeting held on Monday 14th March 2016 Minute No: 16/1514(f)

Re-adopted at Full Council Meeting 13th March 2017 Minute No: 17/1680f

Re-adopted at Full Council Meeting 5th March 2018 Minute No: 18/

	Failure to ensure that the annual precept results from an adequate budgetary process.	Start consideration of budgetary process at least four months prior to submission date of Precept. Checks by Clerk/RFO and supervising Councillor.	A	Existing procedure adequate.	Clerk Supervising Councillor Council
	Inadequate internal controls with regard to monitoring expenditure	Internal Audit checks are carried out every three months by the supervising Councillor to ensure effective financial management by Clerk/RFO.	A	Existing procedure adequate.	Clerk Supervising Councillor
	Reserves too high/low	Internal Auditor advises reserve balance must not exceed twice the Precept.	A	Existing procedure adequate.	Internal Auditor
	Illegal activity or payments	All activity and payments within the powers of the Parish Council to be resolved at full Council meetings, including reference to the power used and included on the monthly financial statement and report.	A	Existing procedure adequate.	Clerk Council
	Fraud by Employees/Councillors	Ensure level of Fidelity Insurance is adequate and review annually.	A	Existing procedures adequate	Council
Business Continuity	Incapacity/Absence of Clerk/Resignation of Clerk	Designate a person to temporarily act as Clerk in an emergency. A Locum Service is available through the Society of Local Council Clerks http://consultancy.slcc.co.uk/register?type=locum	A		Council

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	Loss or damage to Council records through theft/fire/damage Inability to access records	All old copies prior to electronic use are deposited with the Northamptonshire County Records Office under Accession Number 2013/85. A hard copy of the records held by the Records Office is retained in the Council' s Legal file retained by the Clerk. Minutes and Agendas are held on the Council's website. Data Back-up is in the Cloud and on an external hard drive which is kept by the supervising Councillor and the Clerk.	A	Existing procedure adequate.	Clerk
	Security of data (IT systems and support)	Confidential documents are stored in a locked filing cabinet at the Clerks home. Any confidential documents are securely shredded. Computer systems and programmes will be protected by passwords which will be chosen by and confidential to the user and the designated councillor with responsibility for finance. Computer systems will be protected with firewalls and anti-virus software which will be updated regularly.	A	Existing procedure adequate.	Clerk and Designated Councillor
	Failure to retain or secure the necessary number of members for the Council	Clerk to maintain an up to date Councillor Attendance Register. Advertise for an election immediately a vacancy exists. Co-opt Members where no election is held.	A	Existing procedure adequate.	Clerk Council
	Election costs	In an election year, estimated costs obtained from the Electoral Officer at DDC and included in the budget if	A	Existing procedure adequate.	Clerk

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		insufficient reserves in General Reserves. In other years the Council provides a sum within its working balance to meet possible by-election costs.			Council
Legal	Conflict of Interests Members Register of Interests	Councillors are required to declare an interest in any item of business and this is recorded in the Minutes. Completed Register of Interests forms are submitted to the Monitoring Officer at DDC and regularly reviewed. Any change in a Councillors Register of Interests must be notified to the Clerk.	A	Existing procedure adequate.	Clerk Council
	Freedom of Information	The Council has adopted the model scheme 10 th March 2014.	A	Monitor any requests made under FOI. Review March 2018	Clerk
	Data Protection	The Council is registered for Data Protection under Registration Reference: A8011821	A	Ensure annual renewal of registration. October 2017	Clerk
	Governing Policies not up to date	All Policies are reviewed annually by the Council and a check list is retained by the Clerk.	A	Existing procedure adequate	Clerk Council

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	Failure to ensure that all employees are paid in accordance with Council regulations and are adequately monitored. Failure to comply with Inland Revenue and HMRC regulations.	The Parish Council employ an external payroll service. A Contract of Employment and Job Description is agreed for the Clerk. Terms and conditions are agreed in the Minutes. Ensure employee regulations are available and understood by the Clerk. No additional payment to the Clerk without Council approval.	A	Existing procedure adequate.	Council Natalie Green & Co
Governance & Management	Lack of knowledge of regulations and codes	Ensure that all Councillors have available relevant Acts. That a Code of Conduct, Standing Orders and Financial Regulations are in place. Highlight essential parts and provide training where relevant.	A	Existing procedure adequate.	Clerk Council
	Absence of Standing Orders	Ensure that Standing Orders are produced and adopted by the Council, understood by Councillors and reviewed annually.	A	Existing procedure adequate. Review May 2016	Clerk Council
	Action by the Parish Council outside its powers laid down by Parliament	Clerk to monitor relevant legislation and report to Council	A	Existing procedure adequate.	Clerk
	Lack of commitment to regulations and procedures	Chairman and Clerk to review Council's meeting and operational procedures annually.	A	Existing procedure adequate.	Clerk Chairman

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	Notice of meeting	The meeting Agenda is placed on the two village noticeboards and on the Council's website giving the required notice of each meeting.	A	Existing procedure adequate.	Clerk
	Approval of minutes	Minutes are approved at the next Meeting of the Council. Draft Minutes are forwarded to Councillors no later than two weeks after a meeting. Minutes are displayed on the Council's website once approved by the full Council.	A	Existing procedure adequate.	Clerk Council
	Written communication to third parties	All formal written communication should be directed through the Clerk and may be signed by the Chairman or Vice-Chairman as directed at a full Council meeting. This includes the sending of e-mails.	A	Existing procedure adequate.	Clerk Council
	Engagement by Members in the operation and activities of the Parish Council	Take every opportunity to publicise the role of the Parish Council through the village newsletter and website. Effective use of village noticeboards. Use key issues to raise the profile of the Parish Council and to test parishioners' views. Councillors contact details are available on the website and the Village noticeboards.	A	Existing procedure adequate.	Council

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	Impact of Public spending cuts	All Councillors to be made aware that priorities must be set on the basis of the financial capacity of the Parish Council to deliver. Attend training where appropriate.	A	Existing procedure adequate.	Council
	Lack of engagement by Councillors and Residents on major items of public interest	Ensure publicity through local village newsletter, village noticeboards and website.	A	Existing procedure adequate.	Clerk Council
	Lack of knowledge by Councillors on their role, responsibility and accountability	Delegate responsibility to one or two experienced Councillors to assist new Members. Attend any training courses available.	A	Existing procedure adequate.	Clerk Council
	Inadequate insurance cover for members and Clerk	Review Risk Assessment by including on Agenda of Parish Council meetings at least annually. Ensure a Risk Assessment is carried out for all new assets and appropriate insurance cover implemented.	A	Existing procedure adequate.	Clerk Council
	Lack of engagement/ knowledge of residents' concerns and views	Public Open Forum Sessions are held before each Council meeting. Use is made of the monthly village newsletter, website and village noticeboards.	A	Existing procedure adequate.	Council

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	Failure to identify, value and maintain all assets of the Parish Council, and ensure that asset and investment registers are complete.	Record and maintain a record of all assets for which the Parish Council is responsible and include in the year end accounts. Arrange for annual review of valuations and arrange for professional valuation where appropriate.	A	Existing procedure adequate.	Clerk
	Adoption and implementation of appropriate Government legislation	Clerk to have appropriate legislation available. Review liabilities and responsibilities periodically at Parish Council meetings.	A	Existing procedure adequate.	Clerk
Assets and Property	Loss of damage to Assets Risk/damage to third party property	An annual review of assets is undertaken for insurance purposes. Regular risk checks around the Parish.	A	Existing procedure adequate.	Clerk Council
	Poor maintenance of assets or amenities	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for any repair is actioned/authorised in accordance with the correct procedures of the Parish Council	A	Existing procedure adequate.	Council Clerk
	Maintenance of Footway Lighting	The Parish Council has an annual maintenance contract with E.ON who undertakes inspections and repairs.	A	Existing procedure adequate.	E.ON

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	Employment of Contractors	Use approved contactors. Ensure that all contractors hold sufficient public liability insurance and health and safety certificates.	A	Existing procedure adequate.	Council Clerk
	Damage to Noticeboards	The Parish Council have two noticeboards in the Village and regular visual inspections are undertaken by the Clerk. Any damage or faults to be reported to the Parish Council.	A	Existing procedure adequate.	Clerk
	Adequacy of meeting locations Health & Safety	Parish Council meetings are held in Boughton Village Hall which is a venue considered to have all the appropriate facilities for the Clerk, Councillors and the general public.	A	Existing procedure adequate.	Clerk Council

Signed Cllr John Clarke 13th March 2017

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