

## 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 it 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. (The term “Members” and “Councillors” are used interchangeably and refer to Councillors of Boughton Parish Council.)

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

|                  | Risks Identified  | Management/Control  | Rating | Review/Assess  | Action By                            |
|------------------|---|---|--------|--|--------------------------------------|
| <b>Financial</b> | Inadequate internal controls with regard to monitoring expenditure (i.e. inadequate records and financial irregularities) | The Parish Council has adopted an Internal Financial Control Policy in line with the adopted Financial Regulations to set out the requirements.   | A      | Existing procedure adequate.                                   | Clerk/RFO<br>Full Council            |
|                  | Reserves too high/low   | Internal Auditor advises reserve balance must not exceed twice the Precept (200%). General Reserves as of March 2022 are roughly 75% of the 21/22 precept. CIL monies are restricted funds and will be spent in accordance with the CIL allocation policy within the next 12 – 24 months. | A      | Existing procedure adequate                                    | Full Council<br><br>Internal Auditor |
|                  | Illegal activity or payments  | All activity and payments within the powers of the Parish Council are to be resolved at full Council meetings. The internal records reference the power used.   | A      | Existing procedure adequate                                    | Clerk/RFO<br>Full Council            |
|                  | Use of funds not in accordance with residents wishes  | The Annual Plan is reviewed annually and an effective budget planning process is conducted.   | A      | Existing procedure adequate<br>Annual Plan review<br>June 2022 | Clerk/RFO<br>Full Council            |

Readopted at Full Council Meeting held on Monday 15<sup>th</sup> May 2023

Minute No: 23/2864/B

|                            |  |   |   |                              |                           |
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|                            | Lack of commitment by Councillors to the budgetary process                                 | Consideration of the budgetary process begins at least four months prior to the submission date of Precept. All Councillors are invited to take part in the budgetary process.  | A | Existing procedure adequate  | Clerk/RFO<br>Full Council |
|                            | Election costs   | Consideration is given to the cost of a general election or by-elections during the effective budgeting process, year on year.  | A | Existing procedure adequate. | Clerk/RFO<br>Full Council |
|                            | Impact of Public spending cuts   | All Councillors to be made aware that priorities must be set based on the financial capacity of the Parish Council to deliver. Attend training where appropriate.   | A | Existing procedure adequate. | Full Council              |
| <b>Business Continuity</b> | 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<br><a href="http://consultancy.slcc.co.uk/register?type=locum">http://consultancy.slcc.co.uk/register?type=locum</a> | A | Existing procedure adequate. | Full Council              |
|                            | Failure to retain or secure the necessary number of members for the Council                | Clerk to advertise for an election after vacancy exists and to co-opt Members where no election is held.  | A | Existing procedure adequate. | Clerk/RFO<br>Full Council |
|                            | Loss or damage to Council records through theft/fire/damage<br>Inability to access records | Data is backed up on the Council's Microsoft One Drive. Documents can also be found on the Council's website. (All old copies prior to electronic use are deposited with the Northamptonshire County Records Office under Accession Number 2013/85.)          | A | Existing procedure adequate. | Clerk/RFO                 |
|                            | Security of data (IT systems and support)  | Computer systems and programmes will be protected with firewalls and anti-virus software and password protected in accordance with the Financial Regulations. Any confidential documents are securely shredded.   | A | Existing procedure adequate. | Clerk/RFO                 |

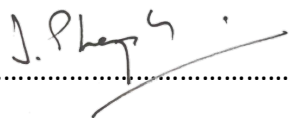
|       |   |   |            |   |                                       |
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| Legal | Conflict of Interests   | Councillors are required to declare an interest in any item of business and this is recorded in the Minutes.  | A          | Existing procedure adequate.                                      | Clerk/RFO.<br>Full Council            |
|       | Health & Safety - Adequacy of meeting locations   | Parish Council meetings are held in Boughton Village Hall which is considered to have all the appropriate facilities for the Council and the general public.  | A          | Existing procedure adequate.                                      | Clerk/RFO<br>Full Council             |
|       | Freedom of Information  | The Council has adopted the model scheme 10 <sup>th</sup> March 2014.   | A          | Monitor any requests made under FOI.<br>Review April 2022         | Clerk/RFO                             |
|       | Data Protection   | The Parish Council has appointed Northants CALC to be DPO.<br><br>The Parish Council takes the necessary steps to ensure that it remains GDPR compliant. The Council is registered for Data Protection under Registration Reference: A8011821 | A<br><br>A | Existing procedure adequate.<br><br>Existing procedure adequate.. | Clerk/RFO                             |
|       | Inadequate insurance cover for members and Clerk/RFO (including personal accidents/injury)              | Review Risk Assessment at least annually. Ensure a Risk Assessment is carried out for all new assets and appropriate insurance cover implemented.   | A          | Existing procedure adequate.                                      | Clerk/RFO<br>Full Council             |
|       | Fraud by Employees/Councillors  | Ensure level of Fidelity Insurance is adequate and review annually.   | A          | Existing procedures adequate                                      | Full Council                          |
|       | Employment of Contractors   | Ensure that all contractors hold sufficient public liability insurance and health and safety certificates. Clerk will request and keep on file relevant certificates.   | A          | Existing procedure adequate.                                      | Council<br>Clerk/RFO                  |
|       | Failure to ensure that all employees are paid in accordance with Council regulations and are adequately | The Parish Council employs an external payroll service. A Contract of Employment and Job Description is agreed for the Clerk/RFO. Terms and conditions are agreed in the Minutes. No additional   | A          | Existing procedure adequate.                                      | Full Council<br>Natalie<br>Green & Co |

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|                                    | monitored. Failure to comply with Inland Revenue and HMRC regulations.                   | payments will be made to the Clerk without Council approval.   |   |   |                           |
| <b>Governance &amp; Management</b> | Absence of core governance documents   | Ensure that the Parish Council adopt Standing Orders, Financial Regulations and a Code of Conduct annually.  | A | Existing procedure adequate.<br>Review May 2024 |                           |
|                                    | 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/RFO<br>Full 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/RFO                 |
|                                    | Lack of engagement/knowledge by Members on their role, responsibility and accountability | 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. Ensure that all Councillors have available relevant Acts/documents. Highlight essential parts and provide training where relevant. One or two experienced Members could offer to assist new Members. Chair and Clerk to review Council's meeting and operational procedures annually. | A | Existing procedure adequate.                    | Clerk/RFO<br>Full Council |
|                                    | Lack of engagement by Councillors and Residents on major items of public interest        | Ensure publicity through local village newsletter, village noticeboards and website. Consider other avenues where necessary e.g. letters/poster delivered to each resident of the Parish.  | A | Existing procedure adequate.                    | Clerk/RFO<br>Full Council |

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|                                | Lack of engagement/<br>knowledge of residents'<br>concerns and views                                  | Public Open Forum Sessions are held before each Council meeting. Use is made of the monthly village newsletter, where necessary as well as the Council website and Parish noticeboards.                                      | A | Existing procedure<br>adequate. | Full Council                               |
|                                | Recording of Members'<br>Interests  | A link to WNC's Register of Members Interests is on the Council's website under "Governance". Reviewed as necessary and after an Election. Any change in a Member's Register of Interests must be notified to the Clerk/RFO. | A | Existing procedure<br>adequate  | Clerk/RFO<br><br>Individual<br>Councillors |
|                                | Completion of Acceptance of<br>Office   | Scanned copies saved to the laptop and backed up on the One Drive.   | A | Existing procedure<br>adequate  | Clerk/RFO<br><br>Individual<br>Councillors |
|                                | Written communication to third<br>parties   | All formal written communication should be directed through the Clerk/RFO and may be signed by the Chair or Vice-Chair as directed at a Council meeting.   | A | Existing procedure<br>adequate. | Clerk/RFO<br><br>Full Council              |
|                                | Notice of meeting   | The meeting Agenda is published on the three village noticeboards and on the Parish Council's website giving the required notice of each meeting.  | A | Existing procedure<br>adequate. | Clerk/RFO                                  |
|                                | Approval of minutes   | Draft Minutes are put on the Council's website within 7 working days of the meeting. Minutes are approved at the next Meeting of the Council and uploaded to the website.  | A | Existing procedure<br>adequate. | Clerk/RFO<br><br>Full Council              |
| <b>Assets and<br/>Property</b> | Failure to identify, value and<br>maintain all assets of the Parish<br>Council, and ensure that asset | 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  | A | Existing procedure<br>adequate. | Clerk/RFO                                  |

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|  | and investment registers are complete.  | valuations and arrange for professional valuation where appropriate.  |   |  |                           |
|  | Loss or damage to Council owned assets as well as risk/damage to third party property | An Asset Register is maintained by the Clerk. An annual review of assets is undertaken for insurance purposes. Regular risk checks around the Parish.   | A | Existing procedure adequate.   | Clerk/RFO<br>Full Council |
|  | Poor maintenance of assets or amenities   | Relevant expenditure for any repair is reported to the Parish Council and actioned/authorised in accordance with the correct procedures.  | A | Existing procedure adequate.   | Full Council<br>Clerk/RFO |
|  | Maintenance of Street Lighting  | The Parish Council has an annual maintenance contract with E.ON who undertake inspections and repairs.<br>Structural inspection and electrical inspection testing will be carried out every six years. The last inspection was undertaken in March 2017. The Clerk maintains a separate maintenance register of street lighting repairs undertaken by E.ON. | A | Existing procedure adequate.<br>Next structural inspection advised between 2023-2024 | Full Council<br>E.ON      |

Signed .....



Cllr John Shephard (Chair)