

LITTLE BRICKHILL PARISH COUNCIL - RISK ASSESSMENT

Aim	Risk	Method used to Minimise Risk	Person(s) Responsible	Actions Required / Taken
<p>1. To ensure compliance with the Acts of Parliament, Council's financial regulations and code of conduct.</p>	<p>1. Lack of knowledge of regulations and codes.</p>	<p>Ensure that all Councillors have copies of Code of Conduct and Standing Orders. Highlight essential parts and provide training where possible.</p>	<p>Chairman Clerk</p>	<p>All Documentation is available to view on the website via the following link. <a href="http://www.little-brickhill.co.uk/lbpc-documents/">www.little-brickhill.co.uk/lbpc-documents/</a></p>
	<p>2. Absence of standing orders</p>	<p>Ensure that Standing Orders are produced, understood by councillors, and reviewed at least once per year.</p>	<p>Chairman Clerk</p>	<p>The latest version of S/O's were reviewed and adopted at meeting held on the 03/0918.</p>
	<p>3. Items purchased without proper tendering procedures, resulting in accusations of commercial favouritism.</p>	<p>Ensure that all councillors are aware of financial regulations re estimates and full tender procedures.</p>	<p>Chairman All councillors Clerk</p>	<p>See LBPC F/R's that were reviewed and adopted at meeting held on the 03/0918.</p>
	<p>4 Payments made without prior approval and adequate control.</p>	<p>Introduce practice of estimates for all purchases over an agreed figure.</p>	<p>Clerk</p>	<p>See LBPC F/R's that were reviewed and adopted at meeting held on the 03/0918.</p>
	<p>5. Lack of control of signatories to cheques.</p>	<p>Ensure all payments are approved in Council meetings and recorded in minutes. Keep cash payments to a minimum and avoid if possible.</p>	<p>Clerk</p>	<p>See LBPC F/R's that were reviewed and adopted at meeting held on the 03/0918.  <u>Clerk will review the F/R's and report at the July 21 PC meeting.</u></p>
<p>2. To identify and regularly review the Council's priorities.</p>	<p>1. Lack of knowledge of how to set objectives, set priorities, and identify risks to their achievement.</p>	<p>All councillors to be made aware of need for objectives and identification of risk. Attend training sessions if practicable.</p>	<p>Chairman Clerk</p>	<p>) ) ) )</p>
	<p>2. Lack of commitment by council members</p>	<p>Add risk assessment to agenda at least quarterly, reviewing items, and results against those items.</p>	<p>Chairman Clerk</p>	<p>) ) A Risk Assessment will be completed at least once a year</p>

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	<p>3. No risk analysis carried out.</p> <p>4. No steps taken to combat identified risks</p>	<p>As at 1 above. Ensure that completion of the risk assessment is given high priority, as a requirement of the Audit Commission.</p> <p>As at 2 above.</p>	<p>Chairman Clerk</p> <p>Chairman Clerk</p>	<p>as part of the Annual Return Submission. ) ) ) ) )</p>
<p>3. To influence other council departments and Government organisations to fulfil the requirements of the Parish population.</p>	<p>1. Lack of effective lines of communication with other organisations.</p> <p>2. Lack of effective lines of communication with parishioners.</p> <p>3. Lack of preparation on subjects requiring influence.</p> <p>4. Lack of confidence by Parish Councillors.</p>	<p>Note all communication lines which are essential or beneficial and make information available to all councillors. Establish contacts by name and where possible face-to-face.</p> <p>Take every opportunity to publicise role of Parish Council. Create Parish newsletter if none exists. Effective use of Notice Boards and "fliers". Use key issues to raise profile of PC and to test parishioner's views. Add social event to occasional meeting. Create Annual PC plan and put to parishioners for comment.</p> <p>Ensure that all councillors are aware of need for careful research and are guided as to where to obtain relevant information on issues under discussion.</p> <p>As at 1 above. Experienced councillors to assist newcomers to establish essential contacts. Delegate responsibility for specific contacts to individual councillors</p>	<p>Chairman Clerk</p> <p>Chairman</p> <p>Chairman Vice-Chairman Clerk</p> <p>All Councillors</p>	<p>MKC are contacted as required for guidance and support.</p> <p>Via Website and Facebook (on occasions).</p> <p>It has been decided that LBPC will not be producing a Neighbourhood Plan.</p> <p>This is provided by the Chairman / Vice-Chairman / Clerk.</p> <p>This has been adopted and is currently working.</p>
<p>4. To ensure that all councillors are aware of their responsibilities, and possible liabilities, and to provide adequate insurance cover for all possible risks.</p>	<p>1. Lack of knowledge of possible culpability of councillors.</p>	<p>Creation of standing orders and familiarisation with those where greatest risk occurs.</p>	<p>Clerk All Councillors</p>	<p>The latest version of S/O's were reviewed and adopted at meeting held on the 03/0918.</p> <p><u><a href="#">Clerk will review the S/O's and report at the July 21 PC meeting.</a></u></p>

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	<p>2. Lack of education of Councillors regarding culpability.</p> <p>3. Inadequate insurance cover taken out – property, personal liability, employer’s liability.</p>	<p>As at 1 above. Delegate responsibility to one or two councillors to assist newcomers to understand culpability. Attend any training courses available.</p> <p>Review risk assessment by including on agenda of PC meetings at least once a year. Delegate responsibility for keeping up to date with insurance requirements to an individual councillor.</p>	<p>Chairman Clerk</p> <p>Clerk</p>	<p>This is provided by the Chairman / Vice-Chairman / Clerk.</p> <p>Clerk to ensure that this is covered as an agenda item when necessary.</p>
<p>5. To keep appropriate books of account accurately and up to date throughout the financial year.</p>	<p>1. Lack of knowledge of accounting requirements</p> <p>2. Lack of commitment to accounting requirements.</p> <p>3. Bank charges unnecessarily incurred</p> <p>4. Inaccuracies in recording amounts totals in books of account, and bank reconciliations.</p>	<p>Ensure that all councillors are familiar with current financial regulations and include them in standing orders. Regularly review standing orders.</p> <p>Appoint a councillor as the RFO to take overall responsibility for financial management.</p> <p>As at 1 above. RFO to produce financial reports at all meetings. Internal audit reports to be made available to all councillors and any recommendations to be acted upon promptly.</p> <p>RFO to carry out regular inspection of books of account. Internal audit to be undertaken periodically during the current financial year.</p> <p>RFO to ensure that books of account are formatted in such a way that internal controls are included and activated. Regular internal audits to advise on internal controls required.</p>	<p>Chairman Clerk</p> <p>Clerk</p> <p>RFO / Clerk</p> <p>RFO / Clerk</p>	<p>S/O’s and Financial Regulations reviewed and adopted at meeting held on the 03/0918.</p> <p><a href="#"><u>Clerk will review the S/O’s-F/R’s and report at the July 21 PC meeting.</u></a></p> <p>Cllr M Goddard has been appointed as RFO with support from the Clerk.</p> <p>Financial reports are reviewed at every Parish Council meeting. Internal Audit reports are reviewed annually as part of the Annual Return.</p> <p>A review of accounts is conducted quarterly at Parish Council meetings.</p> <p>A review of accounts is conducted quarterly at Parish Council meetings.</p>



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	<p>4. Charges for use of facilities inadequate.</p> <p>5. Fund raising not properly controlled or not in accordance with regulations.</p>	<p>Effective financial management by RFO. Internal audit checks.</p> <p>All councillors to be aware of need to check regulations before commencing fund-raising activities. Effective financial management by RFO.</p>	<p>) ) ) ) ) ) )</p>	<p>) ) ) ) ) ) )</p>
<p>7. To ensure that the annual precept requirement results from an adequate budgetary process; progress against the budget is regularly monitored; and reserves are appropriate.</p>	<p>1. Lack of knowledge of budgetary process, and Council regulations.</p> <p>2. Lack of commitment to budgetary process.</p> <p>3. Inadequate consideration of requirements for annual precept.</p> <p>4. Calculation not in accordance with Council regulations.</p> <p>5. Inadequate internal controls with regard to monitoring expenditure.</p> <p>6. Reserves too low.</p>	<p>Include regulations in Standing Orders issued to all councillors. Place item on agenda early in year to remind councillors of budget process and actions required. Delegate responsibility for managing budgetary process to one councillor or to councillor appointed as RFO.</p> <p>As at 1. Above. Involve all councillors in budgetary process not solely the clerk.</p> <p>Place item on agenda early in year to remind councillors of budget process and actions required. Delegate responsibility for managing budgetary process to one councillor or to councillor appointed as RFO. Start consideration of calculation at least 4 months prior to submission date.</p> <p>Create annual and 2/3 plans to assist in process.</p> <p>Checks by RFO and Internal Auditor.</p> <p>Checks by RFO and Internal Auditor. Financial and budget progress reports to all PC meetings. As at 5 above.</p>	<p>Chairman / RFO / Clerk</p> <p>Chairman / RFO / Clerk</p> <p>Chairman / RFO / Clerk</p> <p>Chairman / RFO / Clerk</p> <p>Chairman / RFO / Clerk</p>	<p>) ) ) This issue is reviewed at the half year stage by all Councillors and in November and December when budgets are set. ) ) ) ) This happens in November and December each year when budgets are set. ) ) ) ) Conducted on a quarterly basis.  Monitored monthly.</p>

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<p>8. To explore all possible sources of income, and to ensure that expected income is fully received.</p>	<p>1. Lack of knowledge of possible sources of income e.g., grants. 2. Lack of commitment to pursue possible sources of income. 3. Receipts not banked or not banked promptly. 4. Debts not pursued promptly. 5. VAT claims not made promptly or made incorrectly.</p>	<p>Appoint a councillor as Grants Officer to gain experience of all grants available and application procedures.  As at 1.  Regular checks by councillor appointed as RFO. Internal audit checks.  As at 3 above.  Ensure Clerk has appropriate and up-to-date VAT official publications. Regular checks by councillor appointed as RFO. Internal audit checks.</p>	<p>Chairman Clerk  Chairman Clerk  Clerk  Clerk Vice-Chairman  Clerk</p>	<p>) ) To be addressed when required. ) ) )  Reviewed monthly.  N/A  VAT claim to be submitted at least once a year.</p>
<p>9. To ensure that salaries paid to employees and amounts paid to contractors are paid in accordance with council regulations, and adequately monitored.</p>	<p>1. Inappropriate rate of pay to employees. 2. Tax and NI arrangements not in accordance with regulations. 3. Amounts paid to contractors not in accordance with contract and inadequately monitored.</p>	<p>Ensure employee regulations are available and understood by Clerk. Checks by councillor appointed as RFO. Internal audit checks  As at 1 above.  Internal audit checks Checks by councillor appointed as RFO. Appoint councillor to monitor contract work carried out.</p>	<p>Chairman / RFO / Clerk  Clerk  Clerk</p>	<p>Salary to be paid in accordance with National published Salary Scales.  Clerk to ensure that all rules are followed. Clerk has run a PAYE System from 03/09/12.  This is reviewed monthly at Parish Council meetings.</p>

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<p>10. To ensure that year end accounts are prepared on the correct accounting basis, on time, and supported by an adequate audit trail.</p>	<p>1. Lack of knowledge of Council regulations and procedures.</p> <p>2. Late or non- submission of annual accounts.</p> <p>3. Year end accounts not prepared, inaccurate, or not in accordance with Council requirements.</p> <p>4. Inadequate audit trail from records to final accounts.</p>	<p>Include financial regulations in Standing Orders. Attend training seminars where available.</p> <p>Include a time table in Standing Orders. Councillor appointed as RFO to monitor progress against timetable and report to PC meetings.</p> <p>Checks by councillor appointed as RFO. Internal audit checks</p> <p>As at 3 above.</p>	<p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>Chairman</p> <p>Clerk</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p>	<p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>Year end accounts are prepared by the Clerk and are reviewed at the April meeting. These are subject to an annual internal audit and are signed off at the June meeting and submitted as part of the Annual Return.</p>
<p>11. To identify, value, and maintain all the assets of the Parish Council, and ensure that asset and investment registers are complete, accurate and properly maintained.</p>	<p>1. Lack of knowledge of assets of Parish Council.</p> <p>2. Assets lost or misappropriated</p> <p>3. Inadequate or inaccurate valuation of the council's assets.</p> <p>4. Asset register not established or inadequately maintained.</p>	<p>Ascertain and record all assets for which Parish council is responsible. Create permanent asset register.</p> <p>Establish who is responsible for security and maintenance of each asset. Appoint councillor responsible for regular monitoring of location and use of assets.</p> <p>Arrange for periodic review of valuations and arrange for professional valuation where necessary. Internal audit checks.</p> <p>Create asset register in accordance with Audit Commission requirements.</p>	<p>Clerk</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>Clerk</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>Clerk</p> <p>)</p> <p>)</p> <p>)</p> <p>Clerk</p> <p>)</p> <p>)</p> <p>)</p>	<p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>Reviewed annually as part of the Internal Audit and Annual Return submission.</p>
<p>12. To comply with appropriate Government legislation regarding disability, racial equality, safeguarding children etc.</p>	<p>1. Lack of knowledge of applicable legislation</p> <p>2. Lack of public awareness of applicable legislation.</p> <p>3. Failure to comply with applicable legislation.</p>	<p>Clerk to have all appropriate legislation available. Review liabilities and responsibilities periodically at PC meetings.</p> <p>Include, as appropriate, in any public consultations.</p> <p>As at 1 above</p>	<p>Clerk</p> <p>)</p> <p>)</p> <p>Clerk</p> <p>)</p> <p>)</p> <p>Clerk</p> <p>)</p> <p>)</p>	<p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>Clerk to ensure that he/she are up to date with current legislation and include as agenda items, when required.</p>

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<p>13. To carry out adequate safety checks on all buildings, properties, and equipment for which the council is responsible.</p>	<p>1. Lack of information on properties, buildings and equipment.</p> <p>2. Lack of knowledge of safety requirements.</p> <p>3. Lack of commitment to carrying out safety checks.</p> <p>4. Complete a review of all trees that are under the control of the Parish Council</p> <p>5. Complete a review of any Bus Shelters under the ownership of the Parish Council.</p> <p>6. Ensure that MKC carry out safety checks on the Play Equipment on the Recreation Ground.</p> <p>7. Complete a review of any benches under the ownership of the Parish Council.</p>	<p>Ensure that all current legislation and advice is held by Clerk. Include in asset register all properties for which PC responsible.</p> <p>Ensure that all current legislation and advice is held by Clerk. Place subject as item on PC meeting agenda at regular intervals.</p> <p>As at 2 above. Delegate responsibility to individual councillors.</p> <p>Ensure that a safety check is conducted at least once a year.</p> <p>Ensure that this is checked at least on a six-monthly basis.</p> <p>Ensure that these are checked annually.</p> <p>Ensure that these are checked at least on a six-monthly basis.</p>	<p>Clerk</p> <p>Clerk</p> <p>Clerk</p> <p>Clerk</p> <p>Clerk</p> <p>Clerk.</p> <p>Clerk.</p>	<p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>The main asset is the Community Centre, and any issues are covered at the regularly held meetings of the Community Centre Committee. Also, an update will be available as an agenda item at each Parish Council meeting.</p> <p>)</p> <p>)</p> <p><i>Tree work completed at the Community Centre in March 2021.</i></p> <p><i>There has not been any tree work undertaken at Watsons Field, <u>Review if required at the PC meeting on the 7 June 2021.</u></i></p> <p><i><u>Agree actions at the PC meeting 07/09/2020.</u></i></p> <p><i><u>No problems as at 01/06/2021.</u></i></p> <p><i><u>No problems as at 01/06/2021.</u></i></p> <p><i><u>No problems as at 01/06/2021.</u></i></p>
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	<p>8. Undertake regular safety checks to the 2 Notice Boards.</p> <p>9. Undertake regular checks to the boundary fences on the Recreation Ground.</p> <p>10. Pavements</p> <p>11. Overhanging Bushes / Shrubs</p> <p><u>Any other issues discuss at PC meeting 07/06/21.</u></p>	<p>Ensure that these are checked on a six-monthly basis.</p> <p>Ensure that these are checked on a six-monthly basis.</p> <p>Ensure that these are checked on a six-monthly basis.</p> <p>Ensure that these are checked on a regular basis.</p>	<p>Clerk.</p> <p>Clerk</p> <p>Clerk.</p> <p>Clerk.</p>	<p><u>No problems as at 01/06/2021.</u></p> <p>Part of the Boundary fence requires replacing – <u>To be discussed at PC meeting on 7 June 2021.</u></p> <p>The pavements as you exit Watling Street on both sides of the road are covered in moss again.</p> <p>The Pavement that was cleaned in 2019 on Great Brickhill Lane from the flats to the entrance of Wyness Avenue requires regular monitoring.</p> <p>Some damaged on the entrance to a field on Watling Street as you exit the village onto the A5.</p> <p><u>No problems as at 01/06/2021.</u></p>
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