

WALDRIDGE PARISH COUNCIL
RISK ASSESEMENT – 1st April 2018

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. The Council is aware that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic and focuses approach to managing risk, which:

- Identifies the subject
- Identifies what the risk may be
- Evaluates the management and control of the risk and records findings
- Reviews, assesses and revises procedures if required.

| AREA | RISK | L/M/H | MANAGEMENT / CONTROL MEASURE | REVIEW / ASSESS / REVISE |
|---------------------------|----------------------------------|--------------|---|--|
| <u>FINANCE:</u> | | | | |
| Precept | Adequacy of precept | L | Sound budgeting to underlie annual precept. The Parish Council receives quarterly budget update information and detailed budgets in the late autumn. The precept is an agenda item at the December or January meeting and forwarded to DCC in January | Existing procedure adequate |
| Insurance | Adequacy & cost | L | An annual review is undertaken of all insurance arrangements in place. | Existing procedure adequate |
| | Compliance Fidelity Guarantee | L | Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement | Review provision and compliance annually |
| Data protection | Policy provision | L | Registration with the Data Protection Agency. New regulation coming into force May 2018. New policies will be put in place by then. | Annually |
| Financial controls | Theft / dishonesty | L | Covered by fidelity insurance | Existing procedure |

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| | Accounts discrepancies | L | Two member signatories on cheques, Clerk holds cheque book, not signatory. Monthly reconciliation with bank statements | adequate |
| | | L | Petty cash receipts held comply with audit requirements | |
| | Budget / Spending | L | Agreed by Parish Councillors at quarterly meetings | |
| Banking | Inadequate checks | L | The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts | Existing procedures adequate Review Financial Regulations as necessary |
| VAT | Re-claiming | L | The Council has financial regulations which set out the requirements | Existing procedure adequate |
| Election costs | Risk of election costs | M/H | Risk is higher in an election year. When an election is due the clerk will obtain an estimate of costs from the County Council for a full election and an uncontested election. There are no measures which can be adopted to minimise the risk of having a contested election. Costs earmarked for election is £4000 | Existing procedure Adequate. If earmarked money is spent, this has to be budgeted for in future years. |
| Freedom on Information Act | Policy provision | L | The Council has a model publication scheme for Local Councils in place. | Monitor and report any impacts made under Freedom of Information Act |
| | | L | The clerk is aware that if a substantial request arrives then this may require many hours of additional work. The Council is able to request a fee if the work will take over 15 hours. | |

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| Parish Rooms: | Damage / theft | L | Insurance cover | Existing procedure adequate |
| | Security | L | Alarm fitted Clerk / Handyman hold keys / key safe at entrance | |
| | Members/Public Accident | L | Insurance cover | |
| | Premises Maintenance | L | Central heating, electrics and plumbing to be serviced or maintained annually. PAT testing to be carried out every two years | |
| | Smoke alarms | L | Installed and checked monthly | |
| <u>LEGALITY:</u> | | | | |
| Annual return | Submit within time limits | L | Annual Return is completed and signed by the Council, submitted to the internal auditor for completion and signing then checked and sent to the External Auditor within time limit | Existing procedure Adequate |
| Minutes of meetings | Accuracy and legality | L | Minutes and agendas are produced in the prescribed method and adhere to legal requirements. | Existing procedure Adequate |
| | Non compliance with statutory requirements | L | Minutes are approved and signed at next meeting | Undertake adequate training |
| | | L | Minutes and agendas are displayed according to legal requirements | |
| | | L | Business conducted at Council meetings should be managed by the Chairman | Members to adhere to Code of Conduct |
| Public Liability | Risk to third party, property or individuals | M | Insurance is in place. Risk assessment of any individual event undertaken (see below) | Existing procedure Adequate |

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| Family Fun Day and Additional events: | Any activity booked | M | Company Insured – copy received 4 weeks prior to event | Existing procedure Adequate |
| | Millennium Green | M | Insurance included in annual policy. | |
| | Accident / Injury to Public / Members | M | Insurance added to annual policy or take out additional insurance where necessary | |
| | First Aid | M | For all events St Johns Ambulance are hired and in place for the whole event | |
| | Risks | M | Risk assessment carried out before each event | |
| Millennium Green | | M | Insurance in place for fitness equipment / art sculptures / goal posts / fun hoop. | |
| | | M | Caretaker to make weekly inspections and report back monthly. | |
| | | M | Public Liability included in annual insurance | |
| Employer Liability | Non compliance with employment law | L | Undertake adequate training and seek advice from Parish and Community Development Team at County Hall | Existing procedure Adequate |
| Legal Liability | Legality of activities | L | Clerk to clarify legal position on proposals and to seek advice if necessary | Existing procedure Adequate |
| | Proper and timely reporting via Minutes | L | Council always receives and approves minutes at monthly meetings | |
| | Proper document Control | L | Retention of document policy in Place | |
| <u>STAFF:</u> | | | | |
| Clerk | Loss of Clerk | L | A contingency fund should be established to enable training for the CiLCA qualification in the event of the Clerk resigning. | Include in financial statement when setting precept (under training) |

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| Caretaker / Handyman | Fraud | L | The requirements of Fidelity Guarantee insurance must be adhered to. | Existing procedure adequate |
| | Actions undertaken | L | Clerk should be provided with relevant training, reference books, access to assistance and legal advice. | Membership of SLCC Maintained |
| | Illness | L | Councillor to stand in (must be unpaid) | |
| | Illness Health & Safety | L L | Depending on the length of illness - a Replacement would have to be found Insurance in place / training provided if necessary | |
| <u>MEMBERS PROPRIETY:</u> | | | | |
| Members Interests | Conflict of Interest | L | Although not a requirement, the declaring of interests by members at a meeting should be an obvious process to remind Councillors of their duty and should remain on the agenda | Existing procedures Adequate |
| | Register members Interests | L | Register of Members Interests form to be reviewed at least on an annual basis | Members to take responsibility to update their register regularly |
| <u>MISCELLANEOUS:</u> | | | | |
| Street furniture and seats | Several sited around the Parish | L | Insurance in place, checked regularly | Existing procedures Adequate |
| Notice Bards | 3 notice boards sited around Parish | L | Insurance in place, checked regularly. Keys held by Clerk and one by Chairman | Existing procedures Adequate |
| Allotments: | Injury / Damage | L | Covered by Allotment Society's own insurance | |

RISK ASSESSMENT SCHEDULE

| Item | Frequency | Last reviewed | Comments / Actions |
|--|--|---------------|--|
| <p>Parish Council Insurance Including</p> <p>Public and Employers Liability Money and Fidelity Guarantee Personal Accident</p> | Annually | | (currently in 3 year contract to 2021) |
| Assets inspection | Annually | | |
| <p>Financial Matters</p> <p>Banking Arrangements Insurance Providers VAT return completed Budget agreed, monitored and reported Precept requested: Payments approval procedure Bank reconciliation overseen by Chairman Clerk's salary reviewed and documented Internal audit External audit Internal check of financial procedures</p> | <p>Annually Annually Annually Quarterly Annually Monthly Quarterly Annually Annually Annually Annually</p> | | |
| <p>Administration</p> <p>Minutes properly numbered Asset register available/updated Financial Regulations reviewed Standing orders reviewed Backups taken of computer records</p> | <p>Ongoing Ongoing Annually Annually Weekly</p> | | |
| <p>Employers Responsibilities</p> <p>Contract of employment in place Contractors Indemnity Insurance</p> | <p>Annually Ongoing</p> | | |

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| Written arrangements with contractors | Ongoing | | |
| Members' responsibilities | | | |
| Code of Conduct adopted | Ongoing | | |
| Register of Interests completed and updated | Ongoing | | |
| Register of Gifts/Hospitality | Ongoing | | |
| Declarations of Interests minuted | Ongoing | | |

This risk assessment was approved by Waldrige Parish Council on 13 March 2018 and will be reviewed on an annual basis - in March each year.

Signed Date

Chair

Signed

Clerk

Angela Foster
Clerk / RFO of Waldrige Parish Council