

## WALDRIDGE PARISH COUNCIL

### RISK ASSESEMENT – 1<sup>st</sup> April 2019

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.

<b>AREA</b>	<b>RISK</b>	<b>L/M/H</b>	<b>MANAGEMENT / CONTROL MEASURE</b>	<b>REVIEW / ASSESS / REVISE</b>
<b><u>FINANCE:</u></b>				
<b>Precept</b>	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
<b>Insurance</b>	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
<b>Data protection</b>	Policy provision	L	Registration with the Data Protection Agency. Data Protection Policies in place.	Annually
<b>Financial controls</b>	Theft / dishonesty	L	Covered by fidelity insurance Two member signatories on cheques, Clerk holds cheque book, not signatory.	Existing procedure adequate

	Accounts discrepancies	L	Monthly reconciliation with bank statements	
		L	Petty cash receipts held comply with audit requirements	
	Budget / Spending	L	Agreed by Parish Councillors at quarterly meetings	
<b>Banking</b>	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
<b>VAT</b>	Re-claiming	L	The Council has financial regulations which set out the requirements	Existing procedure adequate
<b>Election costs</b>	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 in budget for election is £5600.	Existing procedure Adequate. If earmarked money is spent, this has to be budgeted for in future years.
<b>Freedom on Information Act</b>	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.	
<b>Parish Rooms:</b>	Damage / theft	L	Insurance cover	Existing procedure adequate
	Security	L	Alarm fitted	

	Members/Public Accident	L	Clerk / Handyman hold keys / key safe at entrance	
	Premises Maintenance	L	Insurance cover	
	Smoke alarms	L	Central heating, electrics and plumbing to be serviced or maintained annually. PAT testing to be carried out every two years	
		L	Installed and checked monthly	
<b><u>LEGALITY:</u></b>				
<b>Annual return</b>	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
<b>Minutes of meetings</b>	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
<b>Public Liability</b>	Risk to third party, property or individuals	M	Insurance is in place. Risk assessment of any individual event undertaken (see below)	Existing procedure Adequate
<b>Events:</b>	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	Where necessary, St Johns Ambulance are hired and in place for the whole event	
	Risks	M	Risk assessment carried out before each event	
<b>Millennium Green</b>		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	
<b>Employer Liability</b>	Non compliance with employment law	L	Undertake adequate training and seek advice from Parish and Community Development Team at County Hall	Existing procedure Adequate
<b>Legal Liability</b>	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	
<b><u>STAFF:</u></b>				
<b>Clerk</b>	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)
	Fraud	L	The requirements of Fidelity Guarantee insurance must be adhered to.	Existing procedure adequate

<b>Caretaker / Handyman</b>	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	L	Depending on the length of illness - a Replacement would have to be found	
	Health & Safety	L	Insurance in place / training provided if necessary	
<b><u>MEMBERS PROPRIETY:</u></b>				
<b>Members Interests</b>	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
<b><u>MISCELLANEOUS:</u></b>				
<b>Street furniture and seats</b>	Several sited around the Parish	L	Insurance in place, checked regularly	Existing procedures Adequate
<b>Notice Bards</b>	Four notice boards sited around Parish	L	Insurance in place, checked regularly. Keys held by Clerk and one by Chairman	Existing procedures Adequate
<b>Allotments:</b>	Injury / Damage	L	Covered by Allotment Society's own insurance	

## RISK ASSESSMENT SCHEDULE

Item	Frequency	Last reviewed	Comments / Actions
<b>Parish Council Insurance Including</b>  Public and Employers Liability Money and Fidelity Guarantee Personal Accident	Annually		(currently in 3 year contract to 2021)
Assets inspection	Annually		
<b>Financial Matters</b>  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	Annually Annually Annually Quarterly Annually Monthly Quarterly Annually Annually Annually Annually		
<b>Administration</b>  Minutes properly numbered Asset register available/updated Financial Regulations reviewed Standing orders reviewed Backups taken of computer records	Ongoing Ongoing Annually Annually Weekly		
<b>Employers Responsibilities</b>  Contract of employment in place Contractors Indemnity Insurance	Annually Ongoing		

Written arrangements with contractors	Ongoing		
<b>Members' responsibilities</b>			
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 12 March 2019 and will be reviewed on an annual basis - in March each year.

Signed ..... Date .....

Chair

Signed ..... Date .....

Clerk

**Sarah Wilson**  
**Clerk / RFO of Waldrige Parish Council**