

WALDRIDGE PARISH COUNCIL

RISK ASSESEMENT – 1st April 2020

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 sets 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. Data Protection Policies in place.	Annually
Financial controls	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	
	Budget / Spending	L	Petty cash receipts held comply with audit requirements	
		L	Payments and receipts reviewed by Parish Councillors at monthly meetings. Budget reviewed 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. Earmarked reserves held to cover election(s).	Existing procedure Adequate. If earmarked money is spent, this has to be budgeted for in future years.
Freedom of 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.	

Parish Rooms:	Damage / theft	L	Insurance cover in place	Existing procedure adequate
	Security	L	Alarm fitted Clerk / Caretaker / two Parish Councillors hold keys / key safe at entrance	
	Members/Public Accident	L	Insurance cover in place	
	Premises Maintenance	L	Central heating, electrics and plumbing serviced or maintained annually. PAT testing carried out every two years	
	Fire/smoke alarms	L	Installed and checked monthly Fire equipment serviced annually	
<u>LEGALITY:</u>				
Annual return	Submit within time limits	L	Annual Return is completed and approved 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	

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
Events:	Any activity booked	M	Company Insured – copy received 4 weeks prior to event	Existing procedure Adequate
	Millennium Green	M	Separate insurance policy held by the Trust.	
	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	
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	Separate insurance policy held by the Trust.	
Employer Liability	Non-compliance with employment law	L	Undertake adequate training and seek advice from CDALC 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	Include in financial

Caretaker / Handyman	Fraud	L	enable training for the CiLCA qualification in the event of the Clerk resigning. The requirements of Fidelity Guarantee insurance must be adhered to.	statement when setting precept (under training) 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	L	Depending on the length of illness - a Replacement would have to be found	
	Health & Safety	L	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	Four notice boards sited around Parish	L	Insurance in place, checked regularly. Keys held by Clerk and one Councillor.	Existing procedures Adequate

Allotments:	Injury / Damage	L	Covered by Allotment Society's own insurance	

RISK ASSESSMENT SCHEDULE

Item	Frequency	Last reviewed	Comments / Actions
Parish Council Insurance Including Public and Employers Liability Money and Fidelity Guarantee Personal Accident	Annually		(currently in 3 year contract to 2021)
Assets inspection	Annually		
Financial Matters Banking Arrangements Insurance Providers VAT return completed Budget agreed, monitored and reported Precept requested: Payments approval procedure Bank reconciliation overseen by Chairman Salaries reviewed and documented Internal audit External audit Internal check of financial procedures	Annually Annually Annually Quarterly Annually Monthly Quarterly Annually Annually Annually Annually		
Administration Minutes properly numbered Asset register available/updated Financial Regulations reviewed Standing orders reviewed	Ongoing Ongoing Annually Annually		

Backups taken of computer records	Weekly		
Employers Responsibilities			
Contract of employment in place Contractors Indemnity Insurance Written arrangements with contractors	Annually Ongoing Ongoing		
Members' responsibilities			
Code of Conduct adopted Register of Interests completed and updated Register of Gifts/Hospitality Declarations of Interests minuted	Ongoing Ongoing Ongoing Ongoing		

This risk assessment was approved by Waldrige Parish Council on 10 March 2020 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