

SACRISTON PARISH COUNCIL - RISK ASSESEMENT – 6th July 2022

This document has been produced and, updated 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 focused 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
FINANCE				
Precept	Adequacy of Precept	L	Sound budgeting to underlie annual precept. The H.R & Finance in conjunction with the RFO review all income and expenditure which is then fed back to full Council by the RFO at the monthly meeting.	Existing procedure is adequate and will be reviewed annually.
Insurance	Adequacy & Cost Compliance Fidelity Guarantee	L	An annual review is undertaken of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement	Existing procedure adequate Review provision and compliance annually
Data Protection	Policy provision	L	Registration with the Data Protection Agency. To ensure kept up to date with any changes to recent legislation.	To be reviewed annually or if legalisation changes.
Financial controls	Theft / Dishonesty Accounts discrepancies	L L	Covered by Fidelity Insurance Three-member signatories on cheques. Parish Council now have access to online banking making	Existing procedure adequate

	Budget / Spending	L	<p>recording/monitoring of the accounts easier. Clerk and two other members have access to online bank account. Clerk, Chair and one other Councillor now have the use of debit cards. Clerk to ensure that all invoices are agreed by council.</p> <p>Monthly bank statements emailed to all Councillors.</p> <p>Financial projections agreed by Parish Councillors at quarterly meetings.</p>	Reviewed monthly at HR and Finance meeting and at monthly parish meeting.
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	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. The risk will be higher during an election year. Costs earmarked for election is £400	Existing procedure adequate. If earmarked money is spent, this must be budgeted for in future years.
Freedom of Information Act	Policy provision	L L	<p>The Council has a model publication scheme for Local Councils in place.</p> <p>The clerk is aware that if a substantial request arrives then this may require many hours of additional work. The Council can request a fee if the work will take over 15 hours.</p>	Monitor and report any impacts made under Freedom of Information Act
Parish Rooms	Damage / theft	L	Insurance cover	Existing procedure adequate
	Security	H	No alarm fitted Clerk / Chair hold keys / mortice lock	

	Members/Public Accident	L	Insurance cover	
	Premises Maintenance	L	Plumbing to be serviced or maintained annually. Electricity has now been disconnected. PAT testing (if required) to be carried out every two years.	
	Smoke alarms	L	Installed and checked periodically.	
AREA. LEGALITY	RISK	L/M/H	MANAGEMENT / CONTROL MEASURE	REVIEW/ASSESS/REVISE
Annual return	Submit within time limits	L	Annual Return is completed and signed by the Council, submitted to the internal auditor for completion, 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 Chairperson	
Public Liability	Risk to third party, property or individual	M	Insurance is in place. Risk assessment of any individual event undertaken (see below)	Existing procedure adequate
		M	Does not cover individual allotment plots and plot holders must obtain public liability insurance (see below). All plot holders are signed up to The National Allotment Membership scheme which includes public liability insurance.	To review plot holders' insurance annually at AGM.
Family Fun Day and Additional events:	Any activity booked	M	Company Insured – copy received 4 weeks prior to event	Existing procedure adequate

	Fulforth Centre	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 GCS Medical are hired and in place for the whole event	
	Risks	M	Risk assessment carried out before each event	
Employer 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	
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	
AREA: STAFF	RISK	L/M/H	MANAGEMENT / CONTROL MEASURE	REVIEW/ASSESS/REVISE
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)
	Fraud	L		

	<p>Actions undertaken</p> <p>Illness</p> <p>Illness Health & Safety</p>	<p>L</p> <p>L</p> <p>L</p> <p>L</p>	<p>The requirements of Fidelity Guarantee insurance must be adhered to.</p> <p>Clerk should be provided with relevant training, reference books, access to assistance and legal advice.</p> <p>Councillor to stand in (must be unpaid)</p> <p>Depending on the length of illness - a Replacement would have to be found.</p> <p>Insurance in place / training provided if necessary</p>	<p>Existing procedure adequate</p> <p>Membership of SLCC Maintained</p>
MEMBERS PROPRIETY				
Members Interests	<p>Conflict of Interest</p> <p>Register members Interests</p>	<p>L</p> <p>L</p>	<p>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</p> <p>Register of Members Interests form to be reviewed at least on an annual basis</p>	<p>Existing procedure adequate</p> <p>Members to take responsibility to update their register regularly</p>
MISCELLANEOUS				
Street furniture and seats	Several sited around the Parish	L	Insurance in place, checked regularly	Existing procedure adequate
Notice Boards	3 x Notice boards sited around the Parish	L	Insurance in place, checked regularly. Keys held in Fulforth Centre and by Chairperson	Existing procedure adequate
Allotments	Injury / Damage	L	The Parish Council covers injury/damage within the grounds/walkways, but it does not cover individual plots managed by allotment holders.	Existing procedure adequate

	Individual plots	M	Plot holders are required to obtain public liability insurance to cover their plot. All plot holders are signed up to The National Allotment Membership scheme which covers for public liability insurance.	To be reviewed annually at the AGM.
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RISK ASSESSMENT SCHEDULE.

ITEM	FREQUENCY	LAST REVIEWED	COMMENTS / ACTION
<p>Parish Council Insurance Including: -</p> <p>Public and Employers Liability Money and Fidelity Guarantee Personal Accident</p>	Annually	June 2022	
Assets Inspection	Annually	June 2022	
<p>Financial Matters:</p> <p>Banking Arrangements</p> <p>Insurance Providers</p> <p>VAT return completed</p> <p>Budget agreed, monitored, and reported</p> <p>Precept requested:</p> <p>Payments approval procedure</p> <p>Bank reconciliation overseen by Chairperson</p> <p>Clerk's salary reviewed and documented</p> <p>Internal audit</p> <p>External audit</p> <p>Internal check of financial procedure</p>	<p>Annually</p> <p>Annually</p> <p>Quarterly</p> <p>Quarterly</p> <p>Annually</p> <p>Monthly</p> <p>Monthly</p> <p>Annually</p> <p>Annually</p> <p>Annually</p> <p>Annually</p>	June 2022	
<p>Administration:</p> <p>Minutes properly numbered</p> <p>Asset register available/updated</p> <p>Financial Regulations reviewed</p> <p>Standing orders reviewed</p> <p>Backups taken of computer records</p>	<p>Ongoing</p> <p>Ongoing</p> <p>Annually</p> <p>Annually</p> <p>Weekly</p>	May 2022	

Employers Responsibilities:			
Contract of employment in place	Annually		
Contractors Indemnity Insurance	Ongoing		
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 Sacriston Parish Council on 6th July 2022 and will be reviewed on an annual basis.

Signed

Chair: _____ **Date:** _____

Clerk: _____ **Date:** _____