

**SACRISTON PARISH COUNCIL - RISK ASSESEMENT – 1<sup>st</sup> September 2021**

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
<b>FINANCE</b>				
<b>Precept</b>	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.
<b>Insurance</b>	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
<b>Data Protection</b>	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.
<b>Financial controls</b>	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	recording/monitoring of the accounts easier. Clerk and two other members have access to online bank account. Clerk to ensure that all invoices are agreed by council. Monthly bank statements emailed to all Councillors.	Reviewed monthly at HR and Finance meeting and at monthly parish meeting.
<b>Banking</b>	Inadequate checks	L	Agreed by Parish Councillors at quarterly meetings. 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	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.
<b>Freedom of Information Act</b>	Policy provision	L	The Council has a model publication scheme for Local Councils in place. 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.	Monitor and report any impacts made under Freedom of Information Act
<b>Parish Rooms</b>	Damage / theft Security Members/Public Accident	L H L	Insurance cover <b>No alarm fitted Clerk / Chair hold keys / mortice lock</b> Insurance cover	Existing procedure adequate

	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.	
<b>AREA, LEGALITY</b>	<b>RISK</b>	<b>L/M/H</b>	<b>MANAGEMENT / CONTROL MEASURE</b>	<b>REVIEW/ASSESS/REVISE</b>
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	Members to adhere to Code of Conduct
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).	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.	
		M		

	Accident / Injury to Public / Members First Aid Risks	M M	Insurance added to annual policy or take out additional insurance where necessary. For all events GCS Medical are hired and in place for the whole event Risk assessment carried out before each event	
Employer Liability	Legality of activities Proper and timely reporting via Minutes Proper document Control	L L L	Clerk to clarify legal position on proposals and to seek advice if necessary. Council always receives and approves minutes at monthly meetings. Retention of document policy in Place	Existing procedure adequate
Legal Liability	Legality of activities Proper and timely reporting via Minutes Proper document Control	L L L	Clerk to clarify legal position on proposals and to seek advice if necessary. Council always receives and approves minutes at monthly meetings. Retention of document policy in Place	Existing procedure adequate
<b>AREA: STAFF</b>	<b>RISK</b>	<b>L/M/H</b>	<b>MANAGEMENT / CONTROL MEASURE</b>	<b>REVIEW/ASSESS/REVISE</b>
Clerk	Loss of Clerk Fraud	L L	A contingency fund should be established to enable training for the CilCA qualification in the event of the Clerk resigning. The requirements of Fidelity Guarantee insurance must be adhered to.	Include in financial 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 Illness Health & Safety	L L	Councillor to stand in (must be unpaid) Depending on the length of illness - a Replacement would have to be found. Insurance in place / training provided if necessary	
<b>MEMBERS PROPRIETY</b>				
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 procedure 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>MISCELLANEOUS</b>				
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.	To be reviewed annually at the AGM.

**RISK ASSESSMENT SCHEDULE.**

ITEM	FREQUENCY	LAST REVIEWED	COMMENTS / ACTION
<b>Parish Council Insurance Including: -</b> Public and Employers Liability Money and Fidelity Guarantee Personal Accident Assets Inspection	Annually	June 2021	
<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 Chairperson Clerk's salary reviewed and documented Internal audit External audit Internal check of financial procedure	Annually Annually Quarterly Quarterly Annually Monthly Monthly Annually Annually Annually Annually	June 2021 June 2021	
<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	May 2021	

<b>Employers Responsibilities:</b> Contract of employment in place Contractors Indemnity Insurance Written arrangements with contractors	Annually Ongoing Ongoing		
<b>Members responsibilities:</b> 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 Sacriston Parish Council on 1<sup>st</sup> September 2021 and will be reviewed on an annual basis.

**Signed**

Chair:  Date: 1.9.21

Clerk:  Date: 1/9/2021