

STOKE GOLDING PARISH COUNCIL- RISK ASSESSMENT -JULY 2022

Financial and Management

Subject	Risks Identified	H/M/L	Management/Control of Risk	Review/assess/revise
Business continuity	Risk of Council not being able to continue its business due to unexpected or tragic circumstance	L	There is no management plan presently for loss or long term incapacity of the Clerk. Most records are now computerised, the Chairman holds a copy of the PC laptop passwords in a sealed envelope which would allow a designated person to maintain monthly records while the clerk was incapacitated. A councillor can be appointed as unpaid RFO. There is no management plan for full or majority replacement of the Council at an election. When a vacancy arises there is a legal process to follow; this leads to a bye-election or into a co-option process. A election is out of the Parish Council's control. Co-option involves an advert, acceptance of applications, consideration of applicants, co-option vote at a council meeting and appointment. If more than 7 vacancies apply at one time the Council becomes inquorate. The legal process of the Borough Council appointing members takes place.	Existing procedure adequate Procedures of another body are adequate
Business continuity in the event of pandemic	Risk of Council not being able to continue its business due to lockdown caused by infectious disease	L	The Council to delegated power to the Clerk if meetings can not be held. The Council to follow government guidance through LRALC and NALC with regard to closure of services, procedures and virtual meetings.	Existing procedure adequate
Precept	Adequacy of precept Requirements not submitted to H&BBC	L L	To determine the precept amount required, the Parish Council reviews the budget including actual position and projected position. With this information the Council maps out the required monies for standing costs and projects for the following year and medium term planning for upto three years. The total budget required for expenditure is noted. The total minus any additional income is resolved to be the precept amount. This required precept figure is submitted by the Clerk in writing to H&BBC by the deadline.	Existing procedure adequate
Financial Records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations which set out the requirements and are reviewed annually. There is an annual review of internal controls.	Existing procedure adequate
Bank and Banking	Inadequate checks Bank mistakes	L L	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts. The Parish Council has four accounts(2 current, 1 reserve, a NSB investment). Each Account has two or three signatories, all cheques must be signed by two of the three. Stubs to be verified and initialled. All online payments are checked and initialled by two signatories. Cheques to be verified against invoices by the Chairman and noted in the minutes. Clerk reconciles the bank accounts on the last day of each month. Quarterly verification of actual bank statements takes place quarterly by vice- chair	Existing procedure adequate Bank signatory list to be reviewed after an election Monitor bank statements monthly and verify quarterly
Cash	Loss through theft or dishonesty	L	Cash received is banked within 5 banking days. There is no petty cash or float. Actual bank statements are verified quarterly by the vice-chair.	Existing procedure adequate
Reporting and auditing	Information communication	L	A Finance Progress Report is produced before each Council meeting, which is then discussed and approved at the meeting. This report includes bank reconciliation and a breakdown of receipts and payments balanced against the bank. Quarterly budget comparison and half year budget report are approved by Council. End of year figures and report are approved at the April meeting and submitted for audit.	Existing procedure adequate
Grants receivable	Receipts of Grants	L	The Parish Council does not presently receive regular grants. A grant report is prepared annually to balance any grants received against invoices paid.	Existing procedure adequate
Charges Rentals receivable	Receipts of rental	L	Fees for football pitches and cricket field are charged in line with H&BBC. The Clerk invoices the clubs accordingly. The cheques are received and banked. Payment is in full to comply with VAT regulations for exempt business supplies.	Existing procedure adequate Review fees annually

	Insurance implication	M	The football and cricket clubs arrange their own insurance and provide a copy to the Parish Council each year. A pitch hire agreement is signed by clubs prior to start of each season.	Ensure payment, pitch hire agreement and copy of insurance is received Existing procedure adequate
		M	Other event users arrange their own insurance and risk assessment and provide a copy to Council. Pre and post site inspection and risk assessment is carried out by the Council.	
Best value	Work awarded incorrectly	L	For contracts over £25,000 formal competitive tenders are sought. The Contract Finder and other light touch provisions of the Public Contracts Regulations 2015 also apply. Three quotations are sought for contracts below £25,000. If not able to obtain three estimates for contracts below £3,000 the Parish Council should ensure value for money.	Existing procedure adequate
	Work quality	L	Payment is made on completion, after satisfactory inspection by two councillors. Any problems after this are investigated by the clerk and reported to the council.	
Employees	Loss of key personnel	M	Reference to business continuity above, loss of key personnel - clerk.	Existing procedure adequate
	Fraud by staff	L	The requirements of the Fidelity Guarantee insurance to be adhered to with regards to fraud.	Membership of the SLCC/ALCC
	Actions undertaken by staff	L	The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role.	Local Council Administration (11th Edition)
	Employment Law		Adoption of NALC model employment contract. Employment policies adopted and reviewed annually.	
Salaries and assoc cost		L	Clerks wages are dealt with by Holyland Accountants, correct amounts reported back to the clerk to then arrange payment of salary and any tax and NI to HMRC	
	Health and Safety at work	L	The Parish Council has adopted a Health and Safety Policy. Annual risk assessment is carried out for the Clerk's work space and PAT testing.	Reviewed annually
Election Costs	Risk of an election cost	L/M	Risk is higher in an election year. When an election is due the Clerk will obtain an estimate of costs from the Borough Council for a full election and an uncontested election. An annual budget for election costs has been implemented.	Existing procedure adequate
VAT	Re-claiming	L	If VAT on business supplies exceeds £1000 the Parish Council must register with HMRC. VAT is re-claimed on non-business supplies only.	Existing procedure adequate
Annual Return	Submit within time limit	L	The Clerk completes the Annual Governance and Accountability Return and submits within the prescribed time frame, ensures compliance with inspection and notice procedures and website publication.	Existing procedure adequate
Minutes/Agendas/notices statutory documents	Accuracy and legality	L	Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirement. Minutes are approved and signed at the next council meeting. Draft Minutes are posted on the noticeboard and on the village website according to the law.	Existing procedure adequate Members to adhere to the code of conduct
	Business conduct	L	Business conducted at Council meetings is managed by the Chairman.	
Members Interest	Conflict of interest	L	Councillors should declare any interests on the agenda and seek a dispensation if they consider it is valuable for them to contribute to the discussion or decision.	Existing procedure adequate
	Register of Members Interests	M	Register of Members Interest forms should be reviewed regularly by Councillors.	Members take responsibility to update their register
Insurance	Adequacy/Cost	L	An annual review is undertaken (before renewal) of all insurance requirements.	Existing procedure adequate
	Fidelity guarantee	L	Ensure fidelity checks are carried out.	Review insurance provision annually
	Risk assessments	M M/H M/H	Annual risk assessments are carried out for the Clerk's work space and meeting venue. Annual inspection of trees on Council land is carried out by qualified contractor. Risk assessments are carried out for all medium/higher risk activities.	Ensure written risk assessments and reports and address issues
Data Protection	Policy provision	L	The Council is registered with the Information Commissioner's Office (ICO) and has	Existing procedure

	Protection of personal data	L	a legal obligation to protect personal information under the GDPR 2018. The Parish Council has appointed a Data Protection Compliance Officer. The Parish Council has adopted and published a Data Protection Policy, a Data Breach Policy, a Record Management Policy and Privacy Notices . Confidential data is used/stored/disposed of appropriately and security measures taken in line with the Parish Council's Data Protection and Record Management Policies. The data audit is reviewed annually. Encryption software is installed.	adequate. Ensure annual renewal of registration Policies reviewed annually
Freedom of Information Act	Policy provision	L M	The Parish Council has adopted a Freedom of Information Policy . The Council has adopted the ICO's Model Publication Scheme and published guidelines. A substantial request for additional information may require many hours of work. The Parish Council can charge for a request, if it exceeds cost limits, but the applicant has the right to re-submit the request broken down into smaller sections, thus negating payment.	Policy reviewed annually Monitor and report any impact of requests made under the FOI Act.

Physical Equipment or Areas

Subject	Risks Identified	H/M/L	Management/Control of Risk	Review/assess/revise
Assets	Loss or Damage Risk/damage to third party property or individuals	L	An annual review of assets is undertaken. All assets are covered by insurance and reviewed annually. New assets are added to the insurance as soon as they are purchased. Maintenance-see below.	Existing procedure adequate
Maintenance	Poor performance of assets or amenities Risk/damage to third party	L	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for these repairs are actioned/authorised in accordance with the correct procedures of the Parish Council. The maintenance contractor has product/public liability insurance. All public amenity land is inspected regularly by maintenance contractor/councillors.	Existing procedure adequate Ensure copy of insurance received
Public Areas: Cemetery	Risk/damage/third party liability	L	Cemetery fees and all concessions are detailed in the Cemetery Scale of Charges. Cemetery Byelaws and Guidelines are published on the village website. The memorial and wall, gates, railings, signs and bins are covered by insurance. Memorial safety inspections are carried out.	Existing procedure adequate
Recreation Ground			There is a monthly playground inspection and an annual inspection by ROSPA. All play and gym equipment is covered by insurance. The Parish Council has adopted a Health and Safety Policy.	Maintain regular inspection Reviewed annually
Village street furniture and amenities for public use	Risk/damage/injury to third parties	L	The Parish Council is responsible for noticeboards, village signs, bus shelters, planters, benches, speed signs, a compost toilet, shed and a defibrillator. All are covered by insurance. There is no formal system of inspection. Volunteers/sub-committees are responsible for the planters, speed signs, compost toilet, shed and defibrillator. All reports of damage or faults are reported to the Parish Council and dealt with as necessary. The Parish Council has adopted a Health and Safety Policy.	Existing procedure adequate Reviewed annually
Meeting location	Adequacy Health and Safety	L	The Parish meetings and APM are held in the Methodist Church Hall. Some additional meetings may be held at the Village Hall. The premises and the facilities are considered to be adequate for the Clerk, Councillors and Public who attend; from a Health and Safety perspective. The Parish Council has adopted a Health and Safety Policy Annual risk assessment of the venue is carried out.	Existing location adequate Reviewed annually

Council records paper	Loss through Theft Fire damage	L L L	The Parish Council records are stored at the home of the Clerk. Records include historical correspondence, signed minutes, insurance etc. Historical records and deeds are stored securely at Hinckley and Bosworth Borough Council. Appropriate precautions are taken with regard to fire and theft.	Damage (apart from fire) and theft is unlikely and so provision adequate.
Council records electronic	Loss through Theft Fire damage corruption of computer	L L L M	The Parish Council's electronic records are stored on the Parish Council's computer and backed up by Astley Computers The Parish Council's hard drive is backed up to the Microsoft 365 cloud. Microsoft 365 has built in security and is kept up-to-date.	Existing procedure adequate

Prepared by Theresa Case 19/05/2021

Reviewed by Sarah Eeale July 22

