

STANWICK PARISH COUNCIL RISK ASSESSMENT 2018-2019

A Risk Assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable Stanwick Parish Council to identify any and all potential inherent risks. Stanwick Parish Council will take all practical and necessary steps to reduce or eliminate risks, in so far as is practically and reasonably possible. This document has been produced to enable Stanwick Parish Council to assess the risks it faces and satisfy itself that it has taken adequate steps to minimise them.

Rating A = Satisfactory, Rating B = Review Proposed, Rating X = Unsatisfactory

	Risks Identified	Management/Control	Rating	Review/Assess	Action By
Financial	Inadequate records Financial Irregularities	The Parish Council uses Financial Regulations which set out the requirements based on Model Regulations from NALC Appointment of NCALC Internal Audit Service	A	Existing procedure adequate. Review January 2020.	Clerk /Council
	Lack of commitment by Councillors to the budgetary process	Full council receives detailed budget estimates. Precept determined on basis of the budget set. Expenditure against budget is reported at each full council meeting.	A	Existing procedure adequate	Clerk /Council
	Failure to ensure that the annual precept results from an adequate budgetary process	Start consideration of budgetary process at least 3 months prior to submission date of Precept. Checks by Clerk/RFO and Councillors.	A	Existing procedure adequate	Clerk/ Council

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	Risks Identified	Management/Control	Rating	Review/Assess	Action By
Financial	Inadequate internal controls with regard to monitoring expenditure	Internal Control checks are carried out every month by a councillor who is not a cheque signatory to ensure effective financial management by Clerk/RFO.	A	Existing procedure adequate.	Clerk Councillor
	Reserves too high/low	Practitioners Guide advises reserve balance must not exceed the Precept but should be sufficient allow the Council to operate if the expected precept is not received	A	Existing procedure adequate.	Council
	Illegal activity or payments	All activity and payments within the powers of the Parish Council to be resolved at Council meetings, as per the Financial Regulations. Council has adopted the Power of General Competence.	A	Existing procedure adequate.	Clerk Council
	Fraud by Employees/ Councillors	Ensure level of Fidelity Insurance is adequate and review annually. Payments authorised by two councillors.	A	Existing procedures adequate	Clerk
	Cash handling	Cash may be received from the allotments or other reasons. Cash to be paid into the current account, not petty cash irrespective of the amount.	A	Existing procedures adequate	Clerk
	VAT – requirements of HMRC not met	VAT is reclaimed monthly or when the minimum threshold of £100.00 is achieved	A	Existing procedures adequate	Clerk

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Business Continuity	Incapacity/Absence of Clerk/ Resignation of Clerk	Designate a person to temporarily act as Clerk in an emergency. A Locum Service is available through the Society of Local Council Clerks or NCALC A councillor cannot receive remuneration for clerical duties. Locum costs can be expensive.	A		Council
	Loss or damage to Council records through theft/fire/damage Inability to access records	Minutes and Agendas are held on the Council's website. Paper copies held by Clerk until they are transferred to County Archive. Data is backed on external hard drives one of which is stored off site. Copies of policies and other records are also on the website and can be downloaded. Passwords available to the Chairman	A	Existing procedure adequate.	Clerk
	Security of data (IT systems and support)	Any confidential documents are securely destroyed. The Council laptop is password protected and has MacAfee security protection. Council is registered with the Information Commissioner	A	Existing procedure adequate.	Clerk Council
	Failure to retain or secure the necessary number of members for the Council	Clerk to maintain an up to date Councillor Attendance Register. The Council has a policy for casual vacancies.	A	Existing procedure adequate.	Clerk Council

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Business Continuity	Election costs	The Council maintains an election fund at £2500.00 to meet any election costs. If this is insufficient at any point in time, the shortfall will be met from the general reserve.	A	Existing procedure adequate.	Clerk Council
Legal	Freedom of Information	The Council has adopted the model scheme produced by the Office of the Information Commissioner. Assistance to be sought from Monitoring Officer or NCALC as required	A	Action any FOI requests in accordance with policy	Clerk
	Governing Policies not up to date	There is a rolling policy review schedule and policies are referred to Council for review as and when necessary.	A	Existing procedure adequate	Clerk Council
	Failure to ensure that all employees are paid in accordance with Council regulations and are adequately monitored. Failure to comply with Inland Revenue and HMRC regulations.	A Contract of Employment and Job Description is agreed for the Clerk. Clerk runs payroll using the HMRC BASIC PAYE tools. Ensure employee regulations are available and understood by the Clerk. No additional payment to the Clerk without Council approval.	A	Existing procedure adequate.	Clerk Council Internal Auditor Internal control

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Legal	Conflict of interest Members Register of Interests	Councillors are required to declare where they have an interest in any item of business and this is recorded in the Minutes. Completed Register of Interests forms are submitted to the Monitoring Officer at ENC and periodically reviewed. Any change in a Councillors Register of Interest must be declared. Code of Conduct has been adopted.	A	Existing procedures adequate	Councillors
Governance & Management	Lack of knowledge of regulations and legislation	Ensure that a Code of Conduct, Standing Orders and Financial Regulations are in place and are reviewed annually. Highlight essential parts and provide training where relevant. Attend training courses Membership of NALC & SLCC	A	Existing procedure adequate.	Clerk Councillors
	Action by the Parish Council outside its powers laid down by Parliament	Clerk to monitor relevant legislation and report to Council Advice sought from other bodies where required	A	Existing procedure adequate.	Clerk
	Lack of commitment to regulations and procedures	Council and Clerk to review Council's meeting and operational procedures annually.	A	Existing procedure adequate.	Clerk Chairman

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Governance & Management	Notice of meeting	The meeting Agenda is placed on village noticeboards and on the Council's website giving the required notice of each meeting. Councillors to receive summons electronically	A	Existing procedure adequate.	Clerk
	Accurate and legal Minutes	Minutes are presented to next council meeting for approval. Minutes are produced for all meetings. Draft Minutes are posted on the website.	A	Existing procedure adequate.	Clerk Council
	Written communication to third parties	All formal written communication/emails should be directed through the Clerk and may be signed by the Chairman or Vice-Chairman when necessary.	A	Existing procedure adequate.	Clerk Council
	Engagement by Members in the operation and activities of the Parish Council	Take every opportunity to publicise the role of the Parish Council through the website and facebook. Public Open Forum Sessions are held at start of each Council meeting. Effective use of village noticeboards. Use key issues to raise the profile of the Parish Council and to test parishioners' views. Councillors contact details are available on the website	A	Existing procedure adequate.	Council
	Impact of Public spending cuts	All Councillors to be made aware that priorities must be set on the basis of the financial capacity of the Parish Council to deliver. Attend training where appropriate.	A	Existing procedure adequate.	Council

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Governance & Management	Lack of engagement by Councillors and Residents on major items of public interest	Ensure publicity through village noticeboards, facebook, leaflets and website.	A	Existing procedure adequate.	Clerk Council
	Lack of knowledge by Councillors on their role, responsibility and accountability	All councillors to receive a 'councillor information' folder upon becoming a member of the council. Councillors to attend relevant training courses	A	Existing procedure adequate.	Clerk Council
	Inadequate insurance cover for members and Clerk	Review Risk Assessment by including on Agenda of Parish Council meetings at least annually. Ensure a Risk Assessment is carried out for all new assets and appropriate insurance cover implemented.	A	Existing procedure adequate.	Clerk Council
	Failure to identify, value and maintain all assets of the Parish Council, and ensure that asset and investment registers are complete.	Record and maintain a record of all assets for which the Parish Council is responsible and include in the year end accounts. Arrange for annual review of valuations and arrange for professional valuation where appropriate.	A	Existing procedure adequate.	Clerk
	Adoption and implementation of appropriate Government legislation	Clerk to have appropriate legislation available. Review liabilities and responsibilities periodically at Parish Council meetings. Clerk to attend training and conferences and to read sector publications to keep up to date.	A	Existing procedure adequate.	Clerk

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Assets and Property	Loss or damage to Assets Risk/damage to third party	An Asset Register is maintained for asset control An annual review of any assets will be undertaken for insurance purposes. Regular risk checks of Council property. Independent check of equipment in the play area at the recreation ground is instructed annually. Repairs undertaken by competent contractor Public liability insurance is in place	A	Existing procedure adequate	Clerk Council
	Poor maintenance of assets or amenities	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for any repair is actioned/authorised in accordance with the correct procedures of the Parish Council	A	Existing procedure adequate.	Council Clerk
	Employment of Contractors	Ensure that all contractors hold sufficient public liability insurance and health and safety certificates. Contractors to be issued with Councils requirements	A	Existing procedure adequate.	Council Clerk
	Adequacy of meeting locations Health & Safety	Parish Council meetings are held in Stanwick Village Hall, which is a venue considered to have all the appropriate facilities for the Clerk, Councillors and the general public.	A	Existing procedure adequate.	Clerk Council

Presented to Council 17th January 2019