

## Stenson Fields Parish Council Risk Assessment

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the Parish Council to identify any and all potential inherent risks. The Parish Council, based on a recorded assessment, will take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible.

This document has been produced to enable Stenson Fields Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

### FINANCIAL AND MANAGEMENT

Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Precept	Adequacy of precept in order for the Council to carry out its Statutory duties	L	To determine the precept amount required, the Council regularly receives budget update information monthly. At the precept meeting Council receives a budget report, including actual position and projected position to the end of year and indicative figures or costings obtained by the Clerk. With this information the Council maps out the required monies for standing costs and projects for the following year and applies specific figures to budget headings, the total of which is resolved to be the precept. The Clerk informs the Council when the monies are received.	Existing procedure adequate.
Financial Records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations which sets out the requirements.	Existing procedure adequate Review the Financial regulations when necessary
Bank and banking	Inadequate checks Banks mistakes	L L	The Council has Financial Regulations which set out banking requirements  Monthly reconciliation	Existing procedure adequate Existing procedure adequate
Reporting and auditing	Information communication	L	Financial information is a regular agenda item (Finance Report) and discussed/reviewed and approved at each meeting.	Existing procedures adequate.
Grants	Receipt of grant	L	Parish Council does not presently receive any regular grants other than those from SDDC and the possibility from DCC. The Clerk complete all claim forms within the required time frame.	Clerk to advise on when funding is received.

## Stenson Fields Parish Council Risk Assessment

			Any other grant applications will be subject to a separate risk assessment	Procedure would be formed, if required
Grants and support payable	Power to pay Authorisation of Council to pay	L	All such expenditure goes through the required Council process of listed, approval, and minuted accordingly. If a payment is made using S137 powers of expenditure, the Council will seek verification of the need for the request. The Clerk/RFO will maintain an annual running total of payments made under S137 to ensure that the average legal limit per head is not exceeded.	Existing procedure adequate.
Best value accountability	Work awarded Incorrectly. Overspend on services.	L M	Normal Parish Council practice would be to seek, if possible, more than one quotation for any substantial work to be undertaken as per the Financial Regulations. For major work competitive tenders would be sought. If problems encountered with a contract the Clerk would investigate the situation and report to the Council.	Existing procedure adequate. Include when reviewing Financial regulations.
Salaries and assoc. costs	Salary paid incorrectly. "Ghosts" on the payroll (fictitious staff)	L  L	The Parish Council authorises the appointment of all employees. Salary rates are assessed annually by a Committee and the recommendations are made to Full Council for approval to be applied on 1 April each year. Salary analysis and slips are produced by the Clerk monthly together with a schedule of payments to HMRC (for Tax and NI). These are inspected at the Council meetings and signed off. The Tax and NI is worked out using an approved computerise payroll programme, and is regularly updated.  All Tax and NI payments are submitted to HMRC together with the RTI. The Lengthsmen each submit a weekly time sheet containing hours, tasks. These are checked and initialled by the Clerk and submitted into the records. Each has a contract of employment and job description. The Clerk has a contract of employment and job description. All contracts of employment contain a section on overpayment and recoup. Salaries are paid in arrears, but if a meeting is cancelled or moved then payments could be late or missed. ☒	

## Stenson Fields Parish Council Risk Assessment

Employees	<p>Fraud by staff or Councillors</p> <p>Health and safety</p>	<p>L</p> <p>L</p>	<p>Requirements of Fidelity Guarantee insurance adhered to with regards to fraud. Financial Regulations to be regularly reviewed</p> <p>All employees to be provided adequate direction and safety equipment needed to undertake their roles.</p>	<p>Existing procedures adequate.</p> <p>Monitor health and safety requirements and insurance annually.</p>
VAT	Reclaiming/charging	L	VAT to be reclaimed at least annually to avoid any loss of income to the Parish Council	Existing procedures adequate
Audit - Internal Audit	Completion within time limits	L	Internal auditor is appointed by the Council. Internal auditor is supplied with the relevant documents to audit and the form to complete and sign for the External Auditor. Procedures are all covered in the 'Review of Effectiveness of the system of Internal Audit' which is reviewed annually	Existing procedure adequate
Annual Return	Submit within time limits	L	<p>Employers Annual Return is completed and submitted online with the prescribed time frame by the Clerk.</p> <p>Annual Return completed and signed by the Council, submitted to internal auditor for completion and signing then checked and sent to External Auditor within time frame.</p>	Existing procedures adequate.
Legal Powers	Illegal activity or payments	L	<p>All activity and payments within the powers of the Parish Council to be resolved at full Council Meetings, including reference to the power used under the Finance section of agenda and Finance report monthly.</p> <p>Councillors to receive initial training on election as Councillor and all Councillors to continue to ensure that they are fully up to date with latest developments</p>	<p>Existing procedures adequate.</p> <p>Use of DALC Circulars.</p> <p>Adherence to advice of Clerk</p>
Minutes/agendas/ Notices Statutory Documents`	<p>Accuracy and legality</p> <p>Business conduct</p>	<p>L</p> <p>L</p>	<p>Minutes and agenda are produced in the prescribed manor by the Clerk and adhere to the legal requirements.</p> <p>Minutes are approved and signed at the next Council meeting.</p> <p>Agenda displayed according to legal requirements.</p> <p>Business conducted at Council meetings should be managed by the Chair</p>	<p>Existing procedures adequate.</p> <p>Members adhere to Code of Conduct</p>

## Stenson Fields Parish Council Risk Assessment

	Safe keeping of Parish Council documents	L	Important Parish Council documents, such as the Minutes are to be retained by the Clerk in a fireproof cabinet. Older minutes are to be lodged with the Archive Dept (DCC) at Matlock	
	Libel and Slander	M	Chairman to maintain good order of the meetings to reduce risk of slander. To reduce the risk of libel, Clerk to prepare minutes to appropriate level and skill of a Clerk; and for the draft minutes to be reviewed by the Chairman before being circulated	Chairman's conduct of meeting to be fair and firm. Insurance policy to be kept up to date and relevant.
Members interests	Conflict of interests Register of members interests	M M	Declarations of interest by members at Council meetings. Register of members' interests forms reviewed regularly.	Existing procedures adequate. Members take responsibility to update register.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity and within policies. Ensure compliance measures are in place. Fidelity checks in place.	Existing procedure adequate. Insurance reviewed annually.
Data protection	Policy provision	L	The Parish Council is not registered with the Data Protection Agency. Consideration is to be given to registering.	Existing procedure adequate.
Freedom of Information	Policy Provision	L M	The Council has a Model Publication scheme in place. To date there has been no requests under FOI. Clerk to maintain good filing system to enable prompt access to the information. The Parish Council is aware that if a substantial request came in it could create a number of additional hours work. The Parish Council can request a fee to supplement the extra hours	Monitor any requests made under FOI
Councillors	Loosing Councillor Membership	L	When a vacancy arises there is a legal process to follow. This either leads to a bye-election or into a co-option process. An election is out of the Parish Council's control. The co-option process begins with an advert, acceptance of applications, consideration of applicants and co-option vote at a Council meeting then appointment.	Procedures of another body are adequate.
	Having more than 7	L	If there are more than 7 vacancies at any one time on the Council it	Existing procedures

## Stenson Fields Parish Council Risk Assessment

	vacancies at any one time		becomes inquorate. The legal process of the District Council appointing members takes place.	adequate.
--	---------------------------	--	--	-----------

## Stenson Fields Parish Council Risk Assessment

### PHYSICAL EQUIPMENT OR AREAS

Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Assets	Loss or damage Risk/damage to third party (ies) property	L L	An annual review of assets is undertaken for insurance provision A list of assets is held by the Clerk which is regularly cross checked to a physical audit of the assets of the Parish Council	Existing procedures adequate
Maintenance	Poor performance of assets or amenities	L	All assets owned by the Parish Council are regularly reviewed and maintained. A log is maintained of the inspections and any defects reported promptly. All repairs and relevant expenditure for any repair is actioned/authorised in accordance with the correct procedures of the Parish Council. Assets are insured.	Existing procedures adequate
Notice Board	Risk of damage	L	The Parish Council currently has five notice boards. No formal inspection procedures are in place but any reports of damage are faults are reported to the Parish Council by the lengthsman and dealt with in accordance of the correct procedures of the Council.	Existing procedures adequate
Meeting locations	Adequacy, including DDA compliant Health & Safety	L M	The Parish Council meeting is held in a venue considered to have appropriate facilities for the Clerk, members and the general public.	Existing procedures adequate
Council records – paper	Loss through: Theft Fire damage	L M L	The Parish Council records are stored at the home of the Clerk. Records include historical correspondences, minutes, insurance, and bank records. The documents are stored in a fire proof lockable cabinet.	Damage (apart from fire) and theft is unlikely and so provision is adequate.
Council records – electronic	Loss through: Theft, fire damage or corruption of computer	L M	The Parish Council electronic records are stored on the Council laptop held with the Clerk at home. Back ups of electronic data is made at regular intervals and stored off site.	Existing procedures considered adequate