

STILLINGFLEET PARISH COUNCIL – RISK ASSESSMENT / MANAGEMENT DOCUMENT 2023/24

- Risk assessment is a systematic general examination of the activities of the Parish Council to enable potential risks to be identified.
- The Parish Council, based on the recorded assessment, will take all practical and necessary steps to reduce or eliminate the risks identified.
- This document has been produced to enable Stillingfleet Parish Council to assess the risks inherent to its activities and satisfy itself that it has taken all reasonable steps to minimise them.

AREA	IDENTIFIED RISK	LEVEL OF RISK	CONTROLS	ACTION REQUIRED
FINANCIAL				
Precept	Adequacy of precept in order for Council to carry out Statutory duties	L	<ul style="list-style-type: none"> • Annual budget produced • The Council receives 4 monthly budget report. • Regular information and budget monitoring allows Council to estimate standing costs and costs of projects for the subsequent years. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
Financial Records	Inadequate records leading to financial irregularities	L	<ul style="list-style-type: none"> • Financial Regulations sets out requirement for production of records at meetings. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
Bank and banking	Inadequate checks/ bank mistakes	L	<ul style="list-style-type: none"> • Financial Regulations set out banking requirements. • Monthly bank reconciliation undertaken by clerk 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate

			<ul style="list-style-type: none"> • Four monthly bank reconciliation undertaken by Council's Internal Controllers 	
Reporting and Auditing	Communication of information	L	<ul style="list-style-type: none"> • Financial matters are a regular item on the Agenda of the Council bi-monthly meeting. • Bi-monthly checks by Councillors 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
Wages and associated costs	Salaries paid incorrectly Incorrect HMRC NI and PAYE payments	L	<ul style="list-style-type: none"> • Salary payments based on approved timesheet (checked by designated Councillor) are calculated by Purely Payroll & included in bi-monthly invoices listed for payment. • HMRC bi-monthly payments included in monthly invoices listed for payment checked by designated Councillor. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
Best Value Accountability	Work awarded incorrectly. Overspend on services	L	<ul style="list-style-type: none"> • Parish Council procedure (as per Financial Regulations) to wherever possible seek 3 quotes for all work estimated to cost over £100. • For major projects, competitive tendering process would be initiated (as per Financial Regulations) 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
VAT	Unclaimed VAT refunds	L	<ul style="list-style-type: none"> • Refunds from HMRC for reclaimed VAT noted in lists of bi-monthly income. • VAT incurred displayed in separate column in cash book. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate

EMPLOYMENT ISSUES				
Working hours	Over payment of wages for hours worked	L	<ul style="list-style-type: none"> • Chair has responsibility for monitoring of hours worked by the Clerk. • Clerk's time sheet submitted to Chair for approval bi-monthly. • Wage cost submitted on a bi-monthly basis as an invoice presented for payment 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
Working conditions	Council non-compliant with contractual obligations; leading to discontented workforce.	L	<ul style="list-style-type: none"> • Regular review of Clerk's performance and working relationship with the Council 	<ul style="list-style-type: none"> • Ensure all staff have access to reviews, etc
Health and Safety	Injury to staff in the working environment	L	<ul style="list-style-type: none"> • Periodic review of staff working procedures, risks involved and adequate direction on the safe use of any equipment required to undertake role. 	<ul style="list-style-type: none"> • Provide appropriate health and safety guidance to staff in conjunction with periodic review of working practices and risk assessments.
Fraud	Fraud by employees	L	<ul style="list-style-type: none"> • Requirements of Fidelity Guarantee within insurance provision. • Regular checks and internal controls on financial activity 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
INSURANCE PROVISION				
Adequacy	Insurance provision inadequate for the risk	L	<ul style="list-style-type: none"> • Annual review is undertaken of all insurance arrangements 	<ul style="list-style-type: none"> • No action required. • Existing procedure

	identified			adequate
Cost	Best value practice not undertaken	L	<ul style="list-style-type: none"> • Cost of insurance provision and service provided by said provider reviewed annually. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
FREEDOM OF INFORMATION PROVISION	Non-compliance with Freedom of Information Act statutory requirements	L	<ul style="list-style-type: none"> • Council has Model Publication scheme available on website and hard copy from the Clerk • Freedom of Information Request Policy in place • 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
DATA PROTECTION	Non-compliance with Data Protection Act and GDPR statutory requirements for registration as data controller	L	<ul style="list-style-type: none"> • Council registered with ICO as a Data Controller • Data/information audit complete and reviewed regularly • Privacy notices available on website • Consents log maintained • Policy for review of consents in place • Security Incident Procedure/policy in place 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
ANNUAL RETURN (HMRC)	Submission within time limits to avoid financial penalties	L	<ul style="list-style-type: none"> • Employers Annual Return to HMRC completed and submitted online within the required time frame by Purely Payroll Bookkeeping services 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
ANNUAL RETURN (TO EXTERNAL AUDITORS)	Submission within time limits to avoid financial penalties	L	<ul style="list-style-type: none"> • Figures for Annual return presented to Council for approval and signing Subsequently sent to internal auditor for completion and signing before being sent for External Audit. • 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate

LEGAL POWERS	Illegal activity and/or payments	L	<ul style="list-style-type: none"> • All actions of the Parish Council noted in Minutes presented to all members. • All resolutions for payment resolved at bi-monthly meetings of Parish Council. • Parish Council has General Power of Competence. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
STATUTORY OBLIGATIONS REGARDING DOCUMENTS	Accuracy and legality of notices, agendas, Minutes	L	<ul style="list-style-type: none"> • Minutes produced in the prescribed manner by the Clerk and adhere to legal requirements. • Minutes are approved, signed and dated at the next meeting of the Council/Committee. • Agendas and notices are produced in the prescribed manner by the Clerk and adhere to legal requirements. • Agendas and notices are displayed according to legal requirements. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
MEMBERS INTERESTS	Non-registration of Disclosable Pecuniary interests leading to criminal prosecution	L	<ul style="list-style-type: none"> • Request for all members to declare any interests in business to be considered at all meetings. • Registration of interests by members on prescribed form. • Responsibility of individual member to declare said interests. • Register of interests forms displayed of parish council website. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate

ASSETS MAINTENANCE	Loss or damage. Risk damage to third party	L	<ul style="list-style-type: none"> • Annual review of assets undertaken for both insurance provision and external audit requirements. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
i) Play areas	Damage to equipment. Risk to third parties	M	<ul style="list-style-type: none"> • Bi-weekly operational and maintenance checks undertaken by trained volunteers. • Play Area Supervisor in consultation with the Play Area Committee Chairman possesses emergency powers to deal with urgent repairs. • Annual safety inspection undertaken to RoSPA standards and report presented to Council for action. • All aspects of Play area considered by Play Area Committee on a regular basis with a summary presented at each Council meeting. • Public Liability insurance in place. 	<ul style="list-style-type: none"> • Volunteers to be trained 1 April 2023 • New procedure being set up for recoding of bi-weekly checks
ii) Notice boards dog bins/grit bins/ benches	Damage to equipment. Risk to third parties	L	<ul style="list-style-type: none"> • Bi-weekly checks of assets in playground undertaken by trained volunteers • Clerk possesses emergency powers to deal with urgent repairs up to a limit of £100. • Public Liability insurance in place. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
iii) Open spaces / trees	Risk to third parties	L	<ul style="list-style-type: none"> • Clerk possesses emergency powers to deal with urgent maintenance work up to a limit of £100. • Any matters relating to the Village 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate

			<p>Green (Open space provision) considered by Council on a bi-monthly basis.</p> <ul style="list-style-type: none"> Public Liability insurance in place. 	
ASSETS	Poor performance of assets	L	<ul style="list-style-type: none"> All assets owned by Parish Council are reviewed annually. All repairs and relevant expenditure authorised in accordance with correct procedures of the Parish Council. All assets insured. Insurance provision reviewed annually. 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
MEETING LOCATION	Premises inadequate for needs of Council and inaccessible for members of the public	L	<ul style="list-style-type: none"> All meetings of Stillingfleet Parish Council are held in the Village Institute which has adequate facilities for the hosting of meetings. Centre is fully DA compliant and on the main bus route through Stillingfleet. 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
COUNCIL RECORDS				
Paper Records	<p>Loss of essential records through theft and/or fire damage.</p> <p>Inaccessibility of Council Minutes, historical documents & financial records.</p>	<p>L</p> <p>L</p>	<ul style="list-style-type: none"> All pre-2018 Parish Council Minutes, historical documents and financial records are stored in lockable cabinet at clerk's house. 	<ul style="list-style-type: none"> No action required. Existing procedure adequate

Electronic Records	Loss through theft, fire damage or corruption of computer	L	<ul style="list-style-type: none"> Parish Council electronic records are stored in the DropBox on the personal computers of the Clerk. Back ups of electronic data in the Drop Box are made at regular intervals 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
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<p>KEY <u>LEVEL OF RISK:</u> L: LOW M: MED H: HIGH</p>
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Reviewed by STILLINGFLEET PARISH COUNCIL	18 May 2023
Next Review due	May 2024