

Slapton Parish Council Risk Assessment – Update 26th April 2021

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 the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

FINANCIAL RISKS					
Subject	Risk(s) identified	H/M/L	Management/control of Risk	Residual 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. At the Oct/Nov PC meeting the Council receives a budget proposal report, including actual position and projected position to the end of year and indicative figures or costings obtained by the Clerk for the following year. 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 amount to be requested from South Hams District Council. The figure is submitted by the Clerk in writing. The Clerk informs the Council when the monies are received.	L	Existing procedure adequate.
Financial Records	Inadequate records Financial irregularities	L	The Council has Financial Regulations which sets out the requirements.	L	Existing procedure adequate Review the Financial regulations when necessary
Bank and banking	Inadequate checks Banking or Banks mistakes	L	The Council has Financial Regulations which set out banking requirements.	L	Existing procedure adequate Existing procedure adequate
		L	Online banking ensure the Chair or Financial Cllr	L	

		L	approve all payments against the approved minutes submitted by the clerk. Quarterly/half year reconciliation	L	
Reporting and auditing	Information communication	L	Financial information is a regular agenda item (Finance Report) and discussed/reviewed and approved at each meeting.	L	Existing procedures adequate.
Grants	Receipt of grant(s)	L	The Council has Financial Regulations which set out requirements and procedures for receiving grants. All grants are recorded in the cashbook and reported to Council when received on the agenda (Financial report).	L	Existing procedures adequate.
Grants and support payable	Power to pay Authorisation of Council to pay	L	All such expenditure goes through the required Council process of approval, minuted and listed accordingly if a payment is made.	L	Existing procedure adequate.
Best value accountability	Work awarded Incorrectly. Overspend on services.	L/M L/M	The Council has Financial Regulations which set out requirements and procedures for both regular revenue payments and capital items and who can be invited to tender. At least 3 quotes are obtained and presented to council with an analysis of service provision matched against the brief.	L L	Existing procedure adequate. Include when reviewing Financial regulations.
Salaries and assoc. costs	Salary paid incorrectly. Unpaid Tax to Inland Revenue.	L L	The Council has Financial Regulations which set out requirements and procedures. All salary payments approved by monthly meeting. Clerks Salary is set as an approved regular monthly standing order to reduce risk of payment error	L	Existing procedure adequate.
Employees	Fraud by staff	L	Requirements of insurance adhered to with regards to fraud.	L	Existing procedures adequate. Monitor health and safety

	Health and safety	L/M	All employees to be provided adequate direction and safety equipment needed to undertake their roles.	L	requirements and insurance annually.
Volunteers and Non Cllr Members	Insurance Safety of the volunteers Public Safety	H	<p>All volunteers/ non Cllr Members of the PC or its official committees/sub committees, will be asked to complete the SLCC approved volunteer's application form which asks for specific disclosures to ensure public and own safety. Depending on the nature of the voluntary work, the PC may request a full or basic DBS check and the results of the check approved by the PC at the next PC meeting before any works commences. The DBS check cost will be paid for by the PC. Upon completing, signing and dating of the SLCC volunteers form, the PC are classed as 'adopting' the volunteer or non-Cllr member of which the person is then covered under the PC's insurance policy.</p> <p>Before starting any project, the PC/Committee members must ensure a full risk assessment is undertaken for each project and the volunteers briefed on health and safety and provided with the necessary PPE kit.</p> <p>Note: Road and Snow Wardens either paid of voluntary will need to follow the codes of working for each scheme to ensure they are covered by DCC Road Warden Insurance. The clerk will ensure the correct paperwork is in place and up-to-date.</p>	L	<p>New procedure to be implemented wef 1/4/2021 and as part of the CSG committee set up.</p> <p>PC / CLLR safeguarding training undertaken 8 March 2021 and SLCC templates obtained to determine policy.</p> <p>Run Safeguarding training at each new Council / brief new co-opted members.</p>
VAT	Reclaiming/charging	L	<p>The Council has Financial Regulations which set out the requirements.</p> <p>The process is now online from 2018. All VAT records are set as a separate sheet in the cashbook to set and reconcile the claim against.</p>	L	Existing procedures adequate

Annual Return	Submit within time limits	L	Employers Annual Return is completed and submitted online with the prescribed time frame by the Clerk. 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. The documents show the minute reference for approval.	L	Existing procedures adequate.
Legal Powers	Illegal activity or payments	L/M	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.	L	Existing procedures adequate
Minutes/agendas/ Notices Statutory Documents`	Accuracy and legality	L	Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting by the Council. Agenda displayed according to legal requirements.	L	Existing procedures adequate. Members adhere to Code of Conduct. New Cllrs to attend induction training.
	Business conduct	L/M	Business conducted at Council meetings should be managed by the Chair	L	
Members interests	Conflict of interests Register of members interests	L/M	Declarations of interest by members at Council meetings. Register of members' interests forms reviewed regularly.	L	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. Assets register submitted with the insurance renewal to ensure adequate cover in place.	L	Existing procedure adequate. Insurance reviewed annually.

Data protection	Policy provision	M	The Parish Council is registered with the Data Protection Agency and follows guideline and has adopted the SLCC data protection and email privacy policies Membership paid by annual direct debit to ensure cover and discount.	L	Ensure annual renewal of registration
Freedom of Information	Policy Provision	M	The Council will react as necessary to requests. To date there have been no requests under FOI. 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	M	Monitor any requests made under FOI
PHYSICAL EQUIPMENT OR AREAS					
Assets	Loss or damage Risk/damage to third party property	L	An annual review of assets is undertaken for insurance provision and approved at the May council meeting.	L	Existing procedures adequate
Maintenance	Poor performance of assets or amenities Unsafe work by contractors	L L	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for any repair or maintenance is actioned/authorised in accordance with the correct procedures of the Parish Council. Assets are insured. Proper procedures followed in tender documents, risk assessments undertaken as part of the road warden scheme procedures prior to work being undertaken. Contractors insured to £5M PL	L L	Existing procedures adequate
Notice Board	Risk of damage	L	The Parish Council currently has two notice boards. No formal inspection procedures are in place but any reports of damage are faults are reported to the Parish Council and dealt with in	L	Existing procedures adequate

			accordance of the correct procedures of the Council. The keys are held by the clerk to ensure control of publish information.		
Meeting locations	Adequacy Health & Safety	L	The Parish Council meeting is held in a venue considered to have appropriate facilities for the Clerk, members and the general public. Standing orders have an added addendum to enable remote meetings during the Covid-19 crisis. The PC will consider and follow all guidance from Government, the Village Hall and DALC and undertake the appropriate risk assessments relating to holding physical or hybrid meetings, to ensure the safety of Members, the Clerk and the general public.	L	Existing procedures adequate
Council records – paper	Loss through: Theft Fire damage	L/M	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 metal lockable filing cabinet. Archive material is held in Exeter at the Records Office.	L	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 L	The Parish Council electronic records are stored in the cloud on Business Drop box with full access by the Clerk and Chair should the laptop be damaged/officials fall ill/injured. All files are permanently backed up with 6 months full file recovery available	L	Existing procedures considered adequate
Web site	Out of date Hacked by third party	M L	Clerk ensures content is updated following each meeting. Regular agenda item to agree content. Maintained by reputable local web service	L	Existing procedures considered adequate