

## COTON IN THE ELMS PARISH COUNCIL

“The greatest risk facing a local authority is not being able to deliver the activity or services expected of the Council”. Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the employer to identify any and all potential risks inherent in the place or practices. Based on a recorded assessment the Council should then take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible, making sure that all employees are made aware of the results of the risk assessment.

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. In conducting this exercise, the following plan was followed:

- Identify the areas to be reviewed
- Identify what the risk may be
- Evaluate the management and control of the risk and record all findings
- Review, assess and revise if required

### FINANCIAL MANAGEMENT

Subject	Risk(s) 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 an unexpected or tragic circumstance	▪ L	▪ Existing plan adequate.	
▪ Precept	▪ Adequacy of precept ▪ Requirements not submitted to SDDC ▪ Amount not received from SDDC	▪ L ▪ L ▪ L	▪ To determine the precept amount required, the Parish Council needs to receive a budget update report at the December meeting, including actual position and projected position to end of the year and indicative figures or costings obtained by the Clerk. With this information the Council can map out the required monies for standing costs and projects for the following year and apply specific figures to budget headings, the total of which is resolved to be the precept amount to be requested from SDDC. The Clerk informs the Council when the monies are received (approximately April and July).	▪ The Council should follow the suggested procedure
▪ Financial Records	▪ Inadequate records ▪ Financial irregularities	▪ L ▪ L	▪ The Financial Regulations set out the correct requirements	▪ Review Financial Regulations annually
▪ Bank and banking	▪ Inadequate checks ▪ Bank mistakes ▪ Loss ▪ Charges	▪ L ▪ L ▪ L ▪ L	▪ The Financial Regulations set out the requirements for banking of cash and cheques and the reconciliation of accounts. ▪ Any errors made by the bank would be discovered when the Clerk does the monthly bank reconciliation and dealt with immediately. ▪ A bank reconciliation to be presented by the clerk to council, each quarter, with a relevant bank statement. Both to be signed by a councillor.	▪ Review Financial Regulations annually ▪ Review the bank signatory list after an APM and/or election.
▪ Cash	▪ Loss through theft or dishonesty	▪ L	▪ The Financial Regulations set out the necessary requirements, but no cash float is held	▪ Review the Financial Regulations annually
▪ Reporting and Auditing	▪ Information communication ▪ Compliance	▪ L ▪ M	▪ A financial statement of payments made and received since the previous meeting, together with a bank reconciliation and the balance held in bank accounts is submitted to the Council at every meeting. Internal Audit is carried out biannually and External Audit carried out annually to comply with the Fidelity Guarantee	Existing procedure adequate
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise

<ul style="list-style-type: none"> <li>▪ Direct Costs</li> <li>▪ Overhead Expenses</li> <li>▪ Debts</li> </ul>	<ul style="list-style-type: none"> <li>▪ Goods supplied but not billed</li> <li>▪ Incorrect invoicing</li> <li>▪ Cheque payable incorrect</li> <li>▪ Unpaid invoices</li> </ul>	<ul style="list-style-type: none"> <li>▪ L</li> <li>▪ L</li> <li>▪ L</li> <li>▪ L</li> </ul>	<ul style="list-style-type: none"> <li>▪ The Financial Regulations set out the necessary requirements.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Review Financial Regulations annually</li> </ul>
<ul style="list-style-type: none"> <li>▪ Grants and Support Payable</li> </ul>	<ul style="list-style-type: none"> <li>▪ Power to pay</li> <li>▪ Authorisation of the Council to pay</li> </ul>	<ul style="list-style-type: none"> <li>▪ L</li> <li>▪ L</li> </ul>	<ul style="list-style-type: none"> <li>▪ The Financial Regulations set out the necessary requirements.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Review Financial Regulations annually</li> </ul>
<ul style="list-style-type: none"> <li>▪ Grants Receivable</li> </ul>	<ul style="list-style-type: none"> <li>▪ Receipt of Grants</li> </ul>	<ul style="list-style-type: none"> <li>▪ L</li> </ul>	<ul style="list-style-type: none"> <li>▪ The Parish Council does not currently receive any regular grants. One-off grants would come with terms and conditions to be satisfied.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Procedure would need to be formed</li> </ul>
<ul style="list-style-type: none"> <li>▪ Rent Payable</li> </ul>	<ul style="list-style-type: none"> <li>▪ Payment of leases or rentals</li> </ul>	<ul style="list-style-type: none"> <li>▪ L</li> </ul>	<ul style="list-style-type: none"> <li>▪ The Parish Council has a licence for Strawberry Lane Playing Field from SDDC. Invoices payable for the rental amount are entered into the normal payment system for authorisation.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Existing procedure adequate</li> </ul>
<ul style="list-style-type: none"> <li>▪ Rent Receivable</li> </ul>	<ul style="list-style-type: none"> <li>▪ Receipt of rental</li> <li>▪ Insurance implication</li> </ul>	<ul style="list-style-type: none"> <li>▪ L</li> <li>▪ M</li> </ul>	<ul style="list-style-type: none"> <li>▪ The Clerk issues an agreement for usage and a monitoring form along with the invoice. Both parties sign the agreement and the Parish Council copy is held in Parish Council records. The Parish Council is notified accordingly. Football Clubs would have their own insurance and provide a copy to the Parish Council each year.</li> </ul>	<ul style="list-style-type: none"> <li>▪ An agreement and usage form is in place for football teams</li> <li>▪ Review agreement and fees annually.</li> <li>▪ Ensure payment and copy of insurance document received</li> </ul>
<ul style="list-style-type: none"> <li>▪ Best Value Accountability</li> </ul>	<ul style="list-style-type: none"> <li>▪ Work awarded incorrectly</li> <li>▪ Overspend on services</li> </ul>	<ul style="list-style-type: none"> <li>▪ L</li> <li>▪ M</li> </ul>	<ul style="list-style-type: none"> <li>▪ The Financial Regulations set out the necessary requirements</li> </ul>	<ul style="list-style-type: none"> <li>▪ Existing procedure adequate</li> </ul>
<ul style="list-style-type: none"> <li>▪ Salaries</li> <li>▪ Contracts of Employment</li> <li>▪ Job Descriptions</li> </ul>	<ul style="list-style-type: none"> <li>▪ Salary paid incorrectly</li> <li>▪ Wrong hours paid</li> <li>▪ Wrong rate paid</li> </ul>	<ul style="list-style-type: none"> <li>▪ L</li> <li>▪ L</li> <li>▪ L</li> </ul>	<ul style="list-style-type: none"> <li>▪ The Parish Council authorises the appointment of all employees at Council meetings. Salary rates are assessed annually and applied on 1 April each year, as approved by NALC</li> </ul>	<ul style="list-style-type: none"> <li>▪ The Contract of Employment and Job Description for the Clerk is reviewed as appropriate</li> </ul>
<ul style="list-style-type: none"> <li>▪ Employees</li> </ul>	<ul style="list-style-type: none"> <li>▪ Loss of key personnel</li> <li>▪ Fraud by staff</li> <li>▪ Actions undertaken by staff</li> <li>▪ Health &amp; Safety</li> </ul>	<ul style="list-style-type: none"> <li>▪ L</li> <li>▪ L</li> <li>▪ L</li> <li>▪ L</li> </ul>	<ul style="list-style-type: none"> <li>▪ Reference to the Business Continuity Plan should be made in the case of loss of any key personnel</li> <li>▪ The requirements of the Fidelity Guarantee insurance to be adhered to with regards to fraud. The Clerk should be provided with relevant training, access to assistance and legal advice required to undertake the role</li> </ul>	<ul style="list-style-type: none"> <li>▪ Monitor working conditions, safety requirements and insurance regularly</li> </ul>
<ul style="list-style-type: none"> <li>▪ Councillor Allowances</li> </ul>	<ul style="list-style-type: none"> <li>▪ Councillors overpaid</li> <li>▪ Income tax deduction</li> </ul>	<ul style="list-style-type: none"> <li>▪ N/A</li> </ul>	<ul style="list-style-type: none"> <li>▪ No allowances are currently paid to Parish Councillors.</li> </ul>	<ul style="list-style-type: none"> <li>▪ No procedure required</li> </ul>

<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
▪ 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 SDDC for a full election and an uncontested election. There are no measures which can be adopted to minimise the risk of having a contested election, as this is a democratic process and should not be stifled	▪ Existing procedure adequate
▪ VAT	▪ Re-claiming/charging	▪ L	▪ The Council has Financial Regulations which set out requirements	▪ Existing procedure adequate
▪ Legal Powers	▪ Illegal activity or payments	▪ L	▪ All activity and payments within the powers of the Parish Council to be resolved and minuted at Full Parish Council Meetings, including a reference to the power used.	▪ Reference to the power used needs to be implemented
▪ GDPR	▪ Breach of Data	▪ M	▪ Data Protection Officer appointed ▪ GDPR policy adopted.	▪ DPO to advise or when further advice is issued by the ICO
▪ Minutes/Agendas/Notices ▪ Statutory Documents	▪ Accuracy and legality ▪ Business conduct	▪ L ▪ L	▪ Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements ▪ Minutes are approved and signed at the next Council meeting ▪ Minutes and agenda are displayed according to the legal requirements ▪ Business conducted at Council meetings should be managed by the Chair	▪ Ensure that any uncertainties over powers are referred to DALC for advice ▪ Members to adhere to Code of Conduct
▪ Members' Interests	▪ Conflict of Interest ▪ Register of Members' Interests	▪ L ▪ M	▪ Members' Declarations of Interest is a standard agenda item ▪ Register of Members' Interest forms should be reviewed regularly by Councillors	▪ Existing procedure adequate ▪ Members to take responsibility for updating their register
▪ Insurance	▪ Adequacy ▪ Cost ▪ Compliance ▪ Fidelity Guarantee	▪ L ▪ L ▪ L ▪ M	▪ An annual review is undertaken (before the time of policy renewal) of all insurance arrangements in place. ▪ Employers and Employee liability insurance is a necessity. Ensure compliance measures are in place. ▪ Ensure Fidelity checks are in place.	▪ Existing procedure adequate ▪ Review insurance provision annually ▪ Review of compliance

## PHYSICAL EQUIPMENT OR AREAS

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
▪ Assets	<ul style="list-style-type: none"> <li>▪ Loss or damage</li> <li>▪ Risk/damage to third party(ies)/property</li> </ul>	<ul style="list-style-type: none"> <li>▪ L</li> <li>▪ L</li> </ul>	<ul style="list-style-type: none"> <li>▪ An annual review of assets is undertaken for insurance provision, storage and maintenance provisions</li> <li>▪ Update Asset Register as appropriate</li> </ul>	<ul style="list-style-type: none"> <li>▪ Existing procedure adequate</li> </ul>
▪ Maintenance	<ul style="list-style-type: none"> <li>▪ Poor performance of assets or amenities</li> <li>▪ Loss of income or performance</li> <li>▪ Risk to third parties</li> </ul>	<ul style="list-style-type: none"> <li>▪ L</li> <li>▪ L</li> <li>▪ L</li> </ul>	<ul style="list-style-type: none"> <li>▪ 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</li> <li>▪ All assets are insured and reviewed annually</li> <li>▪ All public amenity land is inspected by Parish employees</li> </ul>	<ul style="list-style-type: none"> <li>▪ Existing procedure adequate</li> <li>▪ Ensure inspections carried out</li> </ul>
▪ Notice Boards	<ul style="list-style-type: none"> <li>▪ Risk/damage/injury to third parties</li> <li>▪ Road side safety</li> </ul>	<ul style="list-style-type: none"> <li>▪ L</li> </ul>	<ul style="list-style-type: none"> <li>▪ Parish Council has three notice boards sited around the village. Both locations have approval by relevant parties. Any repairs or maintenance requirements are brought to the attention of the Parish Council by the Clerk.</li> </ul>	
▪ Street Furniture	<ul style="list-style-type: none"> <li>▪ Risk/damage/injury to third parties</li> </ul>	<ul style="list-style-type: none"> <li>▪ L</li> </ul>	<ul style="list-style-type: none"> <li>▪ The Parish Council has 2 seats covered by insurance. No formalised programme of inspection is carried out (including picnic benches)</li> </ul>	<ul style="list-style-type: none"> <li>▪ These are all inspected on the 'annual village walk about' in April</li> </ul>
▪ Meeting Location	<ul style="list-style-type: none"> <li>▪ Adequacy</li> <li>▪ Health &amp; Safety</li> </ul>	<ul style="list-style-type: none"> <li>▪ L</li> <li>▪ M</li> </ul>	<ul style="list-style-type: none"> <li>▪ The Parish Council meetings are held at the same venue every month. The premises and the facilities are considered to be adequate for the Councillors, Clerk and Public who attend from Health &amp; Safety and comfort aspects</li> <li>▪ At times of National Crisis, the council will endeavour to continue to meet via online platforms when face to face meetings are not permitted (guided by the legislation at the time).</li> </ul>	<ul style="list-style-type: none"> <li>▪ Existing location adequate and suitable alternative accommodation is available for larger public meetings</li> </ul>
▪ Council records – paper	<ul style="list-style-type: none"> <li>▪ Loss through <ul style="list-style-type: none"> <li>○ Theft</li> <li>○ Fire</li> <li>○ Damage</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>▪ L</li> <li>▪ M</li> <li>▪ L</li> </ul>	<ul style="list-style-type: none"> <li>▪ The more recent Parish Council records are stored at the home of the Clerk. Older records include correspondence, minutes and copies, leases for land or property, records such as personnel, insurance, salaries, etc. in the Village Hall in a filing cabinet. There are some older records held at the home of the Vice Chairman.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Damage (apart from fire) and theft is unlikely and so provision is adequate for most things apart from the leases. Historical records should be sent to Archives at DCC.</li> </ul>
▪ Council records – electronic	<ul style="list-style-type: none"> <li>▪ Loss through <ul style="list-style-type: none"> <li>○ Theft, fire, damage, corruption of computer,</li> <li>○ virus infections</li> <li>○ surges in power supply</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>▪ L</li> <li>▪ M</li> <li>▪ L</li> <li>▪ L</li> </ul>	<ul style="list-style-type: none"> <li>▪ The Parish Council's electronic records are stored on the Parish Council's laptop, which has full security and surge protection</li> <li>▪ Back-ups of files are taken at regular intervals</li> </ul>	<ul style="list-style-type: none"> <li>▪ A back up is held on an external hard drives</li> <li>▪ Existing procedure adequate</li> </ul>

## VERSION CONTROL

<b>V4 – Amended 16/04/2018</b>	<b>To include GDPR</b>
<b>V5 – Proposed amendment 26/04/2018</b>	<b>To include Play Equipment rear of V/H</b>
<b>V6 – Proposed amendment – 16/07/2018</b>	<b>GDPR – DPO Appointed GDPR Policy adopted</b>
<b>V7 – Proposed amendment – 16/07/2018</b>	<b>Business Continuity Plan – existing plan adequate</b>
<b>V8 – Proposed amendment – 17/06/2019</b>	<b>Remove lengthsman requirements, add quarterly bank reconciliation, increase noticeboards to 3, increase seats to 9. Play equipment annual check to be completed by councillor (post training July 2019)</b>
<b>V9 – Reviewed 29/04/2020</b>	<b>Add to meeting location. At times of National Crisis, the council will endeavour to continue to meet via online platforms when face to face meetings are not permitted (guided by the legislation at the time). Play equipment to the rear of the village hall. Remove. The annual check is to be taken on by a councillor, replacing the annual check from Playdale (following DALC training in July 2019)</b>
<b>V9 – Reviewed 21/06/21</b>	<b>No amendments</b>
<b>V9 – Reviewed 15/05/2022</b>	<b>No amendments</b>
<b>V10 – Reviewed 19/06/2023</b>	<b>Addition of naming pre school for monthly inspections at play equipment at village hall and annual inspections by Kompan (SDDC from 2024) and amendment of inspections of the play equipment at the recreation ground, monthly by Cllr and annually by SDDC.</b>