

SOUTH WITHAM PARISH COUNCIL – RISK ASSESSMENT POLICY

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

| FINANCIAL AND MANAGEMENT | | | | |
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| 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. At the precept meeting the Council receives a budget report, including actual position and projected position to the end of 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 Kesteven Council. | Existing procedures adequate |
| Financial Records/ Banking | Adequacy of records | L | The Council has Financial Regulations which set out the requirements for banking cheques and annual audit. Clerk presents monthly reconciliation/ reports and all cheques are signed by 2 Cllrs (not the clerk) | Existing procedures meet requirements |
| Reporting and auditing | Reporting Information communication | L | Financial reporting is a monthly agenda item (Finance Report). Members have the opportunity to discuss, question, review financial matters during the monthly Parish Council meeting | Relevant procedures in place |

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| Grants | Receipt of grants | L | Grant applications/procedures are followed and decisions shared with members as and when relevant. | Relevant procedures in place |
| Grants and support payable | Authorisation of Council to pay | L | All such expenditure must adhere to the Council process of approval, minuted and listed accordingly if a payment is made using S137 powers of expenditure. | Existing procedures meet requirements. |
| Best value accountability | Work awarded correctly. Minimise overspend on services. | L | Financial Regulations followed. Quotations/estimates obtained where required. Financial controls to be undertaken and monitored. Procurement procedures to be followed. Following Parish Council approval, where possible, local trades people will be awarded contracts/work. | Existing procedure adequate. |
| Employees | Prevent Fraud by staff | L | Requirements of Fidelity Guarantee insurance adhered to with regards to fraud. Finance reports presented. End of Year information reported/internal and external audit controls | Existing procedures meet requirements. |
| VAT | Reclaiming | L | The Council has Financial Regulations which set out the procedures to be followed. Reporting to council of VAT recovered. | Existing procedures meet requirements |
| External Audit Annual Return | Submit financial documentation as required within time limits | L | External Audit Annual Return completed and signed by the Council, submitted to internal auditor for completion and relevant checks. The Clerk to ensure that further requests from the External Auditor are responded to promptly and reported to the Full Council. | Existing procedures meet requirements |
| Minutes/agendas/ Notices Statutory Documents` | Accuracy and legality relating to official business | L | Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements. Minutes are | Existing procedures meet legal requirements. Members adhere to Code of |

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| | documentation Business conduct | L L | consecutively numbered, signed and dated by the chair. Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair | Conduct |
| Members interests | Conflict of interests | L | Declarations of interest by members at Council meetings and Pecuniary Interests forms regularly completed, submitted to SKDC and published on Council website as required | Existing procedures adequate. |
| Insurance | Adequacy Cost Compliance Fidelity Guarantee | L L L | An annual review is undertaken of all insurance arrangements to include: <ul style="list-style-type: none"> • Employers and Employee liabilities • Fidelity • Public Liability • Assets and Equipment | Existing procedure adequate. Insurance reviewed annually. |
| Data protection | Policy provision | L | The Parish Council is registered with the Information Commissioner's Office. Data Protection Policy, Data Breach Policy, Records Retention Policy, Subject Access Request Procedure are adopted | Ensure annual renewal of registration and policies |
| Freedom of Information | Policy Provision | L L | The Council has a Model Publication scheme in place. Fees for information should be based on time management in obtaining such information. | Monitor any requests made under FOI |
| LAND, ASSETS & EQUIPMENT | | | | |
| Maintenance of Council owned areas / assets - cemetery site, allotment site, village hall play area equipment, benches & bins and recreational | Loss or damage Risk/damage to third party (ies) property | L | An annual review of all assets is undertaken to ensure adequate insurance provision. Monthly inspections of play area equipment is undertaken by the Council and is an agenda item for discussion at each monthly meeting, with repairs made as required. Annual Rospa inspection undertaken and matters raised, are acted on by the Council to ensure fit for purpose. Regular inspections of | Existing procedures meet requirements |

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| playing field | | | the cemetery site and allotment site are undertaken by the Council and reported on at PC meetings, with action taken as required to make good/safe. The clerk maintains appropriate burial records. | |
| Maintenance of Village Hall | Loss or damage risk to third party (ies) property | L | The Village Hall is owned by the Parish Council and is regularly inspected and maintained. All repairs and relevant expenditure relating to repairs is authorised in accordance with the correct procedures of the Parish Council. The VHMC lease the building from the Council on a 3 Yr lease, lease agreement in place detailing the terms of the lease. VHMC takes out its own insurance and ensures all the H & S checks are performed regularly / documented in line with its Insurance requirements. | Existing procedures meet requirements |
| VH notice board / bus shelter / speed signs / defibrillator(s), war memorial and memorial bench | Risk of damage | L | The Parish Council currently has one notice board, one bus shelter, one war memorial, one memorial bench, two speed activated signs and two defibrillators All are regularly inspected by the Council and any reports of damage/ loss are reported to the clerk and dealt with in accordance with Council procedures. All are insured. | Existing procedures meet requirements |
| Meeting locations | Adequacy Health & Safety | L | The Parish Council meeting is held in the village hall, a venue considered to have appropriate facilities for the Clerk, members and the general public. The venue is compliant with Disability Laws. In exceptional circumstances Zoom is used to hold meetings, the Public are welcome to request attendance by contacting the clerk. | Venue meets requirements. |
| Council records – paper | Loss through: Theft | L | The Parish Council records are stored at the home of the Clerk/RFO. Records include | Damage (apart from fire) and theft is unlikely and so |

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| | Fire damage | | historical correspondences, minutes, insurance policy and information, bank records, policies, data protection records, allotment information and burial records. All documents are kept secure. | provision meets the expected requirements. |
| Council records – electronic | Loss through: Theft, fire damage or corruption of computer | L | The Parish Council's electronic records are stored on the Clerk/RFO's computer at home. Back ups of electronic data are made at regular intervals | Existing procedures meet requirements |

Updated 01.12.20