

## Castleton Parish Council Risk Assessment

Reviewed 26<sup>th</sup> January 2023

Signed.....Chairman

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 Castleton 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) indentified	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 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 amount to be requested from High Peak Borough Council. The figure is submitted by the Clerk in writing. The Clerk informs the Council when the monies are received.	Existing procedure adequate.

Financial Records	Inadequate records Financial irregularities	L	The Council has Financial Regulations which sets out the requirements.	Existing procedure adequate Review the Financial regulations when necessary, at a minimum annually.
Bank and banking	Inadequate checks	L	The Council has Financial Regulations which set out banking requirements, Annual Internal & External Audits and regular internal checks throughout the year.	Existing procedure adequate and new stencil developed for use from November 2017 for internal checks.
	Banks mistakes	L	Monthly reconciliation	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. Annual Internal & External Audits and regular internal checks used throughout the year.	Existing procedures adequate. New stencil developed for use from November 2017 for internal checks.
Grants	Receipt of grant	L	Parish Council does not presently receive any regular grants.	Procedure would be formed, if required
Charges-rents receivable	Payment of rents	L	The Parish Council collects rents in from council owned land. Land holders have signed agreements and rent income reviewed every year in January.	Existing procedure 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 using S137 powers of expenditure.	Existing procedure adequate.
Best value accountability	Work awarded incorrectly.	L	Normal Parish Council practice would be to seek, if possible, more than one quotation for any substantial work to be undertaken. For major work	Existing procedure adequate. Include when reviewing Financial Regulations.

	Overspend on services.	M	competitive tenders would be sought. If problems encountered with a contract the Clerk would investigate the situation and report to the Council.	
Salaries and assoc. costs	Salary paid incorrectly. Unpaid Tax to Inland Revenue.	L L	Clerk to report on salary and HMRC payments during relevant council meetings HMRC notified of all payments made to staff and any changes in circumstances reported immediately.	Existing procedure adequate
Employees	Fraud by staff Health and safety	L L	Requirements of Fidelity Guarantee insurance adhered to with regards to fraud. All employees to be provided adequate direction and safety equipment needed to undertake their roles	Existing procedures adequate. Monitor health and safety requirements and insurance annually.
VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out the requirements.	Existing procedures adequate
Annual Return	Submit within time limits	L	Annual Return is completed and submitted within the prescribed time frame by the Clerk, following authorisation and signing by the Council. It is then submitted to internal auditor for completion and signing then checked and sent to External Auditor within time frame.	Existing procedures adequate.
Legal Powers	Illegal activity or payments	L	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.	Existing procedures adequate
Minutes, Agendas, Notices	Accuracy and legality	L	Minutes and agenda are produced in the prescribed manor by the Clerk and adhere to the legal requirements.	Existing procedures adequate.

and other Statutory Documents`	Business conduct	L	Minutes are approved and signed at the next Council meeting. Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair	Members adhere to Code of Conduct
Members interests	Conflict of interests	L	Declarations of interest by members at Council meetings.	Existing procedures adequate. Members take responsibility to update register.
	Register of members interests	M	Register of members interests' forms reviewed regularly.	
Insurance	Adequacy	L	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.
	Cost	L		
	Compliance	L		
	Fidelity Guarantee	M		
Data protection	Policy provision	L	The Parish Council is registered with the Data Protection Agency	Ensure annual renewal of registration
Freedom of Information	Policy	L	The Council has a Model Publication scheme in place. To date there has 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	Monitor any requests made under FOI
	Provision	M		
<b>PHYSICAL EQUIPMENT OR AREAS</b>				
Assets	Loss or damage	L	An annual review of assets is undertaken for insurance provision	Existing procedures adequate
	Risk/damage to third party (ies) property	L		
Maintenance	Poor performance of assets or amenities	L	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant	Existing procedures adequate

			expenditure for any repair is actioned/authorised in accordance with the correct procedures of the Parish Council. Assets are insured.	
Notice Board	Risk of damage	L	The Parish Council currently has one notice board. No formal inspection procedures are in place but any reports of damage are faults are reported to the Parish Council and dealt with in accordance of the correct procedures of the Council.	Existing procedures adequate
Meeting locations	Adequacy Health & Safety	L M	The Parish Council meeting is held in a venue (Village Hall) 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, bank records. The documents are stored in a lockable cabinet and in a safe place.	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 Clerk’s personal laptop at home. Back ups of electronic data are made at regular intervals	Existing procedures considered adequate