

Fountains Abbey Parish Council

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RISK ASSESSMENT / MANAGEMENT DOCUMENT 2020

- **A Risk assessment is a systematic general examination of the activities of the Parish Council to enable potential risks to be identified.**

This Risk Assessment is based on a model issued by the Yorkshire Local Councils Association (YLCA) and was adopted by Fountains Abbey Parish Council at its Meeting held on 29th April 2024 minute 2024/2025 – 007(9)

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- 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 Bishop Thornton, Shaw Mills & Warsill 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 |
|--------------------------|---|---------------|--|--|
| <u>FINANCIAL</u> | | | | |
| 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 monthly budget report. • Monthly 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 setting out banking requirements and controls in place for electronic banking. • Monthly bank reconciliation statement | <ul style="list-style-type: none"> • No action required. • Existing procedure adequate |
| Reporting and | Communication of | L | <ul style="list-style-type: none"> • Financial matters are a regular item on | <ul style="list-style-type: none"> • No action required. |

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| Auditing | information | | <p>the Agenda of the Council monthly meeting.</p> <ul style="list-style-type: none"> • Monthly checks by Councillors | <ul style="list-style-type: none"> • Existing procedure adequate |
| Wages and associated costs | <p>Salaries paid incorrectly</p> <p>Incorrect HMRC NI and PAYE payments</p> | L | <ul style="list-style-type: none"> • Salary payments included in monthly invoices listed for payment checked by designated Councillor. • Independent, professional payroll service engaged by Parish Council | <ul style="list-style-type: none"> • No action required. • Existing procedure adequate |
| Best Value Accountability | <p>Work awarded incorrectly.</p> <p>Overspend on services</p> | L | <ul style="list-style-type: none"> • Parish Council procedure (as per Financial Regulations) to 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 |
| <u>VAT</u> | Unclaimed VAT refunds | L | <ul style="list-style-type: none"> • Refunds from HMRC for reclaimed VAT noted in lists of monthly income. • VAT incurred displayed in separate column in cash book. | <ul style="list-style-type: none"> • No action required. • Existing procedure adequate |
| <u>EMPLOYMENT ISSUES</u> | | | | |
| Working hours | Over payment of wages for hours worked | L | <ul style="list-style-type: none"> • Council has responsibility for monitoring of hours worked for all employees. • Wage cost submitted at each meeting for sign off. | <ul style="list-style-type: none"> • No action required. • Existing procedure adequate |

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| Working conditions | Council non-compliant with contractual obligations; leading to discontented workforce. | M | Regular reviews of staff performance and working relationship with the Council | Ensure all staff have access to reviews, etc |
| Health and Safety | Injury to staff in the working environment | L | Provision of regular reviews of staff working procedures, risks involved and adequate direction on the safe use of any equipment required to undertake roles. | Provide extensive health and safety guidance to all staff on a regular basis in conjunction with regular reviews 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 |
| <u>INSURANCE PROVISION</u> | | | | |
| Adequacy | Insurance provision inadequate for the risk identified | L | Annual review is undertaken of all insurance arrangements | <ul style="list-style-type: none"> • No action required. • Existing procedure adequate |
| Cost | Best value practice not undertaken | L | Cost of insurance provision and service provided by said provider reviewed annually. | <ul style="list-style-type: none"> • No action required. • Existing procedure adequate |
| <u>FREEDOM OF INFORMATION PROVISION</u> | 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 | <ul style="list-style-type: none"> • No action required. • Existing procedure adequate |

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| <u>DATA PROTECTION</u> | Non-compliance with Data Protection Act and GDPR statutory requirements for registration as data controller | L | <ul style="list-style-type: none"> • Clerk/RFO and members undertaken training • Data/information audit complete and reviewed regularly • Privacy notices available on website • Consents log live • Policy for review of consents in place • Retention and disposal policy adopted. • Security Incident Procedure/policy in place | <ul style="list-style-type: none"> • No action required. • Existing procedure adequate |
| <u>ANNUAL RETURN (HMRC)</u> | Submission within time limits to avoid financial penalties | L | Employers Annual Return to HMRC completed and submitted online within the required time frame by Instructed Professional | <ul style="list-style-type: none"> • No action required. • Existing procedure adequate |
| <u>LEGAL POWERS</u> | 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 regular ordinary meetings of Parish Council. | <ul style="list-style-type: none"> • No action required. • Existing procedure adequate |
| <u>STATUTORY OBLIGATIONS REGARDING DOCUMENTS</u> | Accuracy and legality of notices, agendas, Minutes | L | <ul style="list-style-type: none"> • Agendas, Notices and Minutes produced in the prescribed manner by the Clerk and adhere to legal requirements. • Agendas and notices are displayed according to legal requirements. • Minutes are approved, signed and dated at the next meeting of the Council/Committee. | <ul style="list-style-type: none"> • No action required. • Existing procedure adequate |

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| <p><u>MEMBERS INTERESTS</u></p> | <p>Non-registration of Disclosable Pecuniary interests leading to criminal prosecution</p> | <p>M</p> | <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 |
| <p><u>ASSETS MAINTENANCE</u></p> | <p>Loss or damage. Risk damage to third party</p> | <p>L</p> | <p>Annual review of assets undertaken for both insurance provision and external audit requirements.</p> | <ul style="list-style-type: none"> • No action required. • Existing procedure adequate |
| <p>i) Play areas</p> | <p>Damage to equipment. Risk to third parties</p> | <p>L</p> | <ul style="list-style-type: none"> • Clerk possesses emergency powers to deal with urgent repairs. • Quarterly operational and maintenance inspection undertaken by play equipment specialist • Annual safety inspection undertaken to RoSPA standards and report presented to Council for action. • All aspects of play areas considered by the council on a monthly basis • Public Liability insurance in place. | <ul style="list-style-type: none"> • No action required. • Existing procedure adequate |
| <p>ii) Notice boards dog bins</p> | <p>Damage to equipment. Risk to third parties</p> | <p>L</p> | <ul style="list-style-type: none"> • Clerk possesses emergency powers to deal with urgent repairs. | <ul style="list-style-type: none"> • No action required. • Existing procedure |

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| sat/grit bins benches | | | <ul style="list-style-type: none"> • Notice board provision considered by council on a monthly basis. • Public Liability insurance in place. | adequate |
| iii) Open spaces - trees | Damage to equipment. Risk to third parties | L | <ul style="list-style-type: none"> • Monthly checks undertaken by Clerk • Clerk possesses emergency powers to deal with urgent maintenance work. • Open space provision considered by Council on a monthly basis. • Public Liability insurance in place. | <ul style="list-style-type: none"> • No action required. • Existing procedure adequate |
| <u>ASSETS</u> | Poor performance of assets | L | <ul style="list-style-type: none"> • All assets owned by Parish Council are regularly reviewed. • 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 |
| <u>MEETING LOCATION</u> | Premises inadequate for needs of Council and inaccessible for members of the public | L | <ul style="list-style-type: none"> • All (in normal circumstances) meetings of Bishop Thornton, Shaw Mills & Warsill Parish Council are held in St Josephs School, Bishop Thornton which has adequate facilities for the hosting of meetings. | <ul style="list-style-type: none"> • No action required. • Existing procedure adequate |
| <u>COUNCIL RECORDS</u> | | | | |
| Paper Records | Loss of essential records through theft and/or fire damage. | L | All pre-2000 Parish Council Minutes are archived at central library all other minutes, leases and historical correspondence are stored in lockable metal cabinet at Clerk's | <ul style="list-style-type: none"> • No action required. • Existing procedure adequate |

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| | Council Minutes, leases and historical correspondence. | L | house | <ul style="list-style-type: none"> • Revision required of storage facilities and potential for loss and/or damage. |
| | Financial records. | L | All Parish Council financial records are stored at home of clerk | |
| Electronic Records | Loss through; theft, fire damage or corruption of computer | L | <ul style="list-style-type: none"> • Parish Council electronic records are stored on computers of Clerk / RFO. • Back ups of electronic data are made at regular intervals | <ul style="list-style-type: none"> • No action required. • Existing procedure adequate |