

## Salterforth Parish Council

### Risk Assessment and Action Plan for 2019 - 2020

This Risk Assessment is a systematic examination of working conditions and environment which will enable Salterforth Parish Council to identify all potential perceived within those conditions and environment. Based on this written assessment Salterforth Parish Council will take all practical steps to reduce or eliminate the risks identified in so far as it is possible. Salterforth Parish Council will ensure that all Councillors and staff are aware of the results of this assessment.

This Risk Assessment –

1. Identifies the areas to be reviewed
2. Identifies the risks perceived
3. Evaluates management of the risk and records the details
4. Enables review and reassessment

Subject	Risk Identified	H/M/L	Management of Risk	Review/re-assess
<b>FINANCIAL</b>				
Precept & budget	Adequacy of precept  Requirements not submitted to EDC	Low	To determine the precept amount required, the Parish Council regularly receives budget update information and the precept is an agenda item at Council Meeting in November and January.  Submitted by the Clerk in writing to EDC following budget/precept approval and before end January	<b>Action Plan - Ensure that the council follows the review schedule</b>

Financial records & reporting	Inadequate records Financial irregularities	Low	Budget update, bank balances and breakdown of receipts and payments produced and approved at each full Council meeting. The Council has Financial Regulations which set out the requirements.	Review the Financial Regulations annually.  <b>Action Plan</b> <b>review financial regulations in light of account shortcomings</b>
Insurance	Insurance not in place  Inadequacy of insurance  Cost increase	Med	Process payment for annual premium promptly  Employers and Public liability insurance is a necessity.  Out of Councils control. Look around for best value.	Review insurance provision annually.  Include % increase in budget; obtain quotes at least every 3 years
Annual return	Inaccurate or incomplete  Submit within time limits	Low	Clerk to attend training/ workshops as required Annual Return is completed and submitted to the internal auditor for completion and signing.  Meeting held to approve accounts in time for sending to Auditors	Review dates on receipt of audit pack
Banking	Fraud  Incorrect payments & bank mistakes	Low	Two signatories required on cheques Clerk checks bank statements monthly.  The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts	Review bank mandate annually at Annual Meeting and after a vacancy arises  Review the Financial Regulations annually.

Best value for works Accountability	Work awarded incorrectly Overspend on services	Low	The Council has Financial Regulations which set out the requirements and values for contracting works. Project budgets (if any) to be closely monitored	Review Financial Regulations annually
COUNCIL MANAGEMENT				
Councillors	Roles performed inadequately Conflict of interest Failure to attract candidates for councillor vacancies	Low	Councillors provided with adequate training, reference materials and access to assistance. Declaring of interests and consideration of dispensations by members at a meeting will remain on each agenda Registers of Members Interest to be maintained and reviewed regularly by Councillors. Actively publicise Council activities & vacancies on noticeboard, newspapers & social media; seek candidates amongst friends & neighbours	Review annually and on filling a vacancy Annual renewal Members take responsibility to update their Register
Powers	Illegal activity or payments	Low	All activity and payments within the powers of the Parish Council to be resolved and minuted at Parish Council Meetings, including a reference to the power used.	

Meetings & process	<p>Failure to achieve quorum at meetings</p> <p>Business conduct</p> <p>Council decisions not implemented</p> <p>Lack of public participation</p>	Low	<p>Business conducted at Council meetings should be managed by the Chairman according to Standing Orders. Chairman should be provided with training &amp; guidance Members to adhere to Code of Conduct.</p> <p>Review minutes for confirmation of action, Clerk &amp; Chair report at full meetings</p> <p>Ensure meetings are publicised on noticeboards. Publish agenda and minutes on Salterforth Parish Council website. Communicate verbally with residents Ensure public participation on all agenda &amp; seating available</p>	<p>Standing Orders reviewed annually</p> <p>Issued to councillors on election/co-option</p>
Statutory documents - Minutes/ Agendas/ Notices	Accuracy and legality	Low	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 published according to the Publication Scheme	Review Publication Scheme annually
Employees (clerk)	<p>Role performed inadequately</p> <p>Salaries &amp; expenses incorrectly paid</p>	Low	<p>Clerk has job description and Contract of Employment and provided with adequate training, reference materials and access to assistance</p> <p>Clerk's salary paid via PAYE using a payroll management contract. Expenses (following NALC guidelines where relevant) claimed on regular basis &amp; presented with receipts to Council</p>	<p>Annual review of Clerk conditions of employment and pay.</p> <p>Annual review of pay in accordance with LC1 (7-12)</p>
Review schedule	parish council not following correct procedures and within specified timescales	Low	Formalise schedule for reviews to ensure compliance with appropriate schedules and timescales	to follow review schedule

PHYSICAL EQUIPMENT/ AREAS				
Assets	<p>Damage/ injury to third party</p> <p>Damage to assets</p> <p>Councillors</p>	Med/high	<p>Public liability insurance held</p> <p>Annual programme of inspection.</p> <p>Maintenance/ repair/ replacement requirements identified and brought to attention of the Clerk</p> <p>Urgent repairs to be discussed &amp; agreed with Chairman in accordance with Financial Regulations. Non-urgent repairs to be agreed at next meeting with updated Asset Register.</p>	Insurance cover & asset register reviewed annually
Meeting location	Adequacy, Health & Safety risk	Low	Meetings held in Village Hall. Premises considered to be adequate for Council and public access and comfort.	
Council records	<p>Loss of paper records through theft, fire damage, etc</p> <p>Loss of electronic records through data corruption, theft etc</p>	Low	<p>Parish records (historic &amp; current) stored at the home of the Clerk and in Village Hall filing cabinet.</p> <p>Electronic Records stored on Clerks computer, backed up</p>	Additional electronic records back up held by Chairman

Village Playing Field Playground Equipment	Damage to goal posts and supports/damage injury to 3 <sup>rd</sup> party.	Med/high	<p>Insurance, including Public Liability Cover, arranged by Parish Council. Grass cutting arranged by garden Doctors</p> <p>Provide a formal way for the Parish Council to identify and be notified of , or potentially dangerous, equipment within the play area • Ensure the Council has sufficient information to make decisions on play equipment condition • Ensure that play equipment damage can be detected in a reasonable time • Ensure that potentially dangerous equipment is properly dealt with and appropriate action taken</p> <p>ROUTINE INSPECTIONS: A visual inspection of playground equipment will to be carried out weekly by a nominated Cllr.</p>	<p>Annual playground inspection and actioned accordingly</p> <p>Annual programme of inspection for equipment/bins/benches</p> <p>Weekly visual inspection</p> <p><b>Action – develop system for public to notify of broken/dangerous play equipment</b></p> <p><b>? Nominate Cllr</b></p>
Parish Notice Board	Damage/injury to 3 <sup>rd</sup> party	Low	Public liability insurance held	Visual inspection by clerk
Defibrillator	Needs to be working when required	High	regular inspections of defibrillator to include testing, batteries and check pads are not out of date	<p>Regular weekly inspection of defib</p> <p>Defibrillator training offered to residents</p> <p><b>Action - arrange defibrillator training for community</b></p>

**Policies distributed for review and adoption 2019**

Complaints procedure

Grants Policy Statement

Frequency of Review Schedule

GDPR Regulations

Model Publication Scheme

Bullying and Harassment Protocol

Gifts and Hospitality

Risk Assessment

Playground Maintenance and Inspection

Assets register