

Risk Assessment/Management Report 2021/22

Identify the risk	Level	Potential Consequences	Avoid, Reduce or Control	Any further action necessary
Elected Members/Staffing				
1. Illness/Resignation/Death of Clerk	H	Disruption in Administration of Council business	Temporary Administration and basic knowledge of system usually the Chair	DALC/District Council to provide temporary Clerk. Advertise vacancy in case of resignation or death.
2. <i>Disruption due to Pandemic</i>	<i>H</i>	<i>Disruption in Administration of Council Business</i>	<i>Adoption by the Parish Council of temporary arrangements to cover exceptional circumstances in accordance with emergency legislation and in line with government guidance</i>	<i>Maintain contact with DALC for support. Continue to monitor and respond to all developments in relation to the pandemic until all restrictions are lifted</i>
3. Illness/Resignation/Death of Council employees	M	Services to the Parish reduced.	Overtime and Planned cover for absences. Accident insurance taken out.	Formally agree cover arrangements for illness/holidays. Advertise vacancy in cases of resignation or death.
4. Accident to Council Member (eg travelling to a Council meeting/duty)	L	Injury and absence from meeting	Accident insurance taken out	See comment at B11 below. Where absence is likely to prevent attendance at meetings for more than 6 months obtain formal approval of Council for continued absence to prevent disqualification as member due to non-attendance
Administration/Legal Requirements				
1. Not keeping proper financial records in accordance with Statutory requirements	M	Incorrect record and information supplied to the Parish Council. Incorrect decisions made in relation to expenditure	Regular scrutiny of financial records and proper arrangements for the approval of expenditure. List of expenditure/receipts to every meeting. Financial statements provided at every Finance Committee meeting detailing expenditure against budget. Internal Auditor appointed to carry out checks to prevent fraud and corruption.	Two members of the Council are required to sign cheques, make amendments to standing orders and authorise all BACS payments on the Council's accounts. Reconciliation statements and financial statements are signed by the Chair.
2. To ensure all business activities are	M	Unlawful action by Parish Council	Record in minutes the precise powers	Provide a copy of the good councillor's

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within legal powers applicable to Parish Council		if not carried out.	under which expenditure is being approved and decisions taken	guide to each new member of the Council on election/co-option.
3. To ensure that all requirements are met under Employment Law and Inland Revenue Regulations	H	Unlawful action taken by Parish Council in relation to employment/ conditions of service	Monthly return to the inland revenue. Council to review Employment contracts on a frequent basis. Changes in legislation to be brought to the attention of the Council as and when required.	
4. To ensure that all requirements are met under VAT Regulations	H	Incorrect accounts and loss of revenue	All returns for the refund of VAT are made on a regular basis within the financial year. Details of VAT payments are recorded as part of the income and expenditure procedures	Refunds of VAT to be carried out at least annually.
5. To ensure the adequacy of the annual precept within sound budgetary arrangements	H	Incorrect precept leading to either under/overspending of Parish income	Regular budget monitoring statements submitted to Finance Committee.	Review of spending and the development of a four year spending plan
6. To ensure the proper use of funds granted to local community under Section 137	H	Unlawful use of Parish Council funds	New Procedures in place for the application of grant assistance and information on the group and proposed use of funding.	Grants limited to a maximum of £500
7. Proper and accurate reporting of Parish Council business in the minutes	M	Inaccurate administration and record keeping	Minutes are consecutively numbered during the calendar year each set have page numbers allocated. The chairman initials the bottom of each page and signs and dates the last page at each Council meeting for the previous meeting.	
8. Register of Members interests and gifts and hospitality in place, complete, accurate and up to date	L	Parish Council not meeting transparency requirements	Adoption of Code of Conduct for Members and all documentation in place. Members continue to declare interest and remove themselves from the meeting during the discussion of the item.	Copies of forms to be forwarded to the Responsible Officer at the District Council
9. Safekeeping of deeds, titles, etc	L	Incorrect and missing titles will lead to significant problems when considering matters relating to the land in the Council's ownership or that leased from or	Deposit deeds and leases with Council Solicitors for safe keeping or keep in secure storage where required more frequently in the Clerk's home	Consider purchase of secure fire safe document store

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		to the Council.		
10. Safekeeping of Council records	L	Loss of Council decisions and historical data. Disruption to the operation of the Council	Place all records that are more than 7 years old with the County Records Office. Make regular back up disks for Computer files. Review in April of each year.	Contact Records Office to arrange collection of files as necessary.
11. Lack of Insurance Cover	H	Litigation and financial cost to the Parish Council	<p>Following Areas to be covered:</p> <ul style="list-style-type: none"> Public Liability } Employers' Liability } Money } Mandatory Fidelity Guarantee } Cover Legal Expenses } Property Damage - Review Regularly Official Indemnity - Covered Libel and Slander - Covered Personal Accident - Covered 	Review Personal Accident cover to include an extension to increase upper age limit for Members of the Council and Clerks to the Council from 75 to 80 years
Property				
1. Repair/Damage to Bus Shelters	H	Inconvenience to the public – not available for use or part damage/part useable. Potential for insurance claims from the public	Inspected and cleaned weekly. Insurance cover for damage and public liability in place. Register of Assets kept up to date	Consider an increase in the frequency of maintenance of bus shelters to fortnightly.
2. Repair/Damage to wayside seats	L	Inconvenience to the public – potential for insurance claims	Inspection of wayside seats undertaken each year by District Council and by the Parish Warden every two weeks. Adequate insurance cover in place. Register of Assets kept up to date	
3. Repair/Damage – War Memorial	L	Subject to vandalism	Regular inspections of the Memorial to be undertaken by Parish Warden and damage reported	
4. Repair/Damage – Playing Fields and Children's Play Areas	H	Injury to children using the play equipment/playing fields. Unable to be used	In addition to weekly inspections by the Parish Warden, the Council's contractor carryout regular inspections and all damage/vandalism reported to the Parish Council for agreement to repair. Insurance for Public Liability	Consider refurbishment of all play areas in line with Ford Street and North Side. Include programme of refurbishment in Action Plan

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5. Repair/Damage/Stolen Equipment	M	Affects operation of Council business – cost of repair	Covered by insurance for theft. Maintenance schedule in place for Council computer	Look to include replacement of litter cart on a rolling five-year programme and upgrade of Council Computer hardware on a regular basis
6. Repair/Damage – Community Garden	H	Inconvenience to the public – not available for use or part damage/part useable. Potential for insurance claims from the public	Inspected and cleaned weekly. Maintained regularly by the Council's contractor Insurance cover for damage and public liability in place. Register of Assets kept up to date and CCTV installed to deter damage	
7. Tupton Village Hall Management Committee ceasing to operate	M	Custodian Trustee for Village Hall -Inconvenience to the public – not available for use.	Regular reports from Management Committee on viability of Village Hall as an ongoing business.	Progress talks with the Village Hall Management Committee to establish a clear relationship between the Management Committee and the Parish Council and secure sustainable arrangements for its the future