

# Great Shelford Parish Council

## Risk Assessment and Management 2022

This document has been produced to enable Great Shelford Parish Council (GSPC) to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. GSPC is aware that although some risks can never be eliminated fully, it has in place a strategy which provides structured, systematic and focused approach to managing risk which:

- Identifies the area of the business and the subject
- Identifies what the risk may be
- Identifies the level of risk
- Evaluates the management and control of the risk and records findings
- Reviews, assesses and revises procedures if required

Area	Subject	Risk(s) Identified	Level	Control (and agreed improvements)	Review/Assess/Revise
Management	Business continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	M	Paper files are kept in either the Clerk's home or Pavilion storage. Other files are stored electronically. In the event of the Clerk being indisposed, passwords have been provided to the Chairman to be opened in an emergency only in line with Financial Regulations. Create a continuity plan in the case of an emergency	Needs to be reviewed and assessed.
	Meeting Location: Pavilion	Adequate health and safety measures	L	Meetings of the Council and Committees are held in the Pavilion. Keys are held by the Clerk, Chairman, Vice-Chairman and Chairmen of committees. Cllrs have a separate alarm code log in to that of the Clerk. The premises are assessed on a regular basis for any health and safety concerns. A health and safety poster is displayed. Disabled access is provided. Fire Risk Assessment to be carried out. Fire, alarm and door entry systems maintained on an annual contract with Safron Security.	Continue to monitor



	<b>Council Records: Paper</b>	Loss through theft, fire or damage	L	Legal documents held by the Clerk. Key documents, inc. deeds, original minutes, etc. stored in storage room at the Pavilion. Other data storage to comply with current data protection legislation. Registration with the Information Commissioner's Office regularly reviewed.	Theft is unlikely. Access to the documentation at the Pavilion is limited. Consider the 'need to know' of Cllrs with keys to storage. Look at potential storage of items such as minutes (which have to be held for a lengthy period of time) with archives in Ely
	<b>Council Records: Electronic</b>	Loss through damage	M	GSPC's electronic records have been moved to the Microshade VSM server. All files are backed up with various levels of back up to external sources for Microshade. Financial records are stored on the Microshade VSM with backups every day and updates where necessary.	Adequate
<b>Assets</b>	<b>Street furniture</b>	Damage to physical assets	L	Buildings, street furniture, village sign, and playground equipment insured (Came & Company). Value increased annually by RPI. Asset register kept up to date with insurance held at the appropriate level for all items. Regular inspections made on all equipment.	Inspections need to be completed and documented
	<b>Office equipment</b>	Maintenance of assets	M	Assets currently maintained on an ad hoc, as needed basis. Look at a programme of maintenance for forthcoming 3 years. Programme of electrical equipment needs to be introduced.	PAT Testing to be arranged
	<b>Recreation Ground</b>	Damage to building, vandalism	L	Insurance cover is in place. Schedule of any incidents maintained.	Obtaining quote for additional CCTV.



				Problems identified are rectified as soon as practically possible to ensure facility remains accessible to public.	Other existing procedures adequate.
Finance	Banking	Inadequate checks	M	Parish Council accounts handled by RFO. Current account held with Unity Bank. Other deposit accounts held with Cambridge Building Society and Nationwide Building Society, for protection with implementation of FSCS for Parish Councils. Additional Deposit Fund Account opened with CCLA.  Access to online banking for all Cllrs with Chairmen of committees and Council able to authorise payments set up by RFO. No one person (including RFO) has access to all levels of authority on the account (view, authorise and submit)	Existing procedures adequate. Continue to monitor Financial Regulations as necessary.
	Insurance	Adequate cover	L	Insurance cover is reviewed annually. Employers Liability, Public Liability and Fidelity Guarantee are statutory requirements.	Existing procedure adequate.
		Cost	L		
		Compliance	L		
		Fidelity Guarantee	L		
	Financial controls of cash	Loss through theft or dishonesty	L	Cash transactions are discouraged. Any cash to be paid into the bank account as soon as possible via the post office with the relevant card for the relevant account. Receipts issued when required. Monthly reconciliation prepared by Clerk. All receipts to be detailed in monthly financial reports.	Existing procedures adequate. Continue to monitor Financial Regulations as necessary.



Clerk	Loss of Clerk	M	<p>In the event of the clerk resigning, the Council would need to approach CAPALC for a locum to provide cover.</p> <p>GSPC to consider recruiting an Assistant Clerk due to workload.</p> <p>Fraud</p> <p>The requirements of the Fidelity Guarantee insurance must be adhered to, to ensure cover is adequate.</p> <p>Internal procedures in place.</p> <p>Clerk should be provided with adequate training, reference books, access to assistance and legal advice</p> <p>Payroll run using BrightPay software.</p>	<p>Council maintains membership of CAPALC.</p> <p>Monitor working conditions.</p> <p>Existing procedures adequate.</p> <p>Existing procedures adequate</p>
VAT	Re-claiming/charging	L	<p>GSPC has Financial Regulations setting out the requirements.</p> <p>VAT recovered quarterly – Making Tax Digital is enabled through the Riatas Omega software.</p>	<p>Existing procedures adequate</p>
Precept	Adequacy of precept	M	<p>Sound budgeting to underlie annual precept request.</p> <p>Finance &amp; General Purposes Committee reviews budget in late autumn. All Committees and Working Groups asked to provide their estimated budget for the forthcoming year. Precept derived from this.</p> <p>Draft budget presented to Full Council for approval in January.</p> <p>Expenditure against budget reported to Council, quarterly.</p> <p>Risk Assessment of General reserves considered to ensure sufficient funding level in case of emergency.</p> <p>6-9 months of operational running costs held as General Reserves.</p>	<p>Existing procedure adequate.</p>



Payroll	Breach of employment law including NI and tax	L	Ensure complies with HMRC regulations GSPC is a member of CAPALC (and by association NALC) providing regular updates. Payroll run through BrightPay software	Internal Audit carried out twice a year. Existing procedures adequate.
Elections	Risk of Election costs  Risk of election to fill a casual vacancy	M  M	Risk in an election year. There are no measures which can be adopted to minimise the risk of a contested election.  Create Earmarked Reserves from precept budgeted for elections where the cost has not been incurred.	Budget 2022/23 for Elections and set Earmarked Reserves for future budgets.
Borrowing	Complying with borrowing restrictions	L	Council to be made aware of borrowing regulations if considering future borrowing.	Existing procedures adequate.
Annual Governance & Accountability Return (AGAR)	Not submitted within the time limits Not completed satisfactorily	L  L	AGAR is completed and signed by RFO and Chairman at appropriate meeting of GSPC.  AGAR is signed by Internal Auditor. Clerk to prepare a timetable for submission	Existing procedures adequate.  Existing procedures adequate
	Recommendations of Auditors (Internal and External) not complied with	L	Reports to be provided to full council for consideration and any actions documented and minutes for future action	Ensure that these actions are reviewed
Liability	Public Liability  Risk to third party, property or individuals	L	Insurance in place. Open spaces checked regularly. Play areas checked on a weekly basis by the Clerk and/or one Councillor (to be trained). Quarterly inspections to be carried out by Online Playgrounds and Play Inspection Company to carry out annual inspection on all play equipment.	Existing procedures adequate



			Visual inspection and report of trees by qualified arboriculturist (minimum of 3 yearly with more frequent assessments as required). Work carried out as recommended. Risk assessment carried out for-all council led events. Risk assessments carried out by other organisations holding events on parish council owned property. All information shared with relevant Safety Group at SCDC and insurance cover checked for each event as necessary.	
Public Liability	Safeguarding Children and Adults at Risk	L	DBS checks to be completed on any staff members or volunteers in contact with children or Adults at Risk (where practically possible).	Existing procedures adequate
Legal Liability	Legality of activities	L	Clerk to clarify legal position on proposals and to seek advice where necessary.	Existing procedures adequate
	Proper and timely reporting via minutes	L	Council receives and approves minutes at the next appropriate meeting. Draft minutes circulated to all councils as soon as practicable after the meeting.	Existing procedures adequate
	Proper document control	L	Document retention policy to be reviewed and approved. Insurance in place. Written H&S check list operated by Clerk for play areas. Play areas inspected quarterly and annually by appointed companies.	Review of retention policy
Employer Liability	Non-compliance with employment law	L	Councillors and Clerk to undertake training as required. Professional advice to be sought where necessary. Employers Liability insurance in place	Existing procedures adequate



			Membership of various national and regional bodies including employee's organisation. All employees issued with up to date contract of employment and job description.	
Employee Liability	Causing injury (damage) to employee property	L	Insurance cover in place	Existing procedures adequate
Councillor Liability	Causing injury (damage) to Councillors	L	Insurance cover in place	Existing procedures adequate
Minutes / Agendas. Statutory documents	Accuracy and legality Non-compliance with statutory requirements	L	Agendas and minutes are produced in the prescribed method and adhere to legal requirements Full Council or Finance & General Purposes Committee meets once a month and approves minutes at the following monthly meeting. Planning meetings held on first and third Mondays each month. Other Committee meetings are held as and when required Interim Committee meeting minutes to be made available to full Council at the monthly meeting. Minutes are made available to the public and press from either the Clerk or via the website (as per current data protection legislation). Any notes from Working Groups to be circulated as reports to full council before their meeting. Minutes are approved and signed at the next appropriate meeting unless there is a resolution made to defer approval until the following meeting. Minutes and agendas are displayed according to legislation.	Existing procedures are adequate. Members to adhere to the Code of Conduct and Standing Orders



				Business conducted at council meetings should be managed by the Chairman according to adopted Standing Orders	
	Legal Powers	Illegal activity or payments	L	All activity and payments made within the powers of GSPC (not ultra vires) are to be resolved and clearly minuted.	Existing procedures adequate
		Working Parties making decisions	L	Ensure clear Terms of Reference are in place with Financial Regulations in place (based on the Model document provided by NALC). GSPC has declared that they have the General Power of Competence (GPC).	Monitor the status of the GPC
	Health and Safety	Safety of staff and visitors	M	Lone Worker Policy to be put in place. To consider the Duty of Care to staff and access to the Clerk for members of the public. Regular H&S risk assessments to be carried out and reviewed annually.	
	Freedom of Information and Data Protection	Policy revision	L-M	GSPC has the following documentation in place: <ul style="list-style-type: none"><li>• Model publication scheme</li><li>• Privacy Data Notice</li><li>• Privacy Policy</li><li>• Data Protection Policy</li></ul>	To implement/update a Document Retention Policy Monitor and report impacts made under Freedom of Information and Data Protection. Regularly review.
	Contractor Liability	Health and Safety	Proper document control, risk to third party, property or individuals	M	Ensure that copies of relevant insurance cover held by contractors and sub-contractors obtained when carrying out work for Parish Council. Copies of training obtained where necessary. Method statements required from contractors.

<b>Reputational Risk</b>	<b>Councillor and Staff</b>	<b>Bringing the Council into disrepute</b>	<b>M</b>	Councillors understand and receive training on the Code of Conduct. A professional approach is undertaken on all Parish Council matters.	Training not received by all Councillors Members to identify training requirements.,
<b>Councillor Propriety</b>	<b>Members Interests</b>	<b>Conflict of Interest Register of Members Interests</b>	<b>M</b>          <b>L</b>	Councillors have a legal obligation to declare any interest before or at the start of a meeting or when a conflict becomes apparent during a meeting. Register of Members Interests form to be completed at beginning of term and reviewed annually or when a change in circumstances.	Existing procedures adequate.  Members take responsibility to update register as necessary

This risk management paper was considered by the Council at its Meeting held on Wednesday 19<sup>th</sup> January 2022.

Signed:  
Chairman

  
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