



Lapley, Stretton and Wheaton Aston Parish Council

Risk assessment and management

This document has been produced to enable the Parish Council to assess and identify the risks that it faces and satisfy itself that it has taken adequate steps to minimize them. In conducting this exercise the following plan was followed.

- Identify the areas to be reviewed.
- Identify what the risk may be and level of risk
- Evaluate the management and control of the risk and record all findings.
- Review, assess and revise as required.

This report will be reviewed and updated annually

Key

L low risk

M Medium Risk

H High Risk

Adopted October 2021

Reviewed October 2022

| Area | Risk | Level | Control/risk |
|----------------|---|-------|--|
| Assets | Protection of physical assets | M | <ul style="list-style-type: none"> outdoor equipment insured with Came & Company. Asset register to be reviewed annually at the Annual Parish Council Meeting |
| | Security of buildings, equipment etc | M | <ul style="list-style-type: none"> CCTV installed and monitored at Marston Field, serviced annually Full electrical inspection carried out by South Staffordshire Council in rented office |
| | Maintenance | M | <ul style="list-style-type: none"> Any maintenance issues must be completed as soon as practicable |
| | Street Furniture (ie notice boards, bus shelters) | M | <ul style="list-style-type: none"> Inspected on a regular basis. Furniture adequately insured with Came & Company. |
| | | | |
| Finance | Financial Management | L | <ul style="list-style-type: none"> All financial transactions governed by Lapley, Stretton and Wheaton Aston parish Council Governance Framework, Financial Regulations, Standing Orders and Governance and Accountability for Smaller Authorities in England (March 2018) |
| | Banking | L | <ul style="list-style-type: none"> Financial Regulations and Standing Orders set out banking requirements. Reviewed annually at Annual Parish Council meeting. Reserves held by Barclays Bank, day to day running with Unity trust Bank. Two signatures required for all expenditure. |
| | Risk of consequential loss of Income | L | <ul style="list-style-type: none"> Insurance cover with Came & Company. Sum insured £170,000 to cover any business interruption. Computers backed-up to external server (Microshade0 for best protection possible. No data stored on computers. |
| | Loss of cash through theft or Dishonesty | L | <ul style="list-style-type: none"> Receipts issued for income received. |
| | Financial controls and records | L | <ul style="list-style-type: none"> Bank reconciliation prepared by Clerk and checked by 2 councillors regularly at full council meetings. Expenditure authorised by two signatories. Confirm Council has the legal power Internal and external audit completed at least annually Financial Regulations and Standing Orders reviewed annually at Annual Parish Council meeting. |
| | Comply with VAT Regulations | L | <ul style="list-style-type: none"> VAT claims calculated by Clerk and checked by Assistant Clerk using Edge |

| | | | |
|--------------------|--|---|---|
| | | | <p>Accounting Software.</p> <ul style="list-style-type: none"> • Internal and external auditor to provide additional checks • Refer to HMCE Notice 749 for further guidance when necessary • Claims to be submitted on a regular basis |
| | Budgeting /precept request | L | <ul style="list-style-type: none"> • Finance committee to review expenditure against budget. • Full council to receive a copy of the budget for information at monthly parish council meetings. • Virements to be agreed as appropriate by full council • Precept to be agreed by full council in December for the next financial year. |
| | Complying with borrowing restrictions | L | <ul style="list-style-type: none"> • No borrowing required. |
| | | | |
| Liability | Risk to third party, property or individuals | M | <ul style="list-style-type: none"> • Liability Insurance with Came & Company. • Open spaces checked regularly. • Any maintenance issues must be completed as soon as practicable |
| | Legal liability as consequence of asset ownership (especially playgrounds and skateboard park) | M | <ul style="list-style-type: none"> • Liability Insurance with Came & Company. • Weekly checks of playgrounds, skatepark and open spaces., written records kept. • Annual inspections carried out by The Play Inspection Company and a full report presented to the council. |
| | | | |
| Employer Liability | Comply with Employment Law | L | <ul style="list-style-type: none"> • Membership of SPCA and SLCC for guidance. • SSDC also available for legal guidance |
| | Comply with HMRC Requirements | L | <ul style="list-style-type: none"> • Data processed by employees . Internal and external auditor to carry out annual checks. |
| | Safety of Staff and visitors | L | <ul style="list-style-type: none"> • Regular review of H&S risk assessments, additional risk assessments can be completed by John Ellis & Associates. Clerk in discussion with SCC occupational health regarding risk assessments for employee health • Reviewed and updated at least annually, or as required |

| | | | |
|----------------------|---|---|---|
| | | | |
| Legal Liability | Ensuring activities are within legal powers | M | <ul style="list-style-type: none"> • Legal advice to be sought where necessary. |
| | Proper and timely reporting via the Minutes | L | <ul style="list-style-type: none"> • Minutes made available to press and public at the Parish Council office and via the web site. |
| | Proper document control | L | <ul style="list-style-type: none"> • Leases and legal documents in Parish Clerks Office. • Other data storage to comply with the General Data Protection Regulations. • Statutory notices to adhere to the legal requirements |
| | | | |
| Councillor propriety | Registers of Interests and gifts and hospitality in place | L | <ul style="list-style-type: none"> • Register of Disclosable Pecuniary Interest to be completed at the start of term of office. • Gifts and hospitality register to be updated as required. • To be included as an agenda item in May of each year, for review |
| | | | |
| Data Protection | Breach of Confidentiality | L | <ul style="list-style-type: none"> • Council registered with Information Commissioners Office • Procedure/Policies put in place for General Data Protection Regulations (May 2018) |