Shaugh Prior Parish Council – Risk Assessment Management

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the Parish Council to identify any potential inherent risks. The Parish Council, based on a recorded assessment, will take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible.

This document has been produced to enable Shaugh Prior Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

Area	Risk(s) Identified	Risk Level H/M/L	Potential Impact H/M/L	Management/Control of Risk	Review/Action Required
Assets					
Assets	Protection of physical assets against loss or damage	Medium	High	Annual review of assets for purposes of insurance. Maintain existing Asset Register	Insurance policy to be reviewed annually. Monthly checks conducted for defibrillators. Maintain monthly play area inspections conducted by South Hams District Council.
Maintenance of above assets	Inadequate maintenance of play areas etc	Low	Low	Continual monitoring of all assets and implement maintenance works as necessary (such as grass cutting). Maintain monthly play area inspections conducted by South Hams District Council and act upon defects highlighted.	Continue to include funding within annual budget for routine maintenance.
Finance					
Precept	Overspend of	Low	High	Budget and Precept	Maintain existing

	operational budget and/or inaccurate setting of Precept level realising demand on reserves.			considered and agreed by the Council at Dec PC meeting. Sound budgetary control. Expenditure against budget considered monthly and reported quarterly by the RFO. Ensure that PC reserves do not drop to less than 6 months precept.	procedures
Bank and Banking	Bank errors and/or inadequate checks leading to financial irregularities.	Low	Medium	The PC has Financial Regulations in place which sets out the requirements. Monthly payments and receipts monitored by the RFO and reported at each meeting.	Maintain existing procedures. Review Financial Regulations annually.
Financial controls and records	Inadequate records leading to financial irregularities.	Low	Medium	Internal & external (depending on level of income/expenditure) audit undertaken on an annual basis. Carry out all financial procedures in accordance with approved Financial Regulations.	Maintain existing procedures. Review Financial Regulations annually.
Cash	Loss through theft or dishonesty.	Low	Low	The Council has no petty cash or float for expenditure. All transactions made by either BACS, DD or paid by cheque.	Existing procedures adequate.

Tenders	Best value not achieved.	Low	Medium	Adopted Financial Regulations detailed procedures to be followed	Maintain existing procedures
Payments	Goods not supplied but invoiced. Invoices incorrect. Invoices unpaid.	Low	Medium	All invoices recorded and filed on receipt. Invoices checked for accuracy and for receipt of goods and services. Two signatories on cheques/BACS payments and initialling of cheque stubs. Invoices initialled by Cllr. List of cheques for payment presented to full Council monthly.	Maintain existing procedures
Cheque Books	Loss of cheques. Fraudulent use	Low	High	Cheque books kept in safe location. No blank cheques signed. Minimum of 2 dedicated signatories required. Review bank mandate on an annual basis.	Maintain existing procedures
Receipts	Services provided by Council but not paid for	Low	Low	At present no direct services/functions provided by the Parish Council which generate receipts/payments to the Parish Council.	Maintain existing procedures
Grants	Mismanagement of Grant Aid powers.	Low	Low	Formal applications only considered for Grant Aid by Full Council. Conditions in place. Budgets adhered to.	Maintain existing procedures

Salaries	Incorrect payments to staff (rates, NI, tax) Payments not made to HMRC for PAYE	Low	High	Clerks salary reviewed annually during Clerks Appraisal. Contract with SHDC for payroll services. All correspondence filed. Internal audit.	Maintain existing procedures
Insurance	Adequacy Cost Compliance Fidelity Guarantee	Low Low Low Medium	Low Low Low Medium	An annual review is undertaken of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement	Maintain existing procedures
Election Costs	Inability to meet costs	Low	Low	Provision made in budget annually	Maintain existing procedures
VAT	Errors in calculation. Payments not made to HMRC.	Low	High	Comply with HMRC regulations. Annual VAT return to be made by RFO in accordance with Financial Regulations. Internal audit.	Maintain existing procedures
Annual Return	Inability to conduct year end close on time/not submitted on time	Medium	Medium	RFO to arrange internal audit early. Clerk ensures the Annual Return is completed and signed by the Council, submitted to the Internal Auditor for completion and signing, then checked and sent to the External Auditor within the time frame.	Maintain existing procedures

Freedom of Information Act	Policy provision	Low	Low	The Council has a model publication scheme for Local Councils in place. There have been no requests for information to date.	Maintain existing procedures. Monitor and report any impacts made under Freedom of Information Act
Liability					
Third parties	Risks to third party, property or individuals	Medium	Medium	Public & Products Liability Insurance in place (limit of indemnity £10m)	Insurance cover to be reviewed annually. Risk assessments of individual events.
Staff	Compliance with Employment Law	Medium	Medium	Employer Liability Insurance in place (limit of indemnity £10m)	Insurance cover to be reviewed annually
All personnel	Health & Safety matters	Medium	Medium	Ensure that appropriate Health and Safety requirements are adhered to. Ensure Clerk and Cllrs are provided with regular training opportunities.	Maintain existing procedures
Legal	Conduct of Council business is ultra vires	Medium	Low	Clerk to verify legal position for any new proposal.	Legal advice to be sought where required
Administration					
Councillor propriety	Incomplete register of interests.	Medium	Low	Clerk to ensure that register is kept up-to-date and uploaded to website.	Maintain existing procedures
Councillor propriety	Failure to declare interests	Medium	Low	Regular reminder to members and included on each monthly meeting agenda	Maintain existing procedures
Councillor/staff propriety	Breach of confidentiality	Medium	Low	Regular reminder to members/staff to operate	Maintain existing procedures

				in accordance with adopted Code of Practice	
Computer Records	Loss of data through system error or theft	Low	High	Back-up on completion of all entries. External hard drive used for backing-up information and kept off-site. Update PC virus software annually.	Maintain existing procedures
Reports and records	Improper and untimely reporting of meetings via the minutes	Medium	Medium	Minutes and the agenda are produced in the prescribed manner by the Clerk and adhere to legal requirements and Standing Orders. Minutes are approved and signed at the next Council meeting. Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chairman in accordance with agreed Standing Orders of the Council.	Maintain existing procedures
Health and Safety					
Well-being of Staff and Cllrs	Bullying and Harassment of PC staff and Cllrs.	Medium	High	Adopted Cllr Code of Conduct detailing clear guidelines on Cllr	Maintain existing procedures

| | Threats of verbal and physical harassment and violence. | | | behaviour. Anti-Bullying and Harassment Policy adopted by the PC. Adopted Policy in relation to Grievance and Disciplinary Procedures to be followed. Where risks to physical and mental health are identified, specific Risk Assessment to be undertaken by HR Sub Committee. | |

Date……………..**5th March 2025**……………………………………….Min Ref………**35/25**…………………………….