

SANDIACRE PARISH COUNCIL – RISK MANAGEMENT ASSESSMENT

Subject	Risk Identified	H/M/L	Management control of risks	Review/Assess/Revise
The Council				
Council not able to obtain adequate numbers of Councillors to make a quorum.	Losing councillor membership	L	When a vacancy arises, there is a legal process to follow which either leads to a bye-election or co-option process. An election is organised by EBC. Co-option involves: advertising, acceptance of applications, consideration of applicants and co-option vote at a full Council meeting, then appointment.	Existing procedures satisfactory
	Loosing Councillors Vacancies arising	L	If the Council becomes inquorate with less than 3 Members, the Clerk will follow the appropriate legal process to fill the vacancies and in the first instance, through co-option	Existing procedures satisfactory
Members' interests	Conflict of Interest	L	Declaration of Interests on the Agenda reminds Councillors of their duties.	Existing procedures satisfactory
	Register of Members' Interests	M	Register of Members' Interests forms should be reviewed regularly by Councillors. If their circumstances change, the Clerk and Monitoring Officer should be informed.	Members take responsibility to update their DPI.
Meeting location	Adequacy Health and safety	L L	PC meetings are held at the Memorial Institute. Premises and facilities are adequate for the Councillors, Clerk and public who attend the meetings.	Existing procedures satisfactory
Financial				
Annual Return	Completion/Submission within time limits	L	Completed by the Council, submitted to internal auditor, agreed at Council meeting (Annual Governance statement, then Accounting Statement) Then submitted to external auditor. Exercise of Electors' Rights to be followed using set dates.	Existing procedures satisfactory
Assets	Loss/Damage Risk or damage to third parties/property	L	Annual review of assets undertaken for insurance provision, storage and maintenance provisions	Asset register should be updated annually
Maintenance of assets	Poor performance of assets or amenities Risk to third parties	L	All assets owned by PC are regularly reviewed and maintained. All repairs and relevant expenditure for these repairs are actioned/authorised in accordance with correct procedures of the PC. All assets are insured and reviewed annually.	Existing procedures satisfactory

Audit - Internal	Completion within time limits	L	Internal auditor is appointed by Council, supplied with relevant documents to complete the audit and the form to complete and sign for the External auditor. Internal auditor provides internal audit report upon completion.	Existing procedures satisfactory
Bank and banking	Inadequate checks Bank mistakes Loss Charges	L L L L L	Financial Regulations set out requirements for banking, cheques and reconciliation of accounts Clerk reconciles the bank accounts once a month when the statement arrives. Any problems/irregularities are dealt with immediately. Authorised quarterly by 2 Councillors Council chooses replacement bank, but this takes time	Existing procedures satisfactory
Internet banking	Loss of signatories	M	Any transactions to be carried out electronically must be authorised at Council meetings.	
Cash/Loss	Loss through theft or dishonesty	L	See Financial Regulations Cash/cheques are banked within 3 working days There is no petty cash, float or Council credit card No cash received is kept overnight on the premises Annual internal audit	Existing procedures satisfactory
Contracts	Ensure continued value for money coupled with continuity of work.	L	Approve the practice of seeking tenders for grass cutting maintenance at least every two years by inviting tenders and approaching interested firms. At least 3 tenders required, unless existing company re-instated.	Standing orders
Financial records	Inadequate records Financial irregularities	L L	Council's Financial regulations set out requirements	To be reviewed annually
Grants received Grants issued S137		L L	PC does not regularly award grants as limited income Grants can only be awarded to the budget limit each year. PC does not receive regular grants. Ensure grant paid into correct account and application for any grant (successful or not) and amount is shown in the Minutes.	Grant awarding policy
Insurance	Adequacy Cost Compliance	L L L	Insurance arrangements are reviewed annually before the policy is due for renewal. Employers and Employee liability is essential.	Review insurance provision annually
Litigation	Potential risk of legal action being taken against the Council	M	Public liability insurance covers general personal injury claims where the Council is found to be at fault, but not spurious or frivolous claims – these cannot be insured against.	Insurance is satisfactory for requirements, but there is still risk of other claims

Precept	Precept: Adequacy of funds	L	Careful budgeting to support annual Precept expenditure within limits Finance Committees considers budget requirements for forthcoming year and Precept is considered prior to ratification by full Council in January	
VAT	Re-claiming regularly	L	Financial regulations set out requirements. VAT must be claimed at least annually.	Existing procedures satisfactory
Office premises				
Office equipment	Electrical equipment causes shock to officer/Councillor/Public	L	PAT testing: Annual check PLI, H&S policy, employers liability insurance 5-yearly testing of fixed electrical wiring carried out	Existing procedures satisfactory
Office H & S	Slips/trips/falls	L	'Good housekeeping' procedures, office kept tidy and cables routed around edge of office.	Existing procedures satisfactory
Storage Council records	Loss through theft, fire, corruption of computer	L L	Council's electronic records are stored on the office computer and backed up through a Cloud system for the Clerk to access at home.	Existing procedures satisfactory
Paper copies	Loss through theft or fire		Archive material is retained in the office Burial records: Registers, files and computer records	Filing cabinets Electronic copies retained

Staff				
Clerk/ RFO Cemetery Manager	Loss of Proper Officer	L	Immediately advertise any vacancy (if permanent loss) and request help to cover temporary loss (unpaid if Councillor).	None.
	Actions undertaken by Clerk	L	Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role.	Monitor working conditions, safety requirements and insurance regularly
	Health and safety		Working from home/driving to/from Council meetings. The clerk's own car insurance should cover travel to and from place of work.	

Salary and associated costs	Salary paid incorrectly Incorrect hours/rate paid Incorrect deductions/unpaid contributions of NI or tax	L L L	PC authorises appointment of employee/s through full Council meetings. Salary rates are assessed annually by the Finance Committee. The Clerk's salary sheet details payments to HMRC and are inspected by the Council before being authorised. Income tax and NI are worked out using Basic PAYE tools. Clerk has contract of employment and job description Salaries are paid in arrears. If a meeting is cancelled or moved, then payment is authorised and reported at next meeting	Existing appointment system satisfactory Training on PAYE for clerk if necessary
Assets				
Buildings / Land / Parks / Cemetery	Loss or damage	L	Office, Lock-up & Pinfold Valued	Insurance is satisfactory for requirements
Play Areas	Loss of use of play equipment.	L	Continue with regular maintenance and safety checks and take unsafe equipment out of service until repairs carried out.	Approved contractor only to carry out appropriate repairs
	Safety of equipment.	M	Annual check – ROSPA Daily site checks Monthly inspection reports	
Trees	Safety of trees in public areas	M	Trees are surveyed annually by qualified tree surgeons. Work is undertaken as recommended by them.	Continue with regular maintenance and safety checks.

Last Reviewed: April 2025

Next Review: April 2026

Review annually