Document Control

Organisation	Stondon Parish Council
Title	Risk Assessment Register
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Note – Review date is indicative and will depend on changes in Legislation or best practice

This document has been produced to enable Stondon Parish Council to assess the risks[1] that it faces and satisfy itself that it has taken adequate steps to minimise them. In conducting this exercise, the following plan was followed:

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

FINANCIAL AND MANAGEMENT				
Subject	**Risk(s) Identified**	**H/M/L**	**Management/Control of Risk**	**Review/Assess/Revise**
Business continuity	Risk of Council not being able to continue its business due to an unexpected circumstance to the Clerk or member	H L	In the event of long term non-availability or incapacity of the Clerk, the Chairman to contact BATPC and SLCC for advice and provision of a Locum Clerk. Shared passwords for access to Council's online support and software packages are held in secure KeePass log. Council has a contracted IT company to facilitate access to inboxes in the event this is needed. Council's documents are online in Sharepoint to facilitate access by Staff/Councillors for relevant documents. In the event of long term incapacity or non-availability of a most of the members (can't hold quorate meeting), the Chairman, vice chair or remaining members to contact BATPC for advice.	Existing procedures are adequate

[1] Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the employer to identify any and all potential risks inherent in the location or practices. Based on a recorded assessment the employer should then take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible, making sure that all employees are made aware of the results of risk assessment.

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Precept	Adequacy of precept. Requirements not submitted to CBC. Amount not received from CBC.	L L L	To determine the precept amount required, the Parish Council regularly receives budget update information from the Responsible Financial Officer (RFO) and the precept is an agenda item at full Council. At the precept meeting, timing of which is as defined by the Principal Authority, the Council receives a budget update report, including actual position, current position (if possible with a projection to year-end) and indicated figures or costings obtained by the RFO. This process can't be delegated. With this information the Council determines the required monies for revenue costs and capital projects for the following year and applies specific figures to budget headings, the total of which is resolved to be the precept amount to be requested from Central Bedfordshire Council (CBC). This figure is submitted by the RFO in writing to CBC. The Clerk informs Council when the monies are received. If the full requested precept is not approved/received from CBC, further precept/budget meetings will be arranged to resolve received precept and Council budget expenditure.	Existing procedures are adequate.
Financial records	Inadequate records. Financial irregularities	L L	The Council has Financial Regulations which set out the requirements to maintain adequate financial records. The Council has Financial Regulations which set out the financial procedures to be followed to identify any irregularities.	Existing procedure adequate. The Financial Regulations are reviewed for adequacy and continual improvement on an annual basis.
Council Records	Risk of Council not being able to continue its business due to an unexpected total or partial loss of records	L	Council Records are kept electronically with back up files maintained by the Clerk; Key council documents are stored on line; paper record documents are kept in a lockable metal filing cabinet managed by the Clerk.	Existing procedures are adequate

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Bank and banking	Inadequate checks Bank mistakes Losses Bank Charges	L L L L	The Council has Financial Regulations which set out the requirements for banking, cheques, payments (via on-line banking and debit cards) and reconciliation of accounts. Payments are approved in line with Financial Regulations. The bank does make occasional errors in processing cheques or incurring bank charges which are discovered when the RFO reconciles the bank accounts once a month when the statement arrives. These errors are dealt with immediately by informing the bank and awaiting their correction. Approved members of the Council have access to Bank statements on-line and can review as needed. Clerk/RFO provides statements at each meeting for approval.	Existing procedure adequate. Annually review the Financial Regulations, banking arrangements and bank signatory list, especially after an election or resignation of Councillor. RFO monitors the bank statements monthly.
Cash	Loss through theft or dishonesty	L	The Council has Financial Regulations governing cash management.	Existing procedure adequate. Annually review the Financial Regulations as noted previously.
Reporting and auditing	Information communication Compliance	L M	A monitoring statement is produced before each Council meeting distributed with the agenda, discussed and approved at the meeting. This statement includes, bank reconciliation, breakdown of receipts and payments. Council regularly audit internally.	Existing reporting procedures adequate. Council has appointed an Internal Auditor for compliance monitoring.
Direct costs Overhead expenses Debts	Goods not supplied but invoiced by supplier Cheque/On-line payment incorrect Unpaid invoices	L L L	The Council has Financial Regulations which set out the requirements for cross-checking invoices received against goods supplied. Council approves the list of requests for payment. Approved members of the Council have on-line access to statements. Unpaid invoices to the Council for services are pursued.	Existing procedure adequate. Annually review the Financial Regulations as noted previously.

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Grants and support payable	Power to pay Authorisation of Council to pay	L	All such expenditure to go through the required Council process of approval, minuted and listed accordingly if a payment is made using S.137 power of expenditure.	Existing procedure adequate. Regular review of Grant Aid Policy
Grants receivable	Receipts of Grant	L	The Parish Council does not presently receive any regular grants. One-off grant applications come with terms and conditions to be satisfied.	Existing procedure adequate. Procedure would need to be formed, if required
Charges Rentals receivable	Receipt of lease rental Insurance implication	L	The Council engages managing allotment rentals. Monies are collected annually and payments confirmed.	Allotment Leases issued and rents monitored and reconciled for payment. Existing procedure adequate.
Best value accountability	Work awarded incorrectly Overspend on services	L M	The Council has Financial Regulations which set out the requirements for achieving best value for goods/services supplied to the Council. Competitive tenders are sought for higher value services/goods.	Existing procedure adequate. Annually review the Financial Regulations as noted previously.
Salaries and associated costs	Salary paid incorrectly Wrong deduction of NI and Tax Unpaid Tax and NI contributions to the Inland Revenue Overtime Expenses	L L L L L	The Parish Council's Personnel Committee authorises the appointment of the Clerk, Community Engagement Officer and Open Spaces Officer, and in line with current best practice taking into account all aspects of recruitment legislation. Salary rates are assessed annually and in line with NALC and applied on 1 April each year. Salary analysis and slips are produced by the Clerk together with a schedule of payments to the Inland Revenue (for tax and NI payments). The Tax and NI is worked out using an Inland Revenue software. All Tax and NI payments are submitted in the Inland Revenue Annual Return. The Clerk, Community Engagement Officer and Open Spaces Officer have a contract of employment and job description which includes a requirement for expenses claims form, including appropriate receipts. The Clerk to obtain Parish Council prior authorisation for any overtime to be incurred.	Existing appointment and salary payment system is adequate. Existing overtime and expenses payment system is adequate. Procedures for annual reviews of salary adequate.

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Employee	Fraud by employee Actions taken by staff	L L	When recruiting, the Clerk and Parish Council's Personnel Committee check references. Staff are appointed on a 6-month probationary period. The requirement of the Code of Conduct and Council's Insurance policies to be adhered to with regards to Fraud. The Clerk, where required, to be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role.	Existing procedure adequate. Monitor requirements and insurance terms annually.
Chairman allowances	Chairman over-paid Income tax deduction	L	Nominal annual allowance allocated to Parish Chair for expenses.	No procedure required
Councillor allowances	Councillors over-paid Income tax deduction	L	Nominal annual allowance allocated to Parish Councillors for expenses.	No procedure required
Election costs	Risk of an election cost	L	Risk is higher in an election year. When elections are due Central Bedfordshire Council provide an estimate of costs for a full election and an uncontested election. There are no measures which can be adopted to minimise the risk of having a contested election as this is a democratic process and should not be interfered with.	Existing procedure adequate
VAT	Re-claiming/charging	L	The Council has Financial Regulations which set out the requirements for dealing with VAT payments and costs reclamation.	Existing procedure adequate
Annual return	Submit within time limits	L	The RFO/Clerk completes the Employer's Annual Return online and submits to the Inland Revenue within the prescribed time frame.	Existing procedure adequate
Legal powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved and minuted at full Council Meetings, including a reference to the power used.	Existing procedure adequate

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Minutes/Agendas/ Notices Statutory documents	Accuracy and legality Business conduct	L L	Minutes and agendas are produced in accordance with Standing Orders by the Clerk. Minutes are approved and signed at the next Council meeting. Minutes and agenda are displayed on the Council's website and notice boards according to the legal requirements. Business conducted at Council meetings is managed by the Chair. Guidance/training to Chair will be given (if required).	Existing procedure adequate Members to adhere to Code of Conduct
Website	Inadequate or outdated information and lack of public engagement with the use of website	M	Website content updated by Cler and Councillors as necessary.	Existing procedure adequate, however, a new website is being planned to drive community engagement and maximise the volunteer programme.
Members' Interests	Conflict of Interests Register of Members Interests	L L L L	The declaring of interest by members at all Council meetings is included on the agenda. List of Councillors Interests available for public/councillor inspection on the Local Authority website. Members declarations recorded in minutes of meetings Register of Members Interest forms reviewed regularly by Councillors.	Existing procedure adequate. Members take responsibility to update their Register Existing procedure is adequate.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L L	An annual review is undertaken by the RFO (before the time of the policy renewal) of all insurance arrangements in place. Employers and Employee liability insurance is a necessity and must be paid for. Ensure compliance measures are in place. Ensure fidelity checks are in place.	Existing procedure adequate Review insurance provision annually. Review of compliance
Data protection	Policy Provision	M	The Council is registered with the ICO under Data Protection Act 2018 and physical data is held securely in the Clerk's office (in line with the Council's Policy on Data retention and destruction of records). Online data access by the Clerk and Employees is via the Council's Sharepoint site. The Council has prescribed data	Existing procedure adequate

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			breach reporting procedures and staff are given training on adherence to GDPR regulations and requirements.	
Freedom of Information Act	Policy Provision	L	The Council has a FoI policy in place. If a substantial request arrives then this may require additional work by the Clerk. They will be dealt with in line with the regulations.	Existing procedure adequate Clerk to monitor and report any impacts of requests made under Freedom of Information Act.
Democratic Representation & Management	Failure to comply with legislation and/or regulations.	M M	Councillor's handbook issued to all Councillors when they take office. Standing Orders, Financial Regulations. Scheme of Delegation and Code of Conduct, in place and reviewed regularly. Town Clerk attends professional conferences / seminars. Parish Clerk is working on CiLCA.	Standing Orders reviewed annually or where NALC Model Standing Orders are updated.
Democratic Representation & Management	Failure to provide timely and adequate – notice of Council Agendas and production of Council Minutes.	L L L	Parish Clerk is working towards CiLCA qualification. Procedures in place for production, distribution and publication of Agendas and Minutes and agreed with the Chair. Council's full annual meeting schedule placed on notice boards and on website. Noticeboard copies updated regularly where extraordinary meetings are added.	Existing procedures adequate.
Democratic Representation & Management	No knowledge of changes to regulations or new regulations.	L	Advice received via SLCC/BATPC on changes in regulation. Policies are reviewed regularly and updated, if necessary, in light with best practice.	Policies reviewed against SLCC/NALC model policies and other town Councils.
Democratic Representation & Management	Reputational damage – poor public understanding of the role of the council and its services.	L	Regular public consultation on a variety of important matters. Increased social media content related to the council's management of services, deliberate and positive publicity concerning services and issues, use of social media to advertise Council meetings.	Existing procedures adequate.
Lone Working	Injury or incident whilst staff working alone		Lone working policy sets out the Council's responsibilities to its staff when they are working alone. Staff carry mobile phones and inform relevant persons of location/work activity. PPE provided where required. Dynamic risk assessments undertaken.	Staff to carry mobile phones, Life 360 downloaded on the phone to enable Clerk to find them in the event of an emergency.

Lease Community Buildings	Failure by management committee to maintain building compliance or adequate insurance		Lease arrangements define responsibilities. Annual insurance certificates requested. Regular liaison meetings held. Compliance responsibilities monitored, legionella risk management, fire risk assessments, emergency lighting management, PAT Testing, safeguarding.	Clerk and Council to meet with SVHMC bi-annually to re-assess risk performance and management.

PHYSICAL EQUIPMENT OR AREAS				
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Assets	Loss or damage Risk/damage to third party property or individuals	L L	An annual review of assets is undertaken The Parish Council has an asset register. The Council hold	Existing procedures adequate Review asset register, insurance provision
Maintenance	Poor performance of assets or amenities Loss of performance Risk/damage to third parties	L L	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for these repairs are actions/authorised in accordance with the financial regulations of the Council. All assets are insured and reviewed annually.	Existing procedure adequate. Ensure inspections are carried out.
Bus Shelters	Removing broken safety glass - Cuts/lacerations	L	Bus Shelters are not owned by Council; shelter owner is contacted by the Clerk & request made that broken glass to be cleared away as soon as possible.	Contact usual contractor to perform repairs etc.
Notice Boards	Risk/damage/injury to third party	L	The Parish Council is responsible for a number of notice boards sited in the village. The notice boards are inspected regularly by the Clerk/members and any repairs/maintenance requirements brought to the attention of the Council.	Existing procedure adequate
Street furniture	Risk/damage/injury to third parties	L	The Parish Council is responsible for several benches, and litter bins. (see ‘Maintenance’). A programme of inspections is carried out; all reports of damage are reported to the relevant authority/body. Dog bins are inspected and emptied by CBC; if a problem is reported to the Council, the Clerk will contact CBC.	Frequent inspection through usage by Parishioners and Councillors as appropriate.

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			Litter bins are emptied and inspected regularly by CBC or by the Council's contractor. Any damage/vandalism reported.	Then any faults/problems reported to Open Spaces Officer or usual contractor.
Play Equipment/ Outdoor Gym	Risk/damage/injury to third parties/public	L	The Parish Council is responsible for several areas of play equipment and an Outdoor Gym (see 'Maintenance'). The Council will do an inspection on a weekly basis and highlight anything of concern. Each site has a noticeboard and contact point in case of emergency and if any issue with the equipment is identified. This will be followed up by an annual professional independent inspection of all the play equipment, with repairs and adjustments recommended in the inspector's report as appropriate. The Parish Council will review the state of all play equipment with a view to replacing old or worn items or purchasing new equipment. The Council follows closure procedures for unsafe equipment. The Council holds relevant Public Liability Insurance.	Existing procedure adequate. Ensure inspections are carried out
Grassed areas – Potholes	Injury to public	L	Grass area inspected by contractor when cut and any issues reported back to Parish Council which arranges remedial work.	Continuous monitoring and infilling by the Open Spaces Officer or usual contractor.
Attenuation Pond / Swale / Open Water Drainage channels or ponds	Injury to public	L	Pollards Way: The Parish Council has fencing and thick planting around the pond to inhibit access by the public. The Council holds relevant Public Liability Insurance.	Review of the fencing to ensure structurally sound.
		L	Meadowsweet Way: Attenuation Pond fenced and signage on the fencing alerting to water danger. The Council holds relevant Public Liability Insurance.	Review of the fencing to ensure structurally sound. Additional signage to be added to access areas on private driveways.

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		L	Morello Way: Drainage Channel and Attenuation Pond on Anglian Water owned land. The Council holds relevant Public Liability Insurance.	Additional planting needed for the attenuation pond. A life saving device is on site in the event this is needed.
Trees – Collapse or structural damage	Injury to public	L	Council receives complaints from public if concern raised about tree condition; these are reported to the relevant authority (usually CBC. Trees also inspected regularly by contractors who report any issues to the Parish Council which in turn contacts Central Beds' arboriculturalist when necessary and/or arranges for a contractor to carry out remedial work.	Continuous monitoring
Use of incompetent contractors / poor workmanship	Staff, Public and Contractors	L	All contractors are asked to provide their Health and Safety Policy, risk assessments & method statements for the associated work activities. Contractor asked to provide copies of public liability insurance cover of at least **£10 million**. Also, employee and public liability insurance certificates. Contractors handling sanitary waste, clinical waste, herbicides, pesticides, etc. are to be appropriately licensed. Evidence of registration and licence is obtained by the Clerk. Work of all contractors is monitored by the Clerk and Councillors from the relevant Working Group as required with personnel interests being declared in accord with Standing Orders as appropriate.	Contractors to ensure all criteria are met. Monitoring by Councillors as required
Meeting location	Adequacy Health & Safety	L L	Parish Council meetings are held in the Community Centre. All premises and the facilities are considered to be adequate for the Clerk, Councillors and Public who attend from Health & Safety and comfort aspects.	Existing locations adequate
Council records – paper	Loss through: Theft Fire Damage	 L M L	Council paper records are stored in the metal locked cabinet in the Store Room adjacent to the Council office. Records include limited correspondence, minute books and copies of leases for land, records such as personnel, insurance, salaries in line with document retention scheme. Bedford Council Archives is used for long term storage of records.	Damage and theft is unlikely but possible; appropriate and adequate measures to be discussed with and agreed/provided by Clerk to ensure

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			Many materials are available in electronic format and some stored on the Parish Council website hosted by CBC.	that long term the provision is adequate.
Council records – electronic	Loss through: Theft Fire Damage Corruption of computer	L L L L L	The Parish Council's electronic records are stored on Sharepoint. Back-ups of the files are available via Microsoft. Passwords needed to enter computer systems and software packages used by Council Employees Hard drive (available in the office only) is encrypted using standard methodologies. Anti-virus software installed and system updated regularly on the computer system(s).	appropriate and adequate measures to be discussed with and agreed/provided by Clerk to ensure that long term the data back-up provision is currently deemed adequate.
Health & Safety Compliance	Failure to comply with statutory H&S duties	H	Health & Safety policies to be created and implemented accordingly. Risk assessments to be undertaken, especially for Open Spaces Officer who works with high-power tools. Contractors monitored. Staff training provided.	