



Risk Management of the Council

Item	Risk Rating L/M/H	Details	Controlled (Yes/No)	Action required
1	Assets			
Insurance Cover for the Council	L	Employers Liability Insurance	Y	Insurance is reviewed each year. Insurance issued Zurich Insurance, PO Box 726, Chichester PO19 9PS – renewal date 1 st June each year.
Office security	L	Sensitive computer data is password protected.	Y	Clerk has created a sealed envelope for Chair and Vice Chair with all passwords. Kept in fireproof box.
	L	Files Backed up on regular basis Stored on site in metal filing cabinet	Y	Back up carried out by Clerk onto a cloud account and memory stick
Asset Register	L	Maintained and accurate	Y	The register is updated and reviewed annually by Clerk/Council and Internal Auditor
2	Finance			
Cash Loss	NA	Procedures to ensure safety of cash transfer (if applicable)	NA	No cash or petty cash transactions
Handling VAT	L	Make accurate and regular reclaims Ensure correct values applied	Y	Claims made by Clerk on an annual basis and reported to Parish Council Annual meeting. Will be checked by a Councillors Internal Audit trail
Budgeting (precepts)	L	Maintain accurate accounts to control budgets	Y	The clerk ensures all accounts are maintained accurately and checked by a Councillor on a quarterly basis. Budget is produced in November by Clerk and one Councillor. Annual precept is based on spending and income, which is reviewed in November Parish Council meeting. Precept applied for in January to ESBC by Clerk, with two councillors to initial the application, before it being submitted. Councillors to review the funds in the Deposit and Treasurers, annually. Contingency fund is to be set up and then reviewed annually.
	L	Annual precept based on adequate budgetary process	Y	
	L	Reserves/contingencies appropriate	Y	



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	Awarding Grants	NA		NA	NA
	Obtaining Grants	L	Grant training and funding training to be established and funding bodies reviewed annually	Y	Councillors to advise Clerk which funding is required. Clerk and Chair/Vice Chair to submit funding applications once agreement in meeting has taken place.
	Conforming to legislation	M L L L	Lack of commitment to regulations/procedures Items purchased without proper tendering procedures Payments made without approval/control knowledge of accounting requirements	Y Y Y Y	All agreements are made by the Parish Council at meetings. Clerk is in contact with Staffordshire Parish Council Association and a member of Society of Local Parish Clerks, so can be advised on all legislation to bring to the Parish Council meetings. Financial Regulations are included within the Standing Order document and are posted on Parish Council website and ensure the Council adheres to all regulations. Council has a professional internal auditor Clerk to go on training if any legislation is changed
	Banking arrangements	L L	Control of signatories Continual review of interest bearing accounts	Y Y	Financial Regulations adopted by Council ensure 2 signatures are required for any cheque or money transfers from Lloyds account Annually review of accounts T&C
	Gifts	L	Maintain register and review regularly	Y	Only accepted after vote by full Council
	Salary payments	L L	Paid in accordance with Council regulations PAYE/NI handled appropriately	Y Y	Parish Council has signed contract with Clerk for salary and abides by NALC annual pay reviews The Clerk uses Bradleys Ltd to submit PAYE details monthly – all pay slips included in accounts and minutes and checked by internal audit. Clerk sends Chair/Vice Chair the monthly submission receipt from HMRC
	Procedures	L	Accounts are kept in an Accounts Spreadsheet Account monitoring undertaken by: Councillors/Internal/External Auditor	Y	The Accounts are kept in an Accounts Spreadsheet, which is available for public inspection during the 30 days of Audit review each year. Internal Audit trail is carried out by one Councillor on a quarterly basis. Services of an Internal auditor – Toplis Associates Ltd, Streethay, Staffordshire and external auditor – MAZARS, SALVUS HOUSE, AYKLEY HEADS, DURHAM DH1 5TS
3	Public Liability				



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	Street Furniture	L	Adequate insurance/visual inspection and log	Y	Defibrillator – Croxden Abbey and Mitchen and Bevan. These two defibs are inspected weekly by Councillors. WW1 Bench and WW1 Silent Solider is inspected weekly.
	War Memorials	NA		NA	St Giles Church responsibility
4	Legal				
	Meetings	L	Conducted legitimately	Y	Conducted by Chair or Vice Chair.
	Minutes	L	Signed and retained appropriately	Y	Draft minutes uploaded onto website within 7 working days of the meeting taking place and final minutes uploaded onto website within 5 working days.
	Agendas	L	Sent out in time and giving sufficient detail of the business to be transacted	Y	Carried out by a Chair/ Clerk and sent out 5 working days before meeting. Placed on website and three notice boards, one in Croxden, one in Greatgate, one in Fole
	Summons to Meetings	L	Councillor’s awareness of responsibilities	Y	These are issued by Clerk, except Annual Meeting, where Chair issues summons. Each councillor is issued with Good Councillor Guide and understand they need to attend meetings.
	Training	L	Continual Professional Development for both councillors and clerk	Y	Staffordshire Parish Council Association offer training to Councillors and all information is passed to councillors on a regular basis. SLCC offer training to Clerk
5	Member Liability				
	Declarations of Interests	L	Register accurate and lodged with monitoring officer Agenda items declared at each meeting	Y	The Councillors all register their interests with ESBC and will declare an interest at meetings, if an interest is discussed. All declarations of interests are added to minutes.
	Hospitality	L	Declared on Agenda	Y	Hospitality offered after full Council have agreed a budget for the event. Councillors must declare any hospitality they receive.
	Resolutions	L	The Chair summarises resolutions before Members vote on them Where Members disagree with the advice of the Clerk, such disagreement must be recorded	Y	All resolutions are added to minutes. All disagreements are added to minutes. See Standing Orders
6	Council Liability				



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	Lone person working	M	Comply with employment law	Y	All issues are addressed by advice from NALC, Staffordshire Parish Council Association and SLCC – A Homeworking policy was adopted in 2020
	Contract of Employment	L	Issue contract within legislative timeframe and include person specification	Y	The Parish Council uses the NALC contract of employment
	Duty of Care	M/L	To employees, To visitors To Councillors	Y	Advice issued by NALC, SPCA and SLCC
	Councillors	L	Councillors are adequately advised of their responsibilities	Y	Councillors are made aware of all policies and codes required to be a responsible Councillor via training and Good Councillor Guide.
	Code of Conduct	L	Reporting of Interests and Code of Conduct issues administered by East Staffordshire Borough Council	Y	All Councillors are given a Declaration of Acceptance form when elected and retained by the Clerk. The Chair signs a declaration of acceptance each year at Annual Meeting. The Register of Interests forms are annually given to Councillors and a copy is kept by Clerk and uploaded onto website. Originals are sent to ESBC. Councillors sign a form each year at the Annual meeting to confirm they have read the ESBC Councillor Code of Conduct document.
7	Health and Safety				
	Responsibilities	L	Members Employees Public	Y	Assessment of the meeting rooms, Abbey Room, St Giles Church are the responsibility of Church Committee
	Fire	L	(See separate risk assessment)		Carried out by Church committee
	COSHH		(See separate risk assessment)		Carried out by Church committee
	P A T		Regular testing completed		Not carried out on lap top or printer
	VDU	L	(See separate risk assessment)	Y	Clerk to take breaks when using the laptop and ensures seating is correct, see Homeworking Policy.
9	Town and Country Planning				
	Consultation on local planning	L	Planning Committee is whole Council Delegated powers to Clerk	Y	The Councillors are sent all planning applications by e-mail and comments are discussed at meetings. Vote is undertaken if disagreement is raised.



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					Clerk to add comments to ESBC website and send Councillors a copy of ESBC acknowledgement e-mail.
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10	Contracts				
	Monitoring of contracts	M/L L	Performance Payments	Y Y	Each year the contractors' contracts are reviewed by Councillors. All payments are recorded in the minutes and cheques are signed by 2 Councillors
	Letting of Contracts	L	Compliance with legislation, particularly tendering process as defined in Standing Orders/Financial Regs	Y	See Financial Regulations
	Site inspections	L	Third party sites where grass is being cut or bins emptied by Contractors and ESB Council to be inspected and any defects reported to Council meeting.	Y	Councillors and Parish Clerk carry out site inspections and report any issues to the Parish Council meetings.
	Conditions of Contract	L	Contracts are reviewed annually and are placed with specialist contractors who will hold their own insurance and will have conducted their own risk assessments and provided copies of such documentation	Y	Risk Assessments and Insurance Documents are requested by Clerk each year.
11	Administration				
	Office cover	L	Meetings schedule arranged at the Annual Meeting and published on the website.	Y	The Chair or Vice Chair will take minutes at meetings if Clerk unavailable. If Clerk is not available for a long period, then Chair will contact Staffordshire Parish Council Association for replacement cover.
	Holding Meetings	L	Meetings held bi monthly at St Giles Church, Croxden	Y	St Giles Church hold all risk for meeting venue
	Public accessibility	L	The Clerks residence is usually open on Monday from 9am – 12.30pm and on Friday between the hours of 9.30am – 10.30am	Y	Access by e-mail during these hours. Access to clerk residence by appointment.
	Procedures	L	Defined by NALC and Approved by Council	Y	All relevant policies and codes are reviewed bi-annually. All policies and codes are available from NALC and adopted policies are on the website



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	Archiving	L	Documents are stored in accordance with guidelines from NALC	Y	All records (required to be kept) Council to send archives to Staffordshire County Council Records Office. See Disposal of Documents Policy.
	Website	L	Lack of updates Incorrect data	Y	Content of site is reviewed by Councillors annually. External website company employed to update site.
	Email Addresses	M	Use of gmail addresses for Clerk and Councillors	Y	Council to continue to monitor cost of .gov.uk email addresses. Risk is that gmail address can not be closed by Council after the Councillor has left the Council. To mitigate this risk, the Clerk will ask the retiring Councillor to delete their email address and request confirmation.
	Standing Orders	L	Reviewed annually	Y	At the Annual Meeting the standing orders are reviewed and ratified.
	Financial Regulations	L	Reviewed annually	Y	At the Annual Meeting, the Financial Regulations are ratified each year.
	Press	L	Adopt guidelines for press comments	Y	Refer to Council Media Policy
	Data Protection	ML	Keep up to date to ensure legislative compliance	Y	Advice gained from SLCC, SPCA and NALC. Pay annual fee to ICO and GRDP is reviewed each year.
12	Bye Laws				
	Introduction	L	Reference documents readily available Higher Agencies involvement	Y	Advice gained from SPCA, ESBC and SCC
13	Charities				
	Trusteeship	ML	Understanding of definitions	Y	Advice is issued by NALC, SPCA and SLCC and any queries are raised through these bodies
14	Church				
	Vandalism	NA	All economically viable measures to exclude uncontrolled entry to building installed	NA	Carried out by St Giles Church committee
	Hirers	L	Hirers given terms and conditions at time of hire	Y	Carried out by St Giles Church committee and Parish Council pay an annual fee to use the Abbey Room for meetings.
	COSHH	NA	Undertake separate risk assessment	NA	Carried out by St Giles Church committee

- There is a charge of £0.10 per Black and White A4 paper copy plus 2nd class postage costs – as per the Publications Scheme on website.
- The Clerk is the Proper Officer for the release of papers under the Freedom on Information legislation.



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<u>Date last Ratified/Approved</u>	<u>Version Number</u>	<u>Revision/Amendment Made</u>	<u>New Review date</u>
11.01.2017	1	Policy adopted	May 2017
17.05.2023	4	Added update table and website to document	May 2024
10.01.2024	5	11. Administration – Emails - risk associated with the use of gmail.com email addresses and ask retiring Councillor to delete email address and provide confirmation	May 2024
08.05.2024	6	2. Finance - Salary – added Bradleys Ltd who submit payroll to HMRC 2. Finance – Auditors – added Toplis Associates Ltd 3. Public Liability – Street Furniture - added Mitchen and Bevan Defib 11. Administration – Emails – The Council will continue to monitor the cost of .gov email addresses due to risk of gmail addresses	May 2025