



# Sawston Parish Council Risk Assessment

Updated August 2020

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the Parish Council to identify any and all 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 Sawston Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

## FINANCIAL AND MANAGEMENT

Subject	Risk(s) identified	R/A/G	Management/control of Risk	Review/Assess/Revise
Precept	Adequacy of precept in order for the Council to carry out its Statutory duties	G	To determine the precept amount required, the Council regularly receives budget update information monthly. At the precept meeting Council receives a budget report, including actual position and projected position to the end of year and indicative figures or costings obtained by the Clerk. With this information the Council maps out the required monies for standing costs and 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 South Cambs District Council. The figure is submitted by the Clerk in writing. The Clerk informs the Council when the monies are received.	Existing procedure adequate.

Precept	Capability of South Cambs District Council to collect and pay over precept to Council	G	The Parish Council is reliant on SCDC to collect and distribute the precept on its behalf. SCDC understands the importance of prioritising parish precepts. In 2020 they changed the instalment structure but didn't delay payment. Should another widespread crisis mean the precept was delayed or reduced, the Council retains enough reserves to continue operations in the short term, and could then adjust the current year's budget if needed	Existing procedure adequate
Financial Records	Inadequate records Financial irregularities	G	The Council has Financial Regulations.	Existing procedure adequate Review the Financial regulations when necessary
Bank and banking	Inadequate checks Banks mistakes	G	The Council has Financial Regulations which set out banking requirements  Monthly reconciliation	Existing procedure adequate Existing procedure adequate
Reporting and auditing	Information communication	G	Financial information is a regular agenda item (Finance Report) and discussed/reviewed and approved at each meeting.	Existing procedures adequate.
Grants	Receipt of grant	G	Parish Council does not presently receive any regular grants.	Procedure would be formed, if required

Charges-rents receivable	Payment of rents	G	The Parish Council collects Allotment rents in October each year. Allotment holders have signed agreements and rent income reviewed every year. Rent received from land revue at end of lease. The Parish Council collects Cricket and Football rents throughout the year and contracts are signed.	Existing procedure adequate
Grants and support payable	Power to pay Authorisation of Council to pay	G	All such expenditure goes through the required Council process of approval, minuted and listed accordingly if a payment is made using S137 powers of expenditure.	Existing procedure adequate.

Best value accountability	Work awarded Incorrectly.	G	Normal Parish Council practice would be to seek, if possible, three quotations for any substantial work to be undertaken. For major work competitive tenders would be sought.	Existing procedure adequate. Include when reviewing Financial regulations.
	Overspend on services	A	If problems encountered with a contract the Clerk would investigate the situation and report to the Council.	
Salaries and assoc. costs	Salary paid incorrectly Unpaid Tax to Inland Revenue	G	We use a payroll company	
Employees	Fraud by staff  Health and safety	G	Requirements of Fidelity Guarantee insurance adhered to with regards to fraud. All employees to be provided adequate direction and safety equipment needed to undertake their roles	Existing procedures adequate. Monitor health and safety requirements and insurance annually.
VAT	Reclaiming/charging	G	The Council has Financial Regulations which set out The requirements.	Existing procedures adequate
Annual Return	Submit within time limits	G	Employers Annual Return is completed and submitted online with the prescribed time frame by the Clerk. Annual Return completed and signed by the Council, submitted to internal auditor for completion and signing then checked and sent to External Auditor within time frame.	Existing procedures adequate.
Legal Powers	Illegal activity or payments	G	All activity and payments within the powers of the Parish Council to be resolved at full Council Meetings, including reference to the power used under the Finance section of agenda and Finance report monthly.	Existing procedures adequate

Minutes/agendas/ Notices Statutory Documents`	Accuracy and legality	G	Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements. 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	Existing procedures adequate.
	Business conduct	G	Chair	Members adhere to Code of Conduct
Members interests	Conflict of interests Register of members interests	G	Declarations of interest by members at Council meetings. Register of member's interests forms reviewed regularly.	Existing procedures adequate. Members take responsibility to update register.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	G G G A	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity and within policies. Ensure compliance measures are in place. Fidelity checks in place.	Existing procedure adequate. Insurance reviewed annually.
Data protection / GDPR	Policy provision	G	The Parish Council is committed to uphold GDPR and the relevant UK data protection regulation.	Ensure annual renewal of registration
Freedom of Information	Policy Provision	G	The Council has a Model Publication scheme in place.	Monitor any requests made under FOI
		A	The Parish Council is aware that if a substantial request came in it could create a number of additional hours work. The Parish Council can request a fee to supplement the extra hours	

<b>PHYSICAL EQUIPMENT OR AREAS</b>				
Assets	Loss or damage Risk/damage to third party property	G	An annual review of assets is undertaken for insurance provision	Existing procedures adequate
Maintenance	Poor performance of assets or amenities	G	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for any repair is actioned/authorised in accordance with the correct procedures of the Parish Council. Assets are insured.	Existing procedures adequate
Notice Board	Risk of damage	G	The Parish Council currently has two notice boards. No formal inspection procedures are in place but any reports of damage are faults are reported to the Parish Council and dealt with in accordance of the correct procedures of the Council.	Existing procedures adequate
Meeting locations	Adequacy Health & Safety	G	The Parish Council meetings are held in the parish office and at Spicers Pavilion and are currently considered to have appropriate facilities for the Clerk, members and the general public.	Existing procedures considered adequate
Council records – paper	Loss through: Theft Fire damage	G	The Parish Council records are stored in the parish office. Records include historical correspondences, minutes, insurance, and bank records. The documents are stored in a lockable cabinet and in the attic. Documents are periodically deposited at the County Archive	Damage (apart from fire) and theft is unlikely and so provision is adequate.
Council records – electronic	Loss through: Theft, fire damage or corruption of computer	G	The Parish Council electronic records are stored in Microsoft cloud storage. Back ups of electronic data are made at regular intervals to cloud backup storage. The IT support company is responsible for managing and testing the backup processes	Existing procedures considered adequate