RISK ASSESSMENT

Approved by Parish Council –

Minutes Number – 3696/26 e)

Policy Review – May 2027

Findern Parish Council, Parish Rooms, Lower Green, Findern, DE65 6AD
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Identify Risk	Level	Potential Consequences	Avoid, Reduce, Control	Any Further Action
Illness/Resignation of Clerk	Medium	Disruption in Administration	Locum Clerk to have basic knowledge of systems	Locum Clerk to undertake temporary Clerk duties. Advertise vacancy if resignation or retirement.
Banking Arrangements	High	Loss of Parish Council funds	Monthly report to Parish Council. Bank reconciliation completed and presented to Parish Council. Full list of payments are presented at Parish Council meetings.	Bank accounts to be reviewed annually, or sooner if risk identified, to ensure best interest rates and security of funds
Not keeping proper financial records in accordance with statutory requirements	High	Incorrect record and information supplied to the Parish Council causing inappropriate decisions and use of funds	All financial information is available for scrutiny by Parish Councillors at all times. Chair to receive, by email, accounts spreadsheet monthly. Full review of income, expenditure, budget and bank accounts to be undertaken by Finance Committee at regular meetings.	Internal Auditor to carry out annual and interim audits of financial records and report to the Parish Council at the next full Council meeting.

Identify Risk	Level	Potential Consequences	Avoid, Reduce, Control	Any Further Action
Ensure all business activities are within legal powers applicable to Parish Council	Medium	Unlawful action and use of funds by Parish Council	Clerk to undertake appropriate training	
Misuse of public funds	High	Unlawful action and use of funds by Parish Council	Up to date information, in the form of manuals etc, to be kept and consulted when needed. Record in minutes the precise powers under which expenditure is being approved. All transactions of the council must be carried out in the manner stated in the Council's financial regulations, standing orders and Order and Payment processes document	Councillors to be provided with training and copies of financial regulations, standing orders and Order and Payment process document
To ensure that all requirements are met under Employment Law and Inland Revenue regulations	High	Employment tribunal. Prosecution for incorrect PAYE, Pension and NI contributions and payments	Contracts of employment to be issued and signed by all Parish Council employees. SDCVC to carry out payroll services, and Clerk to carry out HR Administration and advice	
To ensure that all requirements are met under VAT regulations	High	Incorrect accounts, prosecution and or loss of revenue	All reclaims on VAT are made as required by Inland Revenue using information recorded in the Parish Council finance spreadsheet	Internal Auditor to carry out full inspection of the VAT reclaims as part of annual and interim inspection of accounts

Identify Risk	**Level**	**Potential Consequences**	**Avoid, Reduce, Control**	**Any Further Action**
To ensure the adequacy of annual precept within sound budgetary arrangements	High	Incorrect precept leading to inability to provide facilities and or services	Regular budget monitoring at Finance Committee meetings. Precept set after consideration of previous year's spending, know and expected increase, decrease in income and expenditure and planned actions for coming year	Parish Plan to be developed to plan future spending
To ensure proper use of funds granted to local community under Section 137	High	Unlawful use of Parish Council funds	Grant requests to be completed with information including purpose of grant, beneficiaries of grant and bank account details for payment. All grants to be listed in minutes	
Proper and accurate reporting of Council business	Medium	Inaccurate administration and record keeping	Minutes are properly numbered by items and page. Master copy held for safekeeping after being signed by the Chair or Vice Chari when adopted	Completed years to kept and archived at DCC Matlock after 10 years
Register of members interests and gifts and hospitality in place, complete, accurate and up to date	Low	Parish Council not in line with statutory requirements	Adoption of Code of Conduct for members and all documentation in place and available for scrutiny	Appropriate forms provided to all Parish Councillors as required
Safekeeping of deeds, Titles etc	Medium	Incorrect and missing titles may lead to significant problems identifying property	Place of deposit identified and list of documents made	Audit of deeds, titles, registered land etc to continue in 2026/27

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MAINTENANCE				
Absence of Warden Personnel	Medium	Less duties covered in Parish	Overtime and planned cover for absences.	Employee liability insurance in place
Damage / stolen tools and equipment	Low	Parish Council unable to provide services	Tools and equipment covered by Parish Council insurance. Maintenance staff to keep all tools and equipment in good order and report any problems to the Clerk	Old and obsolete equipment to be disposed of and replaced on a rolling programme
PROPERTIES				
Maintenance of properties	Medium	Parish Council to lose income from leaseholder if properties are not maintained as per lease	Parish Rooms to be monitored for any required maintenance	Maintenance and redecoration to be carried out as and when needed by suitably qualified maintenance staff or contractors.
Loss of use of properties from damage or fire	Medium	Parish Council to lose an asset and related income from leaseholder if properties are damaged and not useable	Appropriate insurance cover included in Parish Council insurance.	Appropriate statutory checks to fire alarms, emergency lighting, fire extinguishers, boiler, and electric circuit to be carried out by suitable qualified contractors
Maintenance on The Green	Medium	Risk of injury to public	Public Liability cover included in Parish Council insurance. Parish Warden to carry out a visual check each week and any repairs needed to be reported to the Clerk to arrange for work to be carried out. Parish Warden to keep the Green clean and clear of litter, and broken glass etc.	Tree Report to be carried out by suitably qualified contractor every two years

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Maintenance and Damage repair to Children's Play Areas, Pump Track, Outdoor Gym Area, Basketball Court and Playing Fields	High	Risk of injury to children using equipment. Facility not available for use	Public liability cover included in Parish Council insurance. All play equipment installed by approved contractors and to manufacturer's specification. Parish Warden to carry out weekly checks on play equipment and report immediately any damage, wear etc to the Clerk who will seek authorisation for repairs from Council – Repairs carried out by approved contractors. Any defective equipment to be cordoned off immediately if a risk of injury resulting from damage or wear is identified.	Parish Warden to carry out a visual check each week ensuring all play areas and playing field are free of litter, broken glass and any issue with the equipment to be reported to the Clerk SDDC staff to carry out an operational check of all the area and equipment each month with a risk report sent to the Clerk each month with any recommendation for action. Yearly ROSPA check of all equipment and the area to be carried out and a risk report to be sent to the Clerk for action.
Maintenance and damage repair to bus shelters	High	Risk of injury to public using the shelter Shelters not available for use	Public liability cover included in Parish Council insurance. Parish Warden to inspect bus shelters weekly and report all damage etc to the Clerk to arrange repair	Broken glass panels to be replaced with metal mesh panels Bus Shelters to be cleaned fortnightly by contractor

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Installation of Planters and Towers	Medium	Towers sited incorrectly will reduce sightline of vehicles	Public liability cover included in Parish Council insurance.	
Parish Council insurance not sufficient	High	Risk of legal costs to Parish Council	Insurance to be reviewed annually, all costs to be assessed and insurance provider to be made aware of increase of cost and or facilities to be covered	
Data Protection	Low	Legal costs, reputation, etc if Data Protection laws broken	The Parish Council is registered with the Data Protection Agency Clerk and all Councillors to comply with Data Protection Law	Registration renewed annually Clerk and Councillors to attend training periodically to be aware of the their responsibilities.
Freedom of Information	Low	Legal costs, reputation, etc if Freedom if Information requests not dealt with appropriately	Model Publication Scheme in place. Parish Council aware that a substantial request could create a number of additional hours work	