

## Eccleshall Parish Council Risk Assessment - Summary

Adopted on 15<sup>th</sup> May 2024

### NOTE:

The table below summarises the main risks to public money related to council property, activities and employees. Detailed Individual, detailed risk assessments are also available where appropriate and reviewed annually as part of the Internal Monitoring process.

Activities classed as having a very low-risk rating have **not** been included in the summary document below.

No.	Area	Risk	Level	Controls
1	All areas	Provision of adequate insurance cover	Medium	Carry out annual review of insurance to ensure that all appropriate risks are covered. Carry out annual inspection of insurance held by third parties.
2		Slips, trips, falls	Medium	Each event and activity to be monitored separately. Parish Council managed areas to be maintained in line with agreed Policy.
3		Management of trees	Medium	Ensure that any management of trees has appropriate permission and is carried out by responsible and experienced individuals/ organisations.
4	Events		Medium	Individual events have their own risk assessments.
5	Parish Council owned/ managed public space	Maintenance of trees, mowing, planting, play equipment	Medium	Regular inspection and review. Separate detailed Risk Assessments. Continuous maintenance regimes. Report any issues to appropriate committee. All contractors should complete their own risk assessments prior to commencement of work. This document does not include those activities.
6	Eccleshall Community Centre	Risk of damage to building  Improper management/maintenance	Medium  Medium	Retain existing index linked insurance (ex. cover £1,626,159), reassessed annually.  Lease agreement in place to clarify roles of separate organisation to maintain property and manage business operations. Lease held by properly constituted association.
7	Insurance cover	Cover required for: Money, Employers' Liability claim, Public and products liability claim, Fidelity Guarantee, Libel and Slander, Personal Accident, Legal Expenses.	Medium	Quotes received each year for insurance, based on asset register, liabilities and income/ expenditure.
8	Accounts (also see Financial RA)	Annual precept too high/ too low or not the result of detailed consideration.	Medium	Continue current system with detailed budget based on past year and current year accounts. Committees involved in agreeing budget requirement for forthcoming year.

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				Continue work to agree action plan and strategic priorities to identify future spending requirements. Reserves and Earmarking considered as part of this process.
9		Inadequate monitoring of income/expenditure against budget	Medium	Full list of accounts to date presented, as set out in Financial Regulations.
10		Unlawful expenditure	Medium	Financial Regulations (based on NALC Model document) re-adopted by Council in May 2024 and reviewed annually. Follow advice of Clerk/RFO that all expenditure is within legal powers.
11		Unauthorised expenditure	Medium	Report all payments to Council for approval (even if already paid). 2 signatories required to approve. Signatories check payments online against invoice list. Twice yearly audit by nominated councillor to check payments against invoices.
12		Accounts not reconciled	Medium	Bank reconciliation completed each month and reviewed by Councillors. Rialtas accounts system used.
13		Non-standard and/or non compliant records kept	Medium	Financial Regulations (based on NALC Model document) adopted by Council in May 2024 and reviewed annually. Follow advice of Clerk/RFO and Internal and External auditors.
14		Non-compliance with statutory requirements for completion/ approval/ submission of accounts and other financial returns.	Medium	Continue to ensure that all accounts and returns are completed and submitted by the deadlines.
15		Non-compliance with internal audit requirements.	Medium	Appoint appropriately qualified internal auditor annually.
16		Banking	Medium	Day-to-day banking in line with acceptable practices set out in Financial Regulations. Finance procedures to be reviewed annually. Ongoing review of management of council reserves. Unity internet banking used which allows nominated councillors to check account information. 2 signatories required to approve payments.
17		Risk of loss of income if current bank encounters difficulties	Medium	Funds split between Unity Trust Bank accounts and CCLA low risk investment account.
18		Loss of cash through theft or dishonesty	Medium	Minimal cash handled. Procedures to be reviewed annually. Fidelity insurance cover.

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19		Compliance with HMRC Regulations (inc. VAT reclaiming)	Medium	All transactions completed online, and paper copies kept. Internal and external auditor to provide 'double check'.
20		Best value accountability, e.g. awarding of contracts and services	Medium	Managed in line with Financial Regulations.
21	Staff	Loss of key personnel through ill health or leaving	Medium	Appoint locum clerk, if necessary, locum cover covered by insurance policy.
22		Salaries, pensions and associated costs calculated wrongly or paid incorrectly	Medium	To be reviewed by internal control and internal auditor. Procedures in place and followed.
23	Administration	Inadequate access to advice	Medium	Continue memberships of SPCA/NALC, SLCC and other organisations as appropriate.
24		Loss of computer-based records	Medium	Information now held in cloud-based system (One Drive) Maintenance contract in place for IT Support as needed
25		Finance management systems	Medium	Rialtas Alpha used and regularly backed up.
26		Loss of hard document records	Medium	Records kept in locked cabinet.
27		Poor service to customers	Medium	Complaints procedure in place and reviewed regularly. Significant issues to be reported to Committees.
28		Data management	Medium	Records backed up by IT provider. Information now held in cloud-based system. GDPR policies and guidance in place.
29	New projects	Unfamiliar management arrangements	Medium	As the Parish Council takes on additional projects, there are new areas of expertise needed. The Council to call on skills of partners to ensure effective procurement and management arrangements. Ensure consultation with relevant individuals and organisations.
30	Assets	Protection of physical assets (inc. land).	Medium	Land insured. Value increased annually by RPI. Test Insurance market annually and assess insurance values at that point. Checks of all assets undertaken, either annually or more frequently, depending on type of asset.
31	Legal Liability	Ensuring activities are within legal powers	Medium	The Clerk to clarify legal position on any new proposal. Legal advice to be sought where necessary.

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				General Power of Competence in place.
32		Proper and timely reporting via the Minutes	Medium	Council and Committees always receive and approve minutes of meetings. Minutes made available to press and public at the library and via the web site.
33	<b>Councillors propriety</b>	Registers of Interests and gifts and hospitality in place	Medium	Code of Conduct reviewed and approved annually. Support received from Monitoring Officer at SBC. Registers of Interest available online.
34	<b>Meeting Procedures</b>	Unlawful decision making Lack of clarity in meeting processes leading to poor or no decisions Poor conduct of councillors/members of public from lack of structure	Medium	Standing Orders in line with NALC model regulations, reviewed and approved annually.