

## East Peckham Parish Council Risk Assessment 2020

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 place 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 the risk assessment.

This document has been produced to enable the Parish Council to assess the risks 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.

### FINANCE 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 or tragic circumstance	L	All files and recent records are kept at the Clerk's home The Clerk makes regular backups of files to an external USB In the event of the Clerk being indisposed the Chairman to contact KALC for advice.	Existing procedures adequate. Review when necessary
Precept	Adequacy of precept; Requirements not submitted to TMBC. Amount not received by	L	EPPC reviews the Precept requirement annually at the January meeting and reviews presented budget update information, including actual position, projected position to year end and estimated figures for the next financial year. With this information EPPC agrees amounts set for the specific budget headings for the following year, the total of which is resolved to be the precept amount requested from TMBC. This figure is submitted by the Clerk in writing to TMBC. The Clerk informs Council when the monies are received (approx May time).	Existing procedure adequate

Financial records	Inadequate records, financial Irregularities	L	The Council has Financial Regulations that set out the requirements.	Existing procedure adequate. Review the Financial Regulations when necessary.
Bank and banking	Inadequate checks; Bank mistakes; Loss; Charges	L	EPPC has Financial Regulations that set out the requirements for banking, cheques and reconciliation of accounts. The Clerk reviews the Councils banking arrangements regularly.	Existing procedure adequate, Review the Financial Regulations and bank signatory list when necessary, especially after an AGM and an election. Monitor the bank statements on receipt.

**FINANCE AND MANAGEMENT  
Subject**

<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H / M / L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
Reporting and Auditing	Information Communication Compliance	L	A budget monitoring statement is produced quarterly and discussed and approved quarterly. A full list of payments and receipts and cheques to be signed is provided at the meeting and the financial records including a breakdown of receipts and payments balanced against the bank statement are presented and checked by a Councillor at each meeting.	existing communication procedures adequate. Council to annually appoint a councillor to check financial records
Direct costs Overhead expenses Debts	Goods not supplied but billed; incorrect invoicing; cheque Payable incorrect; Loss of stock; Unpaid invoices	L	The Council has financial regulations that set out the requirements. At each Council meeting the list of invoices awaiting approval is distributed to councillors and considered. Council approves the list of requests for payment. The Council has minimal stocks, these are checked and monitored by the Clerk. Unpaid invoices to the Council are pursued and Where possible payment is obtained in advance	Existing procedure adequate. Review the Financial Regulations when necessary

Grants and support - payable	Power to Pay Authorisation of Council to pay	L	All such expenditure goes through the required Council process of approval, minuted and listed accordingly. If a payment is made using S137 or GPC	Existing procedure adequate
Grants - receivable	Receipts of Grant	L	Any one-off grants awarded would come with terms and conditions to be satisfied.	Existing procedure adequate
Charges - Rentals payable	Payments of leases/	L	EPPC leases the allotment land at £30 per annum	Existing procedure adequate
Best value Accountability	Work awarded incorrectly; Overspend on services	L/M	As per Financial Regulations, normal EPPC practice would be to seek, if possible, more than one quotation for any substantial work required to be undertaken or goods. For major contract services, formal competitive tenders would be sought. If a problem is encountered with a contract the Clerk would investigate the situation; check the quotation/tender, research the problem and report to Council.	Existing procedure adequate

## FINANCIAL AND MANAGEMENT

Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
Salaries and assoc. costs	Salary paid incorrectly; Wrong hours paid; Wrong rate paid; False employee; Wrong deductions of NI or Tax; Unpaid Tax & NI contributions to HMRC	L	EPPC authorises the appointment of all employees at at council meetings. Salary rates are assessed annually by the council and applied on 01 April each year. Salary is paid through a payroll service provided by Diane Malley Associates. The tax and NI contributions are calculated by the Payroll Service provider and paid monthly to HMRC. All tax and NI payments are submitted in the HMRC Annual Return submitted by the Payroll Service Provider on behalf of EPPC. The Clerk keeps a record of hours worked and has a Contract and job description	Existing appointment and payroll system is adequate

Clerk/Other workers (voluntary/casual)	Loss of Clerk Actions undertaken Health & Safety	L	A contingency fund should be established to enable training for the CILCA qualification in the event of the Clerk resigning. The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role.	Include in financial Statement when setting precept. Existing procedure adequate. Purchase reference books where necessary. Membership of KALC. Monitor working conditions, safety requirements and insurance periodically.
Election costs	Risk of an election cost	L/M	Risk is higher in an election year. When an election is due the Clerk will obtain an estimate of costs from TMBC 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 stifled.	Existing procedure adequate
VAT	Re-claiming/charging	L	The Council has Financial Regulations that set out the	Existing procedure adequate
Annual return	Submit within time limits	L	Employer's Annual Return is completed and submitted Online and to HMRC within the prescribed time frame by the Clerk. Annual Return is completed and signed by the Council, submitted to the internal auditor for completion and signing then checked and sent on to the External Auditor within time limit.	Existing procedures adequate

## FINANCIAL AND MANAGEMENT

Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
Legal powers	Illegal activity or payments	L	All activity and payments within the powers of EPPC to be resolved and minuted at Full Parish Council Meetings.	All activities and payments minuted
Council records - paper	Loss through theft fire damage	L/M	The Parish Council records are stored in the Parish Office Historical records are stored at County Archives. Records	

			include historical correspondence, minute books and copies, documents for ownership of property, records such as personnel, insurance, salaries etc. Recent materials are in a locked cupboard (not fire proof)..	EPPC has a document retention and destruction policy. Damage (apart from from fire) and theft is unlikely and so provision adequate. Deeds/leases copied and deposited off-site.
Council records - electronic	Loss through: Theft, fire, damage Corruption of computer	L/M	EPPC's electronic records are stored on a council computer stored at the home of the Clerk. Back Ups Back-ups of the files are taken at regular intervals on to external USB stick.	Existing procedure adequate
Insurance	Adequacy Cost Compliance	L	An annual review is undertaken (usually May and on purchase) Of new assets) 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.	Existing procedure adequate Review insurance provision annually, Review of Compliance
Data Protection	Policy Provision	L	Be aware of our responsibilities under the GDPR. Registration with the Data Protection Agency/ Information Commissioners Office. Ensure annual renewal of Registration.	Existing procedure adequate
Freedom of Information Act	Policy Provision	L/M	EPPC has a model publication scheme for Local Councils in place. EPPC is able to request a fee for any information requested to cover the cost of consumables and the clerk's time. Under the FOI Act	Monitor and report any impacts of requests made
Meeting location	Adequacy Health & Safety	L	EPPC meetings are held in the Meeting/Committee Room at the Jubilee Hall. The Clerk holds a key and in the event the Clerk is indisposed, keys are also held by the Chairman And Deputy Chairman. The premises and the facilities are Owned by the Parish Council and considered to be adequate for the Clerk, Councillors and Public who attend from Health & Safety and comfort aspects. Regular risk assessments Of the Jubilee Hall are undertaken.	Existing location adequate

**ASSETS**

<b>Subject Risk(s)</b>	<b>Identified</b>	<b>H / M / L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
Street Furniture, Play Area Equipment requirements and Open Spaces	Loss or damage Risk/damage to third party (ies)/ property	L	An asset register is kept up to date and insurance is held at the appropriate level for all items. Regular checks made of all equipment by EPPC. Annual inspection carried out by registered play inspection company. Regular inspection of the of the trees on the Playing Field and records kept.	Existing procedure adequate Review insurance annually
Noticeboards	Risk/damage/injury to third parties	L	EPPC had two noticeboards. A public noticeboard in the Village Centre and installed on EPPC owned land and one attached to the Village Stores. All locations have approval by relevant parties, insurance cover, inspected regularly by the Clerk - any repairs/maintenance requirements brought to the attention of the Parish Council.	Existing procedure adequate

**LIABILITY**

<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H / M / L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
Legal Powers	Illegal activity or Payments; Working Parties taking decisions	L	All activity and payments made within the powers of EPPC (and not Ultra Vires) and to be resolved and clearly minuted Ensure established with clear terms of reference	Existing procedure adequate
Minutes/Agendas/ Notices & Statutory Documents	Accuracy and legality	L	Minutes and Agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements. Minutes approved and signed at the next Council meeting. Minutes and agenda are displayed according to the legal requirements. Business conducted at Council meetings should be managed by the Chair.	Existing Procedure adequate Guidance/training to Chair Members to adhere to the Code of Conduct
Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessments regularly carried out to comply with requirements.	Existing procedure adequate Ensure Risk Assessments are carried out.
Employer Liability	Non compliance with	L	Undertake adequate training and seek advice from KALC	Existing procedure adequate

employment law

Legal Liability

Legality of activities;  
Proper and timely  
reporting via Minutes;  
Proper document control

L

Clerk to clarify legal position on proposals and seek advice if necessary. EPPC always received and approves Minutes at monthly meetings. Retention of document policy in place

Existing procedure adequate

**COUNCILLORS' PROPRIETY**

**Subject**

Members interests

**Risk(s) Identified**

Conflict of interest;  
Register of Members  
interests

**H / M / L**

M

**Management/Control of Risk**

Councillors have a duty to declare any interests at the start of the meeting. Register of Members Interest forms to be reviewed regularly by Councillors.

**Review/Assess/Revise**

Existing procedure adequate  
Members to take responsibility  
To update