

**Rochester Parish Council
Business Risk Assessment – adopted July 2021**

Item	Risk Rating L/M/H	Details	Controlled (Yes/No)	Action required
1	Assets			
Insurance Cover for the Council	L	Buildings	Y	Insurance is reviewed each year Came & Co are the insurance brokers used by Council and insurance renewal date is April each year. Current policy with Zurich
	L	Contents	Y	
	L	Fidelity	Y	
	L	Theft	Y	
	L	Personal Injury	Y	
	L	Public Liability	Y	
	L	Slander/Libel	Y	
	L	External Assets e.g. Play Areas/Community Centres (if applicable)	Y	
	L	Insurance for Clerk's premises (if necessary)	Y	
	L	Equipment	Y	
Office security	L	Sensitive computer data is password protected.	Y	Clerk to ensure Chair and Vice Chair know passwords.
	L	Files Backed up on regular basis Stored on site in metal filing cabinet	Y	Back up carried out by Clerk to external drive that is stored in metal cabinet.
Regular Maintenance/ Inspections of Play Equipment	L	Annual Risk Assessments completed	Y	Annual inspection is carried out by an external company each year. Visual Inspections undertaken by Chairman
	L	Inspection log maintained by Chair of Council	Y	
Asset Register	N/A	Maintained and accurate	N/A	Council does not currently hold a Asset Register. Chairman and clerk to review.
2	Finance			
Cash Loss	NA	Procedures to ensure safety of cash transfer (if applicable)	NA	No cash kept, no petty cash transactions
Handling VAT	L	Make accurate and regular reclaims Ensure correct values applied	Y	Claims made by Clerk on a yearly basis and reported to Parish Council meetings. Will be checked by Internal Audit trail
Budgeting (precepts)	L	Maintain accurate accounts to control budgets	Y	The clerk ensures all accounts are maintained accurately
	L	Annual precept based on adequate budgetary process	Y	Budget is produced in November by Clerk and one Councillor. Annual precept is based on spending and income, which is

**Rocester Parish Council
Business Risk Assessment – adopted July 2021**

		L	Reserves/contingencies appropriate	Y	reviewed in January Budget meeting. Precept applied for in January to ESBC by Clerk.
Awarding Grants		L	Establish system of grant applications and monitoring	N/A	Grant process has been established. Precept Grants to be applied for in November and discussed and agreed in the January meeting. Grants from the precept are awarded in the following Annual Meeting. One of Grants can be applied for throughout year by writing to the chairman these are then discussed and voted on at the following meeting.
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	Lack of commitment to regulations/procedures	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 Parish Clerks, so can be advised on all legislation to bring to the Parish Council meetings. Financial Regulations are posted on Parish Council website and ensure the Council adheres to all regulations. Council has a professional internal auditor Clerk to look for training courses
		L	Items purchased without proper tendering procedures	Y	
		L	Payments made without approval/control	Y	
		M	Lack of knowledge of accounting requirements	Y	
		M	Lack of knowledge of sources of income	Y	
Banking arrangements		L	Control of signatories	Y	Financial Regulations adopted by Council ensure 2 signatures are required for any cheque payment from the NatWest Accounts and 3 signatures for the Leek Building Society accounts Annually review accounts T&C
		L	Continual review of interest bearing accounts	Y	
Gifts		L	Maintain register and review regularly	Y	Only accepted after vote by full Council
Salary payments		L	Paid in accordance with Council regulations	Y	Parish Council has signed contract with Clerk for salary and abides by NALC annual pay reviews The Clerk uses Brightpay to submit all PAYE details monthly – all pay slips included in accounts and, these are checked by internal audit.
		L	PAYE/NI handled appropriately	Y	

**Rocester Parish Council
Business Risk Assessment – adopted July 2021**

	Procedures	L	Accounts programme is Excel, Paper copies are kept of all invoices and receipts. Account monitoring undertaken by: Internal/External Auditor	Y	The accounts are on an Excel 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. Employ an Internal auditor - Internal audit is Mr M D Masters and External auditor is- MAZARS SALVUS HOUSE, AYKLEY HEADS, DURHAM DH1 5TS
3	Public Liability				
	Play Areas	L	Annual inspection by qualified body	Y	The annual inspection is carried out by The Play Inspection Company, with a report being available to all Councillors
4	Legal				
	Meetings	L	Conducted legitimately	Y	Conducted by Chair and Parish Clerk.
	Minutes	L	Signed and retained appropriately	Y	Draft minutes uploaded onto website within 5 working days of the meeting taking place and final signed 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 Clerk and sent out 5 working days before meeting.
	Summons to Meetings	L	Councillor's awareness of responsibilities	Y	Each councillor is issued with Good Councillor Guide and understand they need to attend meetings
	Training	L	Continual Professional Development for both officers and councillors	Y	Staffordshire Parish Council Association offer training to Councillors and all information is passed to councillors on a regular basis.
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 agree 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.
6	Council Liability				
	Lone person working	M	Comply with employment law	Y	All issues are addressed by advise from NALC, Staffordshire Parish Council Association and SLCC
	Contract of Employment	L	Issue contract within legislative timeframe and include person specification	Y	The Parish Council uses the NALC contract of employment

**Rocester Parish Council
Business Risk Assessment – adopted July 2021**

	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 room. Rocester Village Hall are the responsibility and carried out by the Village Hall Committees
	Fire	L			Carried out by Village Hall committee
	COSHH				Carried out by Village Hall 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.
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. Clerk to add comments to ESBC website
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

**Rocester Parish Council
Business Risk Assessment – adopted July 2021**

	Site inspections	L	Third party sites where grass is being cut or bins emptied by Contractors and ESBC 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 or as required.
11	Administration				
	Office cover	L	Meetings schedule arranged at the Annual Meeting and published on the website. Clerk cover	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 a locum clerk.
	Public accessibility	L	The Clerks residence is usually open between the hours of 10am to 3pm on Monday & Wednesday.	Y	Access by e-mail during these hours. Access to clerk residence by appointment. Email is monitored outside of these core hours.
	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
	Archiving	L	Documents are stored in accordance with guidelines from NALC	Y	All records (required to be kept) - Council will submit all old records to Staffordshire County Council Records Office.
	Website	L	Lack of updates Incorrect data	Y	Content of site is reviewed by Councillors annually. External website company employed to update site working with Clerk.
	Standing Orders	L	Reviewed annually	Y	At the Annual Meeting the standing orders are reviewed
	Press comments	L	Adopt guidelines for press comments	Y	Refer to Media Policy.
	Data Protection	ML	Keep up to date to ensure legislative compliance	Y	Advice gained from SLCC, SPCA and NALC
12	Bye Laws				
	Introduction	L	Reference documents readily available Higher Agencies involvement	Y	Advice gained from SPCA, ESBC and SCC

**Rocester Parish Council
Business Risk Assessment – adopted July 2021**

13	Community Centres/Village Halls				
	Vandalism	NA	All economically viable measures to exclude uncontrolled entry to building installed	NA	Carried out by Rocester Village Hall Committee
	Cleanliness	NA	Staff advised of the expected standard of cleanliness and inspections recorded	NA	Carried out by Rocester Village Hall Committee
	Hirers	NA	Hirers given terms and conditions at time of hire	NA	Carried out by Rocester Village Hall Committee
	COSHH	NA	Undertake separate risk assessment	NA	Carried out by Rocester Village Hall 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 of Information legislation.