

**GRANTLEY, SAWLEY, SKELDING & EAVESTONE PARISH COUNCIL  
INCLUDING THE VILLAGE OF RISPLITH**

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**RISK  
ASSESSMENT/MANAGEMENT  
DOCUMENT  
2019 / 2020**

This Risk Assessment is Based on a model issued by the National Association of Local Councils  
and was adopted by Grantley, Sawley, Skelding and Eavestone Parish Council at its Meeting held on 18.08.2020 @ 2020-067

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Risk Assessment Document 2019 / 2020

- Risk assessment is a systematic general examination of the activities of the Parish Council to enable potential risks to be identified.
- The Parish Council, based on the recorded assessment, will take all practical and necessary steps to reduce or eliminate the risks identified.
- This document has been produced to enable Bishop Thornton, Shaw Mills & Warsill Parish Council to assess the risks inherent to its activities and satisfy itself that it has taken all reasonable steps to minimise them.

AREA	IDENTIFIED RISK	LEVEL OF RISK	CONTROLS	ACTION REQUIRED
<b><u>FINANCIAL</u></b>				
<b>Precept</b>	Adequacy of precept in order for Council to carry out Statutory duties	L	<ul style="list-style-type: none"> <li>• Annual budget produced</li> <li>• The Council receives monthly budget report.</li> <li>• Monthly information and budget monitoring allows Council to estimate standing costs and costs of projects for the subsequent years.</li> </ul>	<ul style="list-style-type: none"> <li>• No action required.</li> <li>• Existing procedure adequate</li> </ul>
<b>Financial Records</b>	Inadequate records leading to financial irregularities	L	<ul style="list-style-type: none"> <li>• Financial Regulations sets out requirement for production of records at meetings.</li> </ul>	<ul style="list-style-type: none"> <li>• No action required.</li> <li>• Existing procedure adequate</li> </ul>
<b>Bank and banking</b>	Inadequate checks/ bank mistakes	L	<ul style="list-style-type: none"> <li>• Financial Regulations set out setting out banking requirements and controls in place for electronic banking.</li> <li>• Monthly bank reconciliation statement</li> </ul>	<ul style="list-style-type: none"> <li>• No action required.</li> <li>• Existing procedure adequate</li> </ul>

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<b>Reporting and Auditing</b>	<b>Communication of information</b>	<b>L</b>	<ul style="list-style-type: none"> <li>• Financial matters are a regular item on the Agenda of the Council monthly meeting.</li> <li>• Monthly checks by Councillors</li> </ul>	<ul style="list-style-type: none"> <li>• No action required.</li> <li>• Existing procedure adequate</li> </ul>
<b>Wages and associated costs</b>	<b>Salaries paid incorrectly</b> <b>Incorrect HMRC NI and PAYE payments</b>	<b>L</b>	<ul style="list-style-type: none"> <li>• Salary payments included in monthly invoices listed for payment checked by designated Councillor.</li> <li>• Independent, professional payroll service engaged by Parish Council</li> </ul>	<ul style="list-style-type: none"> <li>• No action required.</li> <li>• Existing procedure adequate</li> </ul>
<b>Best Value Accountability</b>	<b>Work awarded incorrectly.</b>  <b>Overspend on services</b>	<b>L</b>	<ul style="list-style-type: none"> <li>• Parish Council procedure (as per Financial Regulations) to seek 3 quotes for all work estimated to cost over £100.</li> <li>• For major projects, competitive tendering process would be initiated (as per Financial Regulations)</li> </ul>	<ul style="list-style-type: none"> <li>• No action required.</li> <li>• Existing procedure adequate</li> </ul>
<b><u>VAT</u></b>	<b>Unclaimed VAT refunds</b>	<b>L</b>	<ul style="list-style-type: none"> <li>• Refunds from HMRC for reclaimed VAT noted in lists of monthly income.</li> <li>• VAT incurred displayed in separate column in cash book.</li> </ul>	<ul style="list-style-type: none"> <li>• No action required.</li> <li>• Existing procedure adequate</li> </ul>
<b><u>EMPLOYMENT ISSUES</u></b>				
<b>Working hours</b>	<b>Over payment of wages for hours worked</b>	<b>L</b>	<ul style="list-style-type: none"> <li>• Council has responsibility for monitoring of hours worked for all employees.</li> <li>• Wage cost submitted at each meeting for sign off.</li> </ul>	<ul style="list-style-type: none"> <li>• No action required.</li> <li>• Existing procedure adequate</li> </ul>

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<b>Working conditions</b>	<b>Council non-compliant with contractual obligations; leading to discontented workforce.</b>	<b>M</b>	<b>Regular reviews of staff performance and working relationship with the Council</b>	<b>Ensure all staff have access to reviews, etc</b>
<b>Health and Safety</b>	<b>Injury to staff in the working environment</b>	<b>L</b>	<b>Provision of regular reviews of staff working procedures, risks involved and adequate direction on the safe use of any equipment required to undertake roles.</b>	<b>Provide extensive health and safety guidance to all staff on a regular basis in conjunction with regular reviews of working practices and risk assessments.</b>
<b>Fraud</b>	<b>Fraud by employees</b>	<b>L</b>	<ul style="list-style-type: none"> <li>• Requirements of Fidelity Guarantee within insurance provision.</li> <li>• Regular checks and internal controls on financial activity</li> </ul>	<ul style="list-style-type: none"> <li>• No action required.</li> <li>• Existing procedure adequate</li> </ul>
<b><u>INSURANCE PROVISION</u></b>				
<b>Adequacy</b>	<b>Insurance provision inadequate for the risk identified</b>	<b>L</b>	<b>Annual review is undertaken of all insurance arrangements</b>	<ul style="list-style-type: none"> <li>• No action required.</li> <li>• Existing procedure adequate</li> </ul>
<b>Cost</b>	<b>Best value practice not undertaken</b>	<b>L</b>	<b>Cost of insurance provision and service provided by said provider reviewed annually.</b>	<ul style="list-style-type: none"> <li>• No action required.</li> <li>• Existing procedure adequate</li> </ul>
<b><u>FREEDOM OF INFORMATION PROVISION</u></b>	<b>Non-compliance with Freedom of Information Act statutory requirements</b>	<b>L</b>	<ul style="list-style-type: none"> <li>• Council has Model Publication scheme available on website and hard copy from the Clerk</li> <li>• Freedom of Information Request Policy</li> </ul>	<ul style="list-style-type: none"> <li>• No action required.</li> <li>• Existing procedure adequate</li> </ul>
<b><u>DATA</u></b>	<b>Non-compliance with</b>	<b>L</b>	<ul style="list-style-type: none"> <li>• Clerk/RFO and members undertaken</li> </ul>	<ul style="list-style-type: none"> <li>• No action required.</li> </ul>

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<b><u>PROTECTION</u></b>	Data Protection Act and GDPR statutory requirements for registration as data controller		<p>training</p> <ul style="list-style-type: none"> <li>• Data/information audit complete and reviewed regularly</li> <li>• Privacy notices available on website</li> <li>• Consents log live</li> <li>• Policy for review of consents in place</li> <li>• Retention and disposal policy adopted.</li> <li>• Security Incident Procedure/policy in place</li> </ul>	<ul style="list-style-type: none"> <li>• Existing procedure adequate</li> </ul>
<b><u>ANNUAL RETURN (HMRC)</u></b>	Submission within time limits to avoid financial penalties	L	Employers Annual Return to HMRC completed and submitted online within the required time frame by Instructed Professional	<ul style="list-style-type: none"> <li>• No action required.</li> <li>• Existing procedure adequate</li> </ul>
<b><u>LEGAL POWERS</u></b>	Illegal activity and/or payments	L	<ul style="list-style-type: none"> <li>• All actions of the Parish Council noted in Minutes presented to all members.</li> <li>• All resolutions for payment resolved at regular ordinary meetings of Parish Council.</li> </ul>	<ul style="list-style-type: none"> <li>• No action required.</li> <li>• Existing procedure adequate</li> </ul>
<b><u>STATUTORY OBLIGATIONS REGARDING DOCUMENTS</u></b>	Accuracy and legality of notices, agendas, Minutes	L	<ul style="list-style-type: none"> <li>• Agendas, Notices and Minutes produced in the prescribed manner by the Clerk and adhere to legal requirements.</li> <li>• Agendas and notices are displayed according to legal requirements.</li> <li>• Minutes are approved, signed and dated at the next meeting of the Council/Committee.</li> </ul>	<ul style="list-style-type: none"> <li>• No action required.</li> <li>• Existing procedure adequate</li> </ul>
<b><u>MEMBERS</u></b>	Non-registration of	M	<ul style="list-style-type: none"> <li>• Request for all members to declare any</li> </ul>	<ul style="list-style-type: none"> <li>• No action required.</li> </ul>

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Risk Assessment Document 2019 / 2020

<b><u>INTERESTS</u></b>	Disclosable Pecuniary interests leading to criminal prosecution		<p>interests in business to be considered at all meetings.</p> <ul style="list-style-type: none"> <li>• Registration of interests by members on prescribed form.</li> <li>• Responsibility of individual member to declare said interests.</li> <li>• Register of interests forms displayed of parish council website.</li> </ul>	<ul style="list-style-type: none"> <li>• Existing procedure adequate</li> </ul>
<b><u>ASSETS MAINTENANCE</u></b>	Loss or damage. Risk damage to third party	L	Annual review of assets undertaken for both insurance provision and external audit requirements.	<ul style="list-style-type: none"> <li>• No action required.</li> <li>• Existing procedure adequate</li> </ul>
i) Play areas	Damage to equipment. Risk to third parties	L	<ul style="list-style-type: none"> <li>• Clerk possesses emergency powers to deal with urgent repairs.</li> <li>• Quarterly operational and maintenance inspection undertaken by play equipment specialist</li> <li>• Annual safety inspection undertaken to RoSPA standards and report presented to Council for action.</li> <li>• All aspects of play areas considered by the council on a monthly basis</li> <li>• Public Liability insurance in place.</li> </ul>	<ul style="list-style-type: none"> <li>• No action required.</li> <li>• Existing procedure adequate</li> </ul>
ii) Notice boards dog bins sat/grit bins benches	Damage to equipment. Risk to third parties	L	<ul style="list-style-type: none"> <li>• Clerk possesses emergency powers to deal with urgent repairs.</li> <li>• Notice board provision considered by council on a monthly basis.</li> <li>• Public Liability insurance in place.</li> </ul>	<ul style="list-style-type: none"> <li>• No action required.</li> <li>• Existing procedure adequate</li> </ul>

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Risk Assessment Document 2019 / 2020

iii) Open spaces - trees	Damage to equipment. Risk to third parties	L	<ul style="list-style-type: none"> <li>Monthly checks undertaken by Clerk</li> <li>Clerk possesses emergency powers to deal with urgent maintenance work.</li> <li>Open space provision considered by Council on a monthly basis.</li> <li>Public Liability insurance in place.</li> </ul>	<ul style="list-style-type: none"> <li>No action required.</li> <li>Existing procedure adequate</li> </ul>
<u>ASSETS</u>	Poor performance of assets	L	<ul style="list-style-type: none"> <li>All assets owned by Parish Council are regularly reviewed.</li> <li>All repairs and relevant expenditure authorised in accordance with correct procedures of the Parish Council.</li> <li>All assets insured.</li> <li>Insurance provision reviewed annually.</li> </ul>	<ul style="list-style-type: none"> <li>No action required.</li> <li>Existing procedure adequate</li> </ul>
<u>MEETING LOCATION</u>	Premises inadequate for needs of Council and inaccessible for members of the public	L	<ul style="list-style-type: none"> <li>All (in normal circumstances) meetings of Bishop Thornton, Shaw Mills &amp; Warsill Parish Council are held in St Josephs School, Bishop Thornton which has adequate facilities for the hosting of meetings.</li> </ul>	<ul style="list-style-type: none"> <li>No action required.</li> <li>Existing procedure adequate</li> </ul>
<u>COUNCIL RECORDS</u>				
Paper Records	Loss of essential records through theft and/or fire damage.  Council Minutes, leases and historical correspondence.	L  L	All pre-2000 Parish Council Minutes are archived at central library all other minutes, leases and historical correspondence are stored in lockable metal cabinet at Clerk's house  All Parish Council financial records are stored at home of clerk	<ul style="list-style-type: none"> <li>No action required.</li> <li>Existing procedure adequate</li> <li>Revision required of storage facilities and potential for loss and/or damage.</li> </ul>

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	<b>Financial records.</b>	<b>L</b>		
<b>Electronic Records</b>	<b>Loss through; theft, fire damage or corruption of computer</b>	<b>L</b>	<ul style="list-style-type: none"><li>• <b>Parish Council electronic records are stored on computers of Clerk / RFO.</b></li><li>• <b>Back ups of electronic data are made at regular intervals</b></li></ul>	<ul style="list-style-type: none"><li>• <b>No action required.</b></li><li>• <b>Existing procedure adequate</b></li></ul>