

LEVINGTON AND STRATTON HALL PARISH COUNCIL

This risk assessment 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. The Council is aware that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic and focused approach to managing risk, which:

- Identifies the areas to be reviewed.
- Identifies what the risk may be.
- Identifies the level of risk.
- Evaluate the management and control of the risk and records findings.
- Reviews, assesses and revises procedures if required.

AREA	RISKS IDENTIFIED	H/M/L	MANAGEMENT/CONTROL OF RISK	REVIEW/ASSESS/REVISE/ACTION
MANAGEMENT				
Business Continuity	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 a monthly back up of files which are kept by the Parish Council Chairman.	Review when necessary.
Meeting Location	Adequacy of Health & Safety.	L	Meetings are held at Levington Village Hall. The Chairman and Vice Chairman have keys to the VH. All the premises and facilities are considered to be adequate for the Clerk and Councillors who attend, from a health and safety and comfort aspect.	Existing procedures adequate.
Council Records – hard copy	Loss through theft, fire or damage.	L	Current papers and archived minutes will be held in a locked metal cabinet at the Clerk's home.	Damage or theft is unlikely, therefore provision is adequate.
Council Records – electronic records	Loss through theft, fire or corruption of computer.	M	The electronic records are stored on the Clerk's computer. Back-ups of the files are taken at monthly intervals on an external hard drive, which is kept in a locked metal	Existing procedure adequate.

AREA	RISKS IDENTIFIED	H/M/L	MANAGEMENT/CONTROL OF RISK	REVIEW/ASSESS/REVISE/ACTION
			cabinet.	
FINANCE				
Precept	Adequacy of precept.	M	Sound budgeting to underlie annual precept. The Parish Council receives monthly budget update information and detailed budgets in the late autumn. The precept is an agenda item at the November/December meeting.	Existing procedure adequate.
	Application not submitted.	L	If not submitted ESC grants same as in previous year if not submitted.	Diarise for PC Meeting consideration.
	Not paid by ESC.	L	Confirm receipt in bank account.	Diarise to check receipt and monitoring by Clerk/RFO.
	Inadequate amount.	M	6 monthly review of budget to actual by full PC.	Figures presented to PC Meeting October each year.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken of all insurance arrangements in place. Employers' Liability, Public Liability and Fidelity Guarantee are a statutory requirement.	Existing procedure adequate. Review provision and compliance annually.
Banking	Inadequate checks.	L	The Council has Financial Regulations as per the NALC Financial Regulations which set out the requirements for banking.	Existing procedures adequate. Review Financial Regulations as necessary.
Cash	Loss through theft or dishonesty.	L	The Council has no petty cash or float. Any cash transactions made by the Clerk are fully receipted and then reimbursed monthly and paid by cheque on receipt of an invoice.	Existing procedures adequate.
Financial controls and records	Inadequate checks.	L	Monthly reconciliation prepared by Responsible Financial officer (the Clerk) and presented to the Parish Council bi-monthly. Two signatories on cheques. Any financial obligation must be resolved and clearly minuted before any commitment. All payments must be resolved and clearly minuted. Any S137 payments must be recorded at time of approval.	Existing procedures adequate.
Reserves – General	Adequacy of amount held.	L	Consider at budget setting; level normally	Full Parish Council.

AREA	RISKS IDENTIFIED	H/M/L	MANAGEMENT/CONTROL OF RISK	REVIEW/ASSESS/REVISE/ACTION
			kept at approximately one year's expenditure; regular monitoring of income and expenditure against budget.	
Reserves – Earmarked	Adequacy of amount held.	L	Consider at budget setting and review of accounts.	Full Parish Council.
Clerk's Salary	Wrong hours/rate paid.	M	Check hours work / rate paid.	Reviewed by two councillors when cheques are signed. Payroll is managed by SALC Finance Officer.
	PAYE status.	M	The PC is registered as an employer with HMRC. PAYE applied to Clerk's salary bi-monthly by SALC Finance Officer. Cheque for the PAYE authorised and drawn at each meeting.	Timesheet/invoice for Clerk's hours authorised and compared to payslip at each PC Meeting as part of payment authorisation process.
Direct costs and overhead expenses.	Goods not supplied to Council	M	Follow up all orders.	Approval check by Clerk/RFO.
	Invoice incorrectly calculated or recorded.	L	Check calculations on invoices and perform bank recs on monthly basis.	Clerk/RFO to check calculations on invoices. Two councillors to verify.
	Cheque payable is excessive or to wrong party.	M	Two councillors to sign all cheques and supporting invoice, initial cheque stubs.	Approval check by two councillors.
Election costs	Risk of election cost	M	Risk is higher in an election year. There are no measures which can be adopted to minimise risk of having a contested election. A contingency fund should be established to meet the costs.	Include in financial budget when setting precept.
VAT	Re-claiming	L	The Council has financial regulations which set out the requirements.	Existing procedures adequate.
Annual return	Not submitted within time limits	L	Annual return is completed and signed by the Parish Council, submitted to the Internal Auditor for completion and signing, then checked and sent on to the External Auditor within time limit if applicable.	Existing procedures adequate.
STAFF				
Clerk	Loss of clerk	M	A contingency fund should be established to enable training in the event of the Clerk	Include in budget when setting precept.

AREA	RISKS IDENTIFIED	H/M/L	MANAGEMENT/CONTROL OF RISK	REVIEW/ASSESS/REVISE/ACTION
	Fraud Actions undertaken	L L	resigning. The requirements of Fidelity Guarantee insurance must be adhered to. Clerk should be provided with relevant training, reference books and access to assistance.	Membership of SALC maintained.
WEBSITE				
Website - General	1. Inappropriate access could lead to allegation of defamation. 2. Monitor for compliance with Data Protection Act 2018.	L	Management of website; password controlled; restricted access; insurance cover for defamation.	Regular / updating of website.
ASSETS				
Assets	Loss / damage etc.	M	An asset register is kept up-to-date and insurance is held at the appropriate level for all items. Regular checks are made on all equipment by members of the Parish Council.	Existing procedures adequate.
	Risk or damage to third party.	M	Review adequacy of Public Liability cover.	Existing procedures adequate.
LIABILITY				
Legal powers	Illegal activity or payments. Non compliance with statutory requirements.	L L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed at next meeting. Agendas are displayed according to legal requirements. Business conducted at Parish Council meetings should be managed by the Chairman.	Existing procedures adequate. Undertake adequate training.
Public liability	Risk to third party, property or individuals.	M	Insurance is in place.	Existing procedures adequate.
Members interests	Conflict of interest.	M	Councillors have a duty to declare any interest at the start of the meeting.	Existing procedures adequate.

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