

## Lockton Parish Council Risk Assessment

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the Parish Council to identify any potential inherent risks. The Parish Council, based on a recorded assessment, will take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible.

This document has been produced to enable Lockton Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

### FINANCIAL AND MANAGEMENT

Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Precept	Adequacy of precept Precept not submitted to NYC by deadline.	L	Budget review by Parish Council twice yearly Precept to be considered by the Parish Council before the deadline. The Clerk informs the Parish Council when the monies are received.	Existing procedure adequate.
Councillors	Losing a Councillor	L	When a vacancy arises the legal process should be followed.	Existing procedure adequate.
	Councillor being sued	L	Insurance to cover public liability and Councillors being sued for any actions taken by the Parish Council.	Insurance cover
Financial Records	Inadequate records Financial irregularities	L L	The Parish Council has Financial Regulations which sets out the requirements.	Existing procedure adequate Review the Financial regulations yearly
Bank and banking	Inadequate checks	L	The Parish Council has Financial Regulations which set out banking requirements.	Existing procedure adequate
	Banking errors	L	Reported and monitored to the Parish Council and noted formally at meetings.	Existing procedure adequate
	Fraudulent payments	L	All payments are reported at Parish Council meetings. Two authorisations required for bank payments.	Existing procedure adequate
Reporting and auditing	Information communication	L	Financial information is a standing agenda item (Finance Report) and discussed/reviewed and approved at each meeting.	Existing procedures adequate.

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Grants	Receipt of grant	L	All grants are formally acknowledged in Parish Council meeting minutes, all paperwork kept in scanned and hard copies. Clerk is responsible for confirmation of grant use.	Existing procedures adequate
Charges-rents receivable	Payment of rents	L	The Parish Council collects land rents annually. Signed agreements in place, rent invoiced and documented. Rent income reviewed every two years.	Existing procedure adequate
Grants and support payable	Power to pay Authorisation of Parish Council to pay	L	All expenditure goes through the required Parish Council process of approval and is recorded in the minutes.	Existing procedure adequate.
Best value accountability	Work awarded incorrectly. Overspend on services.	L	Normal Parish Council practice is to seek, if possible, more than one quotation for any substantial work to be undertaken. For major work competitive tenders would be sought. If problems encountered with a contract the Clerk would investigate the situation and report to the Parish Council.	Existing procedure adequate. Include when reviewing Financial Regulations.
		L		
Salaries and assoc. costs	Salary paid incorrectly. Unpaid Tax to Inland Revenue.	L L	The Parish Council appoints any employee at a Parish Council meeting. Salary and hours are assessed annually by the Parish Council. Salary is paid monthly in arrears. The Clerk reports any details of payments at each Parish Council meeting. The Clerk has a contract of employment and job description. Payroll is outsourced to qualified payroll company.	Existing appointment system adequate. A confidential session at a nominated Parish Council meeting to be held to carry out an annual review.
Employees	Loss of clerk	L	Clerk to give adequate notice to ensure continuity. Adequate financial regulations and governance of the bank account. All employees to be provided adequate direction and safety equipment needed to undertake their roles.  The clerk to have adequate training and support.	Existing procedures adequate.
	Fraud by staff	L		Existing procedures adequate.
	Health and safety	L		Monitor health and safety and insurance annually.

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	Actions undertaken by Clerk	L		Member of YLCA.
VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out the requirements.	Existing procedures adequate
Annual Return	Submit within time limits	L	AGAR is completed within the prescribed time frame by the Clerk/RFO and submitted to internal auditor for completion and signing. Annual Return completed and signed by the Parish Council and sent to External Auditor within time frame.	Existing procedures adequate.
Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved at Parish Council Meetings under the Finance section of Agenda and Finance report.	Existing procedures adequate
Minutes/agendas/ Notices Statutory Documents`	Accuracy and legality	L	Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements. Minutes are circulated for approval before being issued and are signed at the next Parish Council meeting. Agenda displayed according to legal requirements.	Existing procedures adequate.
	Business conduct	L	Business conducted at Parish Council meetings should be managed by the Chair.	Members adhere to Code of Conduct
Members interests	Conflict of interests	L	Declarations of interest by members at Parish Council meetings.	Existing procedures adequate.
	Register of members interests	L	Register of member's interests' forms reviewed regularly.	Members take responsibility to update register.
Insurance	Adequacy	L	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity and within policies. Ensure compliance measures are in place. Risk assessment in place.	Existing procedure adequate. Insurance reviewed as necessary and before expiry of agreement.
	Cost	L		
	Compliance	L		
	Fidelity Guarantee	M		
Data protection	Policy provision Compliance	L	The Parish Council is registered with the Information Commissioner Office annually.	Annual renewal of registration via DD.


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				Data Protection policy in place.
Freedom of Information	Policy Provision	L L	The Clerk to respond to any freedom of information requests appropriately. The Parish Council is aware that if a substantial request came in it could create significant additional work for the Clerk. The Parish Council can request a fee to supplement the extra hours as appropriate.	Monitor any requests made under FOI
Assets	Loss or damage Risk/damage to third party property	L L	An annual review of assets is undertaken for insurance provision. An asset register is maintained.	Existing procedures adequate
Maintenance	Poor performance of assets or amenities	L	All assets owned by the Parish Council are periodically reviewed and maintained. All repairs and relevant expenditure for any repair is actioned/authorised in accordance with the correct procedures of the Parish Council. Assets are insured.	Existing procedures adequate
Notice Boards	Risk of damage	L	The Parish Council currently has 2 notice boards which are periodically inspected. Any reports of damage or faults are reported to the Parish Council and dealt with as necessary.	Existing procedures adequate
Meeting locations	Adequacy Health & Safety	L L	The Parish Council meeting is held in a venue considered to have appropriate facilities for the Clerk, members and the general public.	Existing procedures adequate
Council records – paper	Loss through: Theft Fire damage	L M L	Parish Council records are stored at the home of the Clerk. Records include historical correspondences, meeting paperwork, insurance and bank records. The documents are held in a lidded storage box.	Damage (apart from fire) and theft is unlikely and so provision is adequate.
Council records – electronic	Loss through: Theft, fire damage or corruption of computer	L M	Parish Council electronic records are stored on the Council laptop held with the home of the Clerk. The laptop is synced to the cloud so all data can be accessed if required from a different device and is secure. Two	Existing procedures considered adequate

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			factor authentication in place and password protection. Minutes and financial documents are on the Parish Council website.	
Cemetery	Risk of Damage	L	A nominated Parish Councillor monitors the Cemetery annually and a separate risk assessment is in place. Any reports from the public about issues are investigated and dealt with as appropriate.	Existing procedure adequate.

Reviewed at meeting held on.....11/5/2026.....

Signed by..........

Position .....CHAIR.....

Review period.....12 months.....