

Mayfield Parish Council
<https://mayfieldparishcouncil.org.uk/>
Business Risk Assessment 2023

Item	Risk Rating L/M/H	Details	Controlled (Yes/No)	Action required
1 Assets				
Insurance Cover for the Council	L	Employers Liability Insurance	Y	Insurance is reviewed each year. Insurance issued Zurich Insurance, PO Box 726, Chichester PO19 9PS – renewal date 30 th May each year.
Office security	L	Sensitive computer data is password protected.	Y	Clerk will provide a sealed envelope to Chair and Vice Chair with all passwords.
	L	Files Backed up on regular basis Paper files stored in metal filing cabinet at Clerk residence.	Y	Back up carried out by Clerk onto a memory drive
Asset Register	L	Maintained and accurate	Y	The register is updated and reviewed annually by Clerk and resolved annually by Council. The Internal Auditor reviews bi-annually.
2 Finance				
Cash Loss	NA	Procedures to ensure safety of cash transfer (if applicable)	NA	No cash or petty cash transactions
Handling VAT	L	Make accurate and regular reclaims Ensure correct values applied	Y	Claims made by Clerk on a regular basis and reported to the next Parish Council meeting. The claims will be checked by a Councillor who carries out the Internal Audit trail
Budgeting (precepts)	L	Maintain accurate accounts to control budgets	Y	The clerk ensures all accounts are maintained accurately and checked by a Councillor on a quarterly basis. A draft Budget is produced in October by Clerk and one Councillor. Annual precept is based on spending and income, which is reviewed in November Parish Council meeting. Precept to be agreed in December meeting and Clerk to complete the Precept request before the January deadline to ESBC. Councillors to review the funds in the business account, twice a year. Earmarked Funds to be set up and then reviewed annually.
	L	Annual precept based on adequate budgetary process	Y	
	L	Reserves/contingencies appropriate	Y	
Awarding	L		Y	Grants will be awarded using the Grant Policy.

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	Grants				
	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 to submit funding applications once resolution in Council meeting has taken place.
	Conforming to legislation	M L L L	Lack of commitment to regulations/procedures Items purchased without proper tendering procedures Payments made without approval/control knowledge of accounting requirements	Y Y Y 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 Local Parish Clerks, so can be advised on all legislation to bring to the Parish Council meetings. Financial Regulations and the Standing Order document are posted on Parish Council website and ensure the Council adheres to all regulations. Council has a professional internal auditor Clerk to go on training if any legislation is changed
	Banking arrangements	L L	Control of signatories Continual review of interest bearing accounts	Y Y	Financial Regulations adopted by Council ensure 2 signatures are required for any cheque or money transfers from Lloyds account Annually review of Lloyds Bank accounts T&C
	Gifts	L	Maintain register and review regularly	Y	Only accepted after vote by full Council
	Salary payments	L L	Paid in accordance with Council regulations PAYE/NI handled appropriately	Y Y	Parish Council has signed contract with Clerk for salary and abides by NALC annual pay reviews The Clerk uses a Payroll Bureau to submit PAYE details monthly – all salary payments are included in accounts and in the minutes as Council Administration and checked by internal audit.
	Procedures	L	Accounts are kept in an Accounts Spreadsheet Account monitoring undertaken by: Councillors/Internal/External Auditor	Y	The Accounts are kept in an Accounts 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. Services of an Internal auditor – Toplis Ass. Ltd, Streethay Lodge, Streethay, Lichfield, WS13 8LR and external auditor – Mazars, Salvus House, Aykley Heads, Durham DH1 5TS
3	Public Liability				
	Street Furniture	L	Adequate insurance/visual inspection and log	Y	See Asset Register
	War Memorials	NA		NA	
4	Legal				
	Meetings	L	Conducted legitimately	Y	Conducted by Chair or Vice Chair with a Parish Clerk.

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	Minutes	L	Signed and retained appropriately	Y	Draft minutes uploaded onto website within 7 working days of the meeting taking place and final minutes uploaded onto website within 5 working days of being resolved.
	Agendas	L	Sent out in time and giving sufficient detail of the business to be transacted	Y	Carried out by a Clerk and sent out 5 working days before meeting. Placed on website and three notice boards in Parish.
	Summons to Meetings	L	Councillor's awareness of responsibilities	Y	The summons is part of the Agenda and is issued by Clerk, except Annual Meeting, where Chair issues summons. Each councillor is issued with Good Councillor Guide and understand they need to attend meetings.
	Training	L	Continual Professional Development for both councillors and clerk	Y	Staffordshire Parish Council Association offer training to Councillors and all information is passed to councillors on a regular basis. SLCC offer training to Clerk
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 using the Dispensation requests form. All declarations of interests and dispensations are added to minutes.
	Hospitality	L	Declared on Agenda	Y	Hospitality offered after full Council have agreed a 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. See Standing Orders
6	Council Liability				
	Lone person working	M	Comply with employment law	Y	All issues are addressed by advice from NALC, Staffordshire Parish Council Association and SLCC – A Homeworking policy is in place for the Clerk.
	Contract of Employment	L	Issue contract within legislative timeframe and include person specification	Y	The Parish Council uses the NALC contract of employment
	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	Y	Councillors are made aware of all policies and codes required to

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			responsibilities		be a responsible Councillor via training and Good Councillor Guide and Council policies.
	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 agree in the declaration of acceptance of office form to comply with the Code of Conduct policy.
7	Health and Safety				
	Responsibilities	L	Members Employees Public	Y	Assessment of the meeting rooms, Memorial Hall, Mayfield are the responsibility and carried out by their Committee
	Fire	L	(See separate risk assessment)		Carried out by Memorial Hall
	COSHH		(See separate risk assessment)		Carried out by Memorial Hall
	P A T		Regular testing completed		To be carried out by Clerk, annually
	VDU	L	(See separate risk assessment)	Y	Clerk to take breaks when using the laptop and ensures seating is correct, see Homeworking Policy.
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 and record all comments in the minutes.

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
	Site inspections	L	Third party sites where grass is being cut or litter picking or bins emptied by Contractors	Y	Two Councillors and Parish Clerk carry out site inspections and report any issues to the Parish Council meetings. Parish Council

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			and or ESB are inspected and any defects reported to the next Council meeting.		will create a separate site visit policy for other site inspections by end of 2023.
	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.
11	Administration				
	Office cover	L	Meetings for full year are scheduled at the Annual Meeting and published on the website.	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 replacement cover.
	Holding Meetings	L	Meetings held monthly at Memorial Hall, Mayfield	Y	Memorial Hall hold all risk for meeting venue
	Public accessibility	L	The Clerk works on Tuesday, Wednesday and Friday mornings.	Y	Access by e-mail/mobile telephone during these hours. Access to clerk residence by appointment.
	Procedures	L	Defined by NALC and Approved by Council	Y	All relevant policies and codes are reviewed 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 are at Clerk residence. All archive documents are sent to Staffordshire County Council Records Office. See Disposal of Documents Policy.
	Website	L	Lack of updates Incorrect data	Y	Content of site is reviewed by Councillors annually. Clerk to update website and Council can employ an external provider to update site.
	Standing Orders	L	Reviewed annually	Y	At the Annual Meeting the standing orders are reviewed and ratified.
	Financial Regulations	L	Reviewed annually	Y	At the Annual Meeting, the Financial Regulations are ratified each year.
	Press	L	Adopt guidelines for press comments	Y	Refer to Council Media Policy
	Data Protection	ML	Keep up to date to ensure legislative compliance	Y	Advice gained from SLCC, SPCA and NALC. Council to pay ICO by Direct Debit each year. GRDP is reviewed each year.

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12	Bye Laws				
	Introduction	L	Reference documents readily available from the Higher Agencies involvement.	Y	Advice can be gained from SPCA, ESBC and SCC – See Who to Contact Document on website for guidance on which higher authority to contact.
13	Charities				
	Trusteeship	ML	Understanding of definitions	Y	Advice is issued by NALC, SPCA and SLCC and any queries are raised with these bodies for guidance

- 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 on Information legislation.

Date Ratified/Approved	Version Number	Revision/Amendment Made	New Review date
12.09.2023	1	Policy adopted	May 2024