

Wendens Ambo 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 and all 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 the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

Financial & Management

| <u>Subject</u> | <u>Risk(s) identified</u> | <u>H/M/L</u> | <u>Management/Control of Risk</u> | <u>Review/Assess/Revise</u> |
|-------------------|---|---------------------|---|--|
| Precept | Adequacy of precept in order for the Council to carry out its statutory duties Requirements no submitted to UDC Precept not received from UDC | L L L | The Council reviews the Precept requirement annually and makes recommendations to the Council at the December meeting. The Council reviews the presented budget update information, including actual position and projected position to year end and estimated figures for the next financial year. With this information the Council then agrees the amounts set for the specific budget headings for the following year, the total of which is resolved to be the precept amount to be requested from Uttlesford District Council. This figure is submitted by the Clerk online to UDC. The Clerk informs Council when the monies are received (at the end of April and September). | Existing procedure adequate |
| Financial records | Inadequate records Financial irregularities | L L | The Council has Financial Regulations that set out the requirements. | Existing procedure adequate, review annually |

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| Bank and banking | Inadequate checks Bank errors | L L | The Council has Financial Regulations that set out the requirements for banking, cheques and reconciliation of accounts. The Clerk reconciles the bank accounts once a month when the statements arrive and circulates the reconciliation at each meeting. | Existing procedure adequate. Review the Financial Regulations annually and bank signatory list when necessary, after an AGM and an election. Monitor bank statements monthly. |
| Reporting and auditing | Information Communication Compliance | L M | The finance report is discussed, reviewed and approved at each monthly meeting. A full list of payments and receipts and cheques to be signed is provided at the meeting and the financial records including a breakdown of receipts and payments balanced against the bank statement are presented and checked by two Councillors at each meeting. | Existing procedure adequate. |
| Grants | Receipt of grants | L | The Parish Council receives grants from UDC annually paid in two instalments. Receipt is reported to the Council at the next meeting of the Council. Any one-off grants awarded would come with terms and conditions to be satisfied. | Existing procedure adequate |
| Grants | Power to pay Authorisation of Council to pay | L | All such expenditure goes through the required Council process of approval, minuted and listed accordingly. | Council should introduce a Grants policy and application form. |
| Best value accountability | Work awarded incorrectly Overspend on services | L M | As per Financial Regulations, Parish Council practice would be to seek, if possible, three quotations for any substantial work required to be undertaken or goods. For major contract services, formal competitive tenders would be sought. If a problem is encountered with a contract the Clerk would investigate the situation, check the quotation/tender, research the problem and report to Council. | Existing procedure adequate. Review Financial Regulations annually. |

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| Salaries and associated costs | Salary paid incorrectly Unpaid tax to Inland Revenue | L L | The Parish Council authorises the appointment of all employees at Council. All salary payments are approved at Council meetings. Employees submit a record of hours worked and have contracts of employment and job descriptions. An online payroll company produces payslips. | Existing procedure adequate Clerk requires contract and job description |
| Employees | Fraud by staff Health and safety | L L | Requirements of insurance adhered to with regards to fraud. All employees to be provided adequate direction and safety equipment needed to undertake their roles | Existing procedures adequate. Monitor health and safety requirements and insurance annually. |
| Election costs | Risk of an election cost | L/M | Risk is higher in an election year. When an election is due the Clerk will obtain an estimate of costs from the Borough Council for a full election and an uncontested election. There are no measures which can be adopted to minimise the risk of having a contested election as this is a democratic process and should not be stifled. | Existing procedures adequate. |
| VAT | Reclaiming | L | The clerk keeps a record of VAT payments and reclaims VAT payments annually | Existing procedures adequate. |
| Annual return | Submit within time limits | L | Employers Annual Return is completed and submitted online with the prescribed time frame by the Clerk. Annual Return completed and signed by the Council, submitted to internal auditor for completion and signing then checked and sent to External Auditor within time frame. | Existing procedures adequate. |

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| Business continuity | Risk of 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 regular back-ups of files to a USB stick. In the event of the Clerk being indisposed the Chairman to contact the Essex Association of Local Councils for advice. | Existing procedures adequate. |
| Members interests | Conflict of interests Register of members interests | L M | Declarations of interest by members at Council meetings. Register of members' interests forms reviewed regularly. | Existing procedures adequate. Members take responsibility to update register. |
| Insurance | Adequacy Cost Compliance Fidelity Guarantee | L L L M | An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Employers and Employee liability insurance are a necessity and must be paid for. Ensure compliance measures are in place. Ensure Fidelity checks are in place. | Existing procedure adequate. Review insurance provision annually. Review of compliance. |
| Data protection | Policy Provision | L M | The Council is registered with the Information Commissioner Privacy Notice, Privacy Policy, Management Policy for data breach, procedure for Subject Access Requests in place. | Ensure annual renewal of Registration. |
| Freedom of Information | Policy Provision | L M | The Council has a model publication scheme for Local Councils in place. The Council is able to request a fee for any information requested to cover the cost of consumables and the clerk's time. | Monitor and report any impacts of requests made under the FOI Act. |
| Meeting location | Adequacy Health & Safety | L M | The Parish Council meeting is held in a venue considered to have appropriate facilities for the Clerk, members and the general public. | Existing location adequate |

Liability

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| Legal Powers | Illegal activity or payments | L | All activity and payments within the powers of the Parish Council to be resolved and minuted at Full Parish Council Meetings. | Existing procedures adequate. |
| Minutes/agendas/ Notices Statutory Documents | Accuracy and legality Business conduct | L L | Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair | Existing procedures adequate. Members adhere to the Code of Conduct |
| Public liability | Risk to third party, property or individuals | M | Insurance is in place. Risk assessments regularly carried out to comply with requirements. | Existing procedures adequate. Ensure risk assessments are carried out. |
| Employer liability | Non-compliance with employment law | L | Undertake adequate training and seek advice from the Essex Association of Local Councils. | Existing procedures adequate. |
| Legal liability | Legality of activities Proper and timely reporting via Minutes Proper document control | M L L | Clerk to clarify legal position on proposals and to seek advice if necessary. Council always receives and approves Minutes at monthly meetings. Retention of document policy in place. | Existing procedures adequate. |

Assets

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|---|---|--------------|--|--|
| Play area equipment and sports and playing fields | Loss or Damage Risk/damage to third party(ies)/property | L L | An asset register is kept up to date and insurance is held at the appropriate level for all items. Regular checks made of all equipment by Members of the Parish Council. Annual inspection of play area carried out by ROSPA. | Existing procedure adequate. Review insurance requirements annually |
| Notice board | Risk/damage/injury to third parties Road side safety | L L | Parish Council has one notice board in the Parish. It has approval by relevant parties, insurance cover, inspected regularly by the Clerk - any repairs/maintenance requirements brought to the attention of the Parish Council. Keys held by the Clerk. | Existing procedure adequate. |
| Assets | Loss or damage Risk/damage to third party property | L L | An annual review of assets is undertaken for insurance provision | Existing procedures adequate |
| Maintenance | Poor performance of assets or amenities Unsafe work by contractors | L L | All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for any repair or maintenance is actioned/authorised in accordance with the correct procedures of the Parish Council. Assets are insured. Proper procedures followed in tender documents, risk assessed prior to work being undertaken. | Existing procedures adequate |
| Council records - paper | Loss through: Theft Fire damage | L M L | The Parish Council records are stored at the home of the Clerk. Records include historical correspondences, minutes, insurance, and bank records.. Members hold copies of historic agendas and minutes. | Damage (apart from fire) and theft is unlikely and so provision is adequate. |

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| Council records - electronic | Loss through: Theft, fire damage or corruption of computer | L M | The Parish Council electronic records are stored on the Clerk`s computer at her home. Back ups of electronic data are made at regular intervals | Existing procedures considered adequate |
| Website | Out of date Hacked by third party | M L | Members ensure content is updated following each meeting. Regular agenda item to monitor content. | Existing procedures considered adequate |

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