**Ulley Parish Council Risk Assessment – March 2024**

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the employer to identify any and all potential risks inherent in the place or practices. Based on a recorded assessment the employer should then take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible. Making sure that all employees are made aware of the results of the risk assessment.

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. In conducting this exercise, the following plan was followed:

Identify the areas to be reviewed.

Identify what the risk may be.

Evaluate the management and control of the risk and record all findings.

Review, assess and revise if required.

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| **Financial** |
| **Risk No.** | **Subject**  | **Risk(s) Identified/Impact** | **Responsibility** | **Management/Control of Risk** | **Risk Rating (High/ Medium /Low** | **Review/Assess/Revise** |
| 1 | Precept & budget | Adequacy of preceptRequirements not submitted to RMBCAn amount not received by RMBC | CouncillorsClerkClerk | The Council reviews the Precept requirement annually at the January meeting and 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 agrees the precept amount to be requested from Rotherham Borough Council. This figure is submitted by the Clerk in writing to RMBC normally by the end of January.The Clerk informs Council when the precept monies are received (approx. April time).The Council needs also to have adequate reserves to deal with an emergency, including a contested election for a casual vacancy. | LLL | The existing procedures are considered to be adequate. To be reviewed on an annual basis. |
| 2 | Financial records | Inadequate recordsFinancial irregularities | ClerkClerk/councillors | Budget update, bank balances and breakdown of receipts and payments produced, considered and approved at each full council meeting. The Council has Financial Regulations that set out requirements and expectations. The Council has appointed an independent internal audit to review processes. | LL | The existing procedures are considered to be adequate. Review the Financial Regulations on an annual basis. |
| 3 | Bank andbanking | FraudIncorrect payments and bank mistakes | CouncillorsClerk | Two signatories requiredClerk checks bank statements monthly.Bank balances, bank statement, reconciliation, budget monitoring and breakdown of receipts and payments produced, approved and signed at each full council meeting.The Council does not operate a petty cash system and any cash payments are banked straight away.The Council has Financial Regulations that set out the requirements for banking, cheques and reconciliation of accounts.The Clerk reviews the Council's banking arrangements regularly.Councillors have electronic access to view Council Bank statements etc via shared drive.Ensure that the Clerk is properly trained and all councillors to be made aware of the need to read and understand Standing Orders and Financial Regulations.The Council’s insurance policy has a Fidelity Guarantee. | LL | The existing procedures are considered to be adequate. Review the Financial Regulations when necessary and bank signatory list when necessary, especially after an AGM and an election. |
| 4 | Annual return/Annual Governance and Accountability Review (AGAR) | Inaccurate or incompleteSubmit within time limitsFailure to act on any recommendations | Clerk/councillorsClerkClerk/councillors | Ensure that the Clerk is suitably trained.Meeting held to approve AGAR in time for sending to Auditors.AGAR is completed and signed by the Council, submitted to the internal auditor for completion and signing then checked and sent on to the External Auditor within the time limit.Regular reports to Council on AGAR timescales and requirements.Any recommendations are reported to Council as well as progress with addressing them. | LLL | The existing procedures are considered to be adequate. To be reviewed on an annual basis. |
| 5 | Insurance | Insurance not in placeInadequacy of insurance | Clerk/CouncillorsCouncillors | Process payment of annual insurance promptly.Report payment to Council.Ensure that all councillors have sight of the insurance certificate, including placing it on the shared drive.A review is undertaken (before the time of the policy renewal) of insurance needs and requirements.Ensure compliance measures are in place. Ensure Fidelity checks are in place.Asset register updated on an annual basis. | LL | The existing procedures are considered to be adequateReview insurance provision upon expiry of current contract. |
| 6 | Election costs | Risk of an election costs | Councillors | Parish elections held every four years; next in 2024. A (‘casual’) vacancy may occur if a seat becomes vacant due to, for example, a resignation. Costs only if a contested election. Risk is higher in an election year. There are no measures which can be adopted to minimise the risk of having an election as this is a legal requirement democratic process. Sufficient reserves in place to cover this. | L | The existing procedures are considered to be adequate. To be reviewed on an annual basis as part of the budget setting process. |
| 7 | Best value for worksAccountability | Contracts awarded incorrectlyOverspend on services | CouncillorsCouncillors | The Council has financial regulations which set out the requirements and values for contracting works.Project budgets to be closely monitored by the Clerk and Councillors.As per Financial Regulations normal would be to seek, if possible, more than one quotation 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 and report to the Council.At each Council meeting the list of outstanding invoices is approved. Unpaid invoices to the Council are pursued and progress reported to Council. | LL | The existing procedures are considered to be adequate. Review the Financial Regulations on an annual basis. |
| 8 | Salaries and assoc. costs | Salary paid incorrectlyWrong deductions of NI or TaxUnpaid Tax & NI contributions to HMRC | ClerkClerkClerk | Salary rates are assessed annually by the Council and based on agreed NJC rates. Payments made monthly to HMRC using ‘Real Time’ system.Clerk required to prove to the Chairman, the Council and the Council’s Internal auditor that Tax and NI have been paid.Any expenses authorised and presented with receipts to Council. | LLL | The existing procedures are considered to be adequate. To be reviewed on an annual basis as part of the budget setting process. |
| **Council Management** |
| **Risk No.** | **Subject**  | **Risk(s) Identified/Impact** | **Responsibility** | **Management/Control of Risk** | **Risk Rating (High/ Medium /Low** | **Review/Assess/Revise** |
| **9** | Businesscontinuity | Risk of Council not being able to continue its business due to an unexpected or tragic circumstance | Councillors | All files and recent records are kept at the Clerk’s home and saved to a secure shared ‘one drive’ internet storage that this is available to all members. In the event of the Clerk being indisposed the Chair to contact the Yorkshire Associations of Local Councils (YLCA) for advice. The Clerk to be granted delegated powers in an emergency situation in accordance with the Council’s Standing Orders and legislation. | L | The existing procedures are considered to be adequate. To be reviewed on an annual basis. |
| 10 | Councillors | Roles performed inadequately Conflict of interest Failure to attract candidates for councillor vacancies | CouncillorsCouncillors/ClerkCouncillors/Clerk | Councillors provided with adequate training, reference materials and access to assistance. Membership of YLCA.Councillors have a duty to declare any interests at the start of the meeting Registers of Members Interest to be maintained and reviewed regularly by Councillors.Actively publicise Council activities & vacancies on noticeboard, website, newspapers; seek suitable candidates amongst friends, neighbours etc.Code of Conduct Scheme in place which members are signatories to. | LLL | The existing procedures are considered to be adequateReview member support on an annual basis.Members to review their Register of Member Interest on an annual basis. |
| 11 | Powers | Illegal activity or payments | Councillors/Clerk | All activity and payments (including under delegated powers) within the powers of the Parish Council to be resolved and minuted at Parish Council Meetings, including consideration to the power used. | L | The existing procedures are considered to be adequate. To be reviewed on an annual basis. |
| 12 | Meetings and process | Failure to achieve quorum at meetingsBusiness conduct Council decisions not implemented Inadequate public participation | Councillors/ClerkCouncillors/ChairmanCouncillors/ClerkCouncillors/Clerk | Councillors to attend all meetings as far as possible. Apologies provided promptly.Issue meeting agenda promptly and within legal timescales.Business conducted at Council meetings should be managed by the Chairman according to Standing Orders. Chairman to be provided with training and guidance.Members to adhere to Code of Conduct.Clerk and Chairman to periodically review minutes for confirmation of action, and report at full meetings as appropriate.Ensure meetings are publicised on noticeboard and website. Publish agenda and minutes on website. Communicate verbally with residents. Ensure public participation on all agenda and seating available. | LLLL | The existing procedures are considered to be adequate. Guidance/training to Chairman should be given (if required).Members reminded on a regular basis adhere to Code of Conduct. |
| 13 | Employees (Clerk) | Loss of ClerkRole performed inadequately | CouncillorsCouncillors/Clerk | Support is available from YLCA .The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role. | LL | The existing procedures are considered to be adequate. Review support to Clerk on an annual basis.  |
| 14 | Volunteers (including Workabout Group, Snow Wardens and Litter pickers) | AdequacyRisk/damage to third party(ies)/propertyRisk/damage to themselves | CouncillorsCouncillorsCouncillors | Specific provision made in the Council’s insurance.Pubic liability insurance Is held at the appropriate level.Written policies and procedures in place which volunteers are encouraged to sign, and should not use any equipment unless signed.Training providing on the use of equipment. Quarterly inspection of equipment.Emergency arrangements in place and publicised, including reporting of incidents. Risk assessments undertaken for all new activities. | LLL | The existing policies and procedures are considered to be adequate. Policies and procedures to reviewed on an annual basis. |
| 15 | Minutes/Agendas/Notices/Statutorydocuments | Accuracy Legality | ClerkClerk | Minutes and agenda are produced with the prescribed method by the Clerk and adhere to the legal requirements.Minutes are approved and signed at the next Council meeting.Minutes and agenda are displayed according to legal requirements. | LL | The existing procedures are considered to be adequate. To be reviewed on an annual basis. |
| 16 | Legal powers | Illegal activity or payments | Councillors/Clerk | All activity and payments within the powers of the Parish Council to be resolved and minuted at Full Parish Council Meetings.Clerk to ensure that Council has the power to undertake any proposed activity or payment. | L | The existing procedures are considered to be adequate. To be reviewed on an annual basis. |
| **Assets/Equipment** |
| **Risk No.** | **Subject**  | **Risk(s) Identified/Impact** | **Responsibility** | **Management/Control of Risk** | **Risk Rating (High/ Medium /Low** | **Review/Assess/Revise** |
| 17 | Council records -paper | Loss through:theftfiredamage | Clerk | Records are stored at the home of the Clerk. Records include historical correspondence, minute books and copies, documents for ownership of property (including recreational ground), records such as personnel, insurance, salaries etc. Records are stored in a filing cabinet (not fire proof) and scanned onto shared one-drive | L | The existing procedures are considered to be generally adequate.  |
| 18 | Council records -electronic | Loss through:Theft, fire, damageCorruption of computer | Clerk | The Parish Council’s electronic records are stored on his computer at the Clerk’s home. Records stored on Clerks computer, backed up to ‘one drive’ internet storage.Relevant emails to the Clerk are secured in named folders in Outlook to avoid them being deleted | L | The existing procedures are considered to be adequate. To be reviewed on an annual basis. |
| 19 | Data protection | AdequacyFailure to comply with the legal requirements. | ClerkClerk/Councillors | The Council is registered with the Data Protection Agency.Publication Scheme is kept up to date.The Council has approved data protection policies which set out the requirements, expectations and guidance. | LL | The existing procedures are considered to be adequate. To be reviewed on an annual basis.  |
| 20 | Recreation Ground | Loss or DamageRisk/damage to third parties/volunteers/propertyReliance on volunteers to undertake work. | CouncillorsCouncillors | Asset register is kept up to date.Pubic liability and other insurance are held at the appropriate level.Bi-monthly and annual risk assessment of the play equipment made by suitable qualified body, findings reported to the Full Council.Regular checks and annual risk assessment of the overall recreation ground made by councillors. Annual inspection of the trees by suitable qualified person.Maintenance/ repair/ replacement requirements identified and brought to Council.Urgent repairs to be discussed & agreed with Clerk and Chairman in accordance with Financial Regulations. Non-urgent repairs to be agreed at next meeting with updated Asset Register.Emergency arrangements in place and publicised, including reporting of incidents. Specific budget in place for the maintenance of the park including trees and play equipment.Council progressing establishing a Working Group to lead on the day to day management of it. The Council monitors the situation at every meeting of the Council. | LLM | The existing procedures are considered to be adequate.Review insurance requirements annually. |
| 21 | Village Hall | The Village Hall is owned by the Parish Council and operated by The Millennium Trust (MT) | Clerk/Councillors | Monitor situation in consultation with MT and keep Parish Council informed. | L | The existing procedures are considered to be adequate. To be reviewed on an annual basis. |
| 22 | Other Assets | Loss or DamageRisk/damage to third party(ies)/property | Clerk/CouncillorsClerk/Councillors | An asset register is kept up to date Pubic liability insurance Is held at the appropriate level for all items. Annual programme of checks of assets on the asset register. These are made by the clerk and councillors. More regular checks for the defibrillator by appointed lead councillor.Maintenance/ repair/ replacement requirements identified and brought to Council. Urgent repairs to be discussed & agreed with Clerk and Chairman in accordance with Financial Regulations. Non-urgent repairs to be agreed at next Parish Council meeting. | LL | The existing procedures are considered to be adequate. Review insurance requirements annually. |
| 23 | Meeting location | AdequacyHealth & Safety risk | Councillors/Clerk | Meetings held in Village Hall. In the event of an emergency where this is not possible (e.g. Covid Pandemic) then a remote option is available via an appropriate virtual meeting software package.Premises considered to be adequate for Council and public access and comfort. | LL | The existing procedures are considered to be adequate. To be reviewed on an annual basis. |

Next date to Reviewed - March 25