

Ubbeston 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 Ubbeston Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. Note: Ubbeston is a small parish of approximately of 40 properties & 70 occupants.

FINANCIAL AND MANAGEMENT

Subject	Risk(s) indentified	H/M/L	Management/control of Risk	Review/Assess/Revise
Precept	Adequacy of precept in order for the Council to carry out its Statutory duties Request not submitted Precept not paid by SCDC	L	To determine the precept amount required, the Parish Council discuss the known outlay for the next financial year at a Parish Council Meeting together with a proposed budget. The Clerk informs the Council when the monies are received. Request emailed and acknowledgement of receipt received. Confirm receipt.	Existing yearly assessment adequate. If precept was not paid there are adequate funds to cover for a short term. Diarised to send letter and check receipt.
Financial Records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations which sets out the requirements. Clerk to agree accounts monthly.	Existing procedure adequate Review the Financial regulations when necessary
Bank and banking	Inadequate checks Banks mistakes	L L	The Council has Financial Regulations which set out banking requirements. Expenditure is minuted & 2 persons are required for cheques. Monthly reconciliation. Annual statements are audited.	Existing procedure adequate Annual review of Financial Regulations.

Reporting and auditing	Information communication	L	Financial information is a regular agenda item (Finance Report) and discussed/reviewed and approved at each meeting.	Existing procedures adequate.
Grants	Receipt of grant	L	Parish Council does not presently receive any regular grants.	Procedure would be formed, if required
Grants and support payable	Power to pay Authorisation of Council to pay	L	All such expenditure goes through the required Council process of approval, minuted and listed accordingly if a payment is made using S137 powers of expenditure.	Existing procedure adequate.
Best value accountability	Work awarded Incorrectly. Overspend on services.	L M	Normal Parish Council practice would be 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 Council.	Existing procedure adequate. Include when reviewing Financial regulations.
Salaries and assoc. costs	Salary paid incorrectly. Unpaid Tax to Inland Revenue.	L L	SALC pay services advise amounts to be paid to employees including tax liabilities. Clerk to include in agenda for approval.	Existing payments procedures adequate.
Employees	Fraud by staff Health and safety	L L	Requirements of Fidelity Guarantee insurance adhered to with regards to fraud. All employees to be provided adequate direction and safety equipment needed to	Existing procedures adequate. Monitor health and safety requirements and insurance

			undertake their roles	annually.
VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out the requirements.	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.
Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved at full Council Meetings, including reference to the power used under the Finance section of agenda and Finance report monthly.	Existing procedures adequate
Minutes/agendas/ Notices Statutory Documents`	Accuracy and legality	L	Minutes and agenda are produced in the prescribed manor by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting.	Existing procedures adequate.
	Business conduct	L	Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair	Members adhere to Code of Conduct
Members interests	Conflict of interests Register of members interests	L M	Declarations of interest by members at Council meetings. Register of members interests forms	Existing procedures adequate. Members take responsibility to

			reviewed regularly.	update register.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity and within policies. Ensure compliance measures are in place. Fidelity checks in place.	Existing procedure adequate. Insurance reviewed annually.
GDPR	Policy provision Non compliance Breach of GDPR legislation Misuse of data	M	The Parish Council is registered with the ICO as a Data Controller Consents records Clerk has attended GDPR webinar training	Ensure annual renewal of registration
Freedom of Information	Policy Provision	L M	The Council has a Model Publication scheme in place. To date there has been no requests under FOI. The Parish Council is aware that if a substantial request came in it could create a number of additional hours work. The Parish Council can request a fee to supplement the extra hours	Monitor any requests made under FOI
Election Cots	Invoiced at correct rate	L	Clerk checks and accounts for future elections in budget.	Existing procedure adequate
PHYSICAL EQUIPMENT OR AREAS				
Assets	Loss or damage Risk/damage to third party (ies) property	L L	An annual review of assets is undertaken for insurance provision	Existing procedures adequate
Maintenance	Poor performance of	L	All assets owned by the Parish Council	Existing procedures

	assets or amenities		are regularly reviewed and maintained. All repairs and relevant expenditure for any repair is actioned/authourised in accordance with the correct procedures of the Parish Council. Assets are insured.	adequate
Notice Board	Risk of damage	L	The Parish Council currently has one notice board within the bus shelter. Inspection procedures occurs regularly. Any reports of damage are dealt with in accordance with the correct procedures of the Council.	Existing procedures adequate
Meeting locations	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 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 and in a locked filing cabinet stored in the shed of the Hub. Records include historical correspondences, minutes, insurance, bank records.	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	The Parish Council electronic records are stored on the Council’s computer at the Clerk’s home. Back up of electronic data is made at regular intervals.	Existing procedures considered adequate
Village Sign	Risk of damage	L	Assets are reviewed annually	Existing procedures adequate.
Council Parish Posts	Loss of Clerk Fraud by Officials	M L	Council seeking alternative persons. Annual Internal & External audits	Existing procedure adequate.

Reserves	No funds allocated	L	Allocate funds annually to reserves to cover unexpected costs	Financial regulations reviewed
Bus Shelter	Loss or damage. Risk/damage to third party (ies) property.	L	An annual review of assets is undertaken for insurance purposes. Repairs carried out as & when required.	Existing procedures adequate.
Speed Indicator Device	Loss or damage. Risk/damage to third party (ies) property.	M	An annual review of assets is undertaken for insurance purposes. Repairs carried out as & when required.	Existing procedures adequate.
Grit Bin	Loss or damage. Risk/damage to third party (ies) property.	M	An annual review of assets is undertaken for insurance purposes. Repairs carried out as & when required.	Existing procedures adequate.
Defibrillator	Loss or damage. Risk/damage to third party (ies) property.	L	An annual review of assets is undertaken for insurance purposes. Repairs carried out as & when required.	Existing procedures adequate.
Village Bench	Loss or damage. Risk/damage to third party (ies) property.	L	An annual review of assets is undertaken for insurance purposes. Repairs carried out as & when required	Existing procedures adequate.

Reviewed and adopted at the meeting of Ubbeston Parish Council.

Chair _____ Date _____