

## WILLOUGHBY PARISH COUNCIL – RISK ASSESSMENT

Adopted by resolution on 4<sup>th</sup> October 2022

Minute Reference 8.1

Review Date: March 2023

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 Willoughby 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 the risk
- Evaluate the management and control of the risk and record all findings
- Review, assess and revise as risks evolve and change

FINANCIAL AND MANAGEMENT				
Subject	Risk(s) identified	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	L	To determine the precept amount required, the Council regularly receives budget update information. At the precept meeting the Council receives a budget report, including actual position and projected position to the end of year. With this information the Council maps out the required monies for standing costs and projects for the following year and applies specific figures to budget headings, the total of which is resolved to be the precept amount to be requested from Rugby Borough Council.	Existing procedure is considered adequate. Experienced Chair has undertaken the process in previous years.
	Requirements not submitted in time	L	The figure is submitted by the Clerk in writing.	
	Amount not received from RBC	L	Clerk monitors the bank account and reports on its receipt.	

Financial Records	Inadequate records	L	The Council has Financial Regulations which sets out the requirements.	Existing procedures meet requirements.
	Financial irregularities	L	Financial records are retained on Google Drive and shared with the Chair and other Councillors as required	
Bank and banking	Lack of control over banking/procedures/checks	L	The Council has Financial Regulations which set out banking requirements, including monthly reconciliation/reports presented at Parish Council meetings.  The Council has recently moved to an online bank account with an inputter/approver system for making payments.	Existing procedures ensure that banking controls are followed
Reporting and auditing	Reporting Information communication	L	Financial reporting is a monthly agenda item under Finance Report. Members have the opportunity to discuss, question, review financial matters during the monthly Parish Council meeting.	Relevant procedures in place.
Grants	Receipt of grants	L	Grant applications/procedures are followed, and decisions shared with members as and when relevant.	Relevant procedures in place
Grants and support payable	Authorisation of Council to pay	L	All such expenditure must adhere to the Council process of approval, minuted and listed accordingly if a payment is made using S137 powers of expenditure.	Financial procedures approved April 2022.
Best value accountability	Work awarded incorrectly. Overspend on services.	L	Financial Regulations followed. Quotations/estimates obtained where required.	Existing procedure adequate.  Ensure procedures are included in financial regulations.
		M	Financial controls to be undertaken and monitored. Procurement procedures to be followed. Following Parish Council approval, where possible, local tradespeople will be awarded contracts/work.	
Salaries and associated costs	Salary paid in accordance with agreed terms.	L	Contract of Employment in place for clerk.  Annual review of salaries to be undertaken before Annual Precept is agreed.	Contract of employment in place. Payroll is approved by a Councillor. Payroll is prepared using Basic Tools and submitted monthly to HMRC.
	Deductions properly paid to HMRC	L	Financial Report to Members HM Revenue and Customs REAL TIME procedures followed for NI and PAYE Annual returns completed online within the required timescale	
Employees	Fraud by staff	L	Requirements of Fidelity Guarantee insurance adhered to with regards to fraud. Finance reports presented.	Existing procedures meet requirements.

	Health and safety	L	End of Year information reported/internal and external audit controls  All employees to be provided adequate direction and safety equipment needed to undertake their roles Health and Safety at Work Policy is in place.	Regular monitoring of health and safety requirements. Home working being the only existing role.
VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out the procedures to be followed. Reporting to the Council of VAT recovered.	Existing procedures meet requirements
External Audit Annual Return	Submit financial documentation as required within time limits	L	External Audit Annual Return completed and signed by the Council, submitted to the internal auditor for completion and relevant checks. The Clerk to ensure that further requests from the External Auditor are responded to promptly and reported to the Full Council.	Existing procedures meet requirements
Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved/approved at full Council Meetings. Control presented through monthly finance reports	Existing procedures meet requirements
Minutes/agendas/ Notices Statutory Documents`	Accuracy and legality relating to official business documentation Business conduct	L	Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements. Minutes are consecutively numbered, signed and dated by the chair.	Existing procedures meet legal requirements.  Members adhere to Code of Conduct - each member signs a copy of the Code of Conduct.
		L	Agenda displayed according to legal requirements.	
		L	Business conducted at Council meetings should be managed by the Chair.	
Members interests	Conflict of interests	L	Declarations of interest by members at Council meetings.	Existing procedures adequate.
	Register of members interests	M	Register of members' interests' forms reviewed regularly and passed on to the local authority.	Members take responsibility to update the register when required.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L	An annual review is undertaken of all insurance arrangements to include: <ul style="list-style-type: none"> <li>• Employers and Employee liabilities</li> <li>• Fidelity</li> <li>• Public Liability</li> <li>• Assets and Equipment</li> </ul>	Existing procedure adequate. Insurance reviewed annually.
Data protection	Policy provision	M	The Parish Council is registered with the Data Protection Agency	Clerk is the Data Protection Officer.

Freedom of Information	Policy Provision	L M	The Council has a Model Publication scheme in place. Fees for information should be based on time management in obtaining such information	Model Publication Scheme to develop – <b>ACTION</b>  Monitor any requests made under FOI
<b>PHYSICAL EQUIPMENT OR AREAS</b>				
Assets	Loss or damage Risk/damage to third party(ies) property	L	An annual review of assets is undertaken for insurance provision	Assets register up to date – May 2022 JJ and MB to carry out an inspection – <b>ACTION</b>
Maintenance	Poor performance of assets or amenities. Risk to health and safety to the public.	L	All assets owned by the Parish Council are regularly inspected, reviewed, and maintained. All repairs and relevant expenditure relating to repairs are actioned/authorised in accordance with the correct procedures of the Parish Council.  Assets are insured.	Existing procedures meet requirements
Notice Board	Risk of damage	L	The Parish Council currently has 1 notice board. No formal inspection procedures are in place, but any reports of damage or faults are reported to the Parish Council and dealt with in accordance with Council procedures.	Existing procedures meet requirements
Meeting locations	Adequacy Health & Safety	L	The Parish Council meeting is held in the Village Hall. This has appropriate facilities for the Clerk, members and the general public. The venue is compliant with Disability Laws.	Venue meets requirements. Risk assessments to view – <b>ACTION</b> View Village Hall risk assessment – <b>ACTION</b>
Council records – paper	Loss through: Theft Fire Damage	L L L	Physical historical records include historical correspondences, minutes, insurance policy and information, bank records, policies, data protection records, Members’ declarations of interests. All documents are kept secure.	Google Drive is a secure area.  Damage (apart from fire) and theft is unlikely and so provision meets the expected requirements. The Clerk has contacted WALC to establish where records can be stored.
Council records – electronic	Loss through: Theft, fire damage or corruption of computer	L	With effect from May 2022 the Parish Council records are stored on the Google Drive on the Clerk’s email account. Password is shared with the Chair.	Existing procedures meet requirements.
Business Continuity	1. Incapacity of Clerk including impact of a pandemic 2. Resignation of the Clerk 3. Loss or theft of records	H	Make arrangements to delegate authority to the Clerk to make decisions on behalf of Council, in the event that Council cannot meet in person, to ensure that the business of the Council may continue uninterrupted. This would be in the event that no legislation has been passed by the Government to hold meetings remotely using video conferencing.	Designate a person to temporarily act as Clerk in absence of the Clerk.  Process to be in place, job description, person specification in place (advice from NALC)

	4. Failure to retain or secure the necessary number of Members for a Council 5. Pandemic		As soon as a vacancy arises, Rugby Borough Council's Electoral Officer is contacted and dates agreed for advertisements.	All old copies of Minutes prior to electronic to be deposited with the County Records.  All minutes from January 2015 are held on the Council's website.  All records are maintained on Google Drive  Process for recruiting a Councillor has been established.  Co-option policy and procedure in place.  Scheme of Delegation in place.
<b>RISKS SPECIFIC TO WILLOUGHBY PARISH COUNCIL</b>				
Flooding	Loss or damage Risk/damage to third party(ies) property	L	The village does flood with vehicles driving at speed through flood water causing further damage	Flood response to be addressed at Annual Community Meeting
Lamp posts	There are two remaining concrete lamp posts – the cost of replacing these would be c £2,600	M	Lamp posts will be monitored for damage and the cost of replacement factored into the budget	Lamp posts are inspected regularly and damage is reported by residents
Emergency Plan	Residents need to know who to call in the event of an emergency	M	An Emergency Information sheet to be drawn up to advise	<b>ACTION</b>
Village Pond	Cost of maintenance Potential for a child or vulnerable person to fall into the pond Blue-green algae is a potential danger for dogs	M M L	The risks associated with the Village Pond were discussed by the Parish Council. The deep end is not accessible and no accidents have taken place in living memory. The risks are deemed minimal. Signage "Danger Keep off any ice" to be put in place.	Review in the event of an accident or incident
Website Maintenance	The website is maintained by one individual	M	Website maintenance companies have been approached and will only quote if they have built the website.	To review should the individual wish to step down from maintaining the website

An ACTION PLAN TO BE SET UP to ensure the Council has up-to-date procedures and that policies are adhered to in line with Government guidelines/ Governance and accountability and best practise.

**ACTION PLAN:**

Freedom of Information Model Publication Scheme to draw up – Clerk

Risk Assessment for Village Hall to consider – MB following up

Flood response plan to be updated – to include road closure procedures – Volunteers identified through Community Survey July 2022

Emergency Plan – information sheet to be drawn up