

# Osmaston and Yewarsley Parish Council Risk Assessment 2023 - 2024

Topic	Risk	Management/control of risk	Review/Assess/Revise
Business Continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	Should the Chair fall ill and be unable to act as Chair one of the other Cllrs will assume the position of Chair. Should the Clerk fall ill and be unable to work then in the short term a Note Taker shall be employed on a temporary basis to take minutes (meetings take place every two months).	Review should issues arise.
Precept	Adequacy of precept	To determine the precept amount required, the Parish Council regularly receives budget update information and the precept is an agenda item at a full Council meeting. At the November PC meeting Council receives a budget update report, including actual position and projected position to end the year and indicative figures or costings obtained by the Clerk.  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 the District Council. This figure is finalised at the January meeting. This figure is submitted by the Clerk in writing to the District Council.  The Clerk informs Council when the monies are received (usually April) at the May Parish Council meeting.  The Council has Financial Regulations which set out the requirements.	Existing procedure adequate.
Financial Records	Inadequate records Financial irregularities	The Council has Financial Regulations which set out the requirements.	Existing procedure adequate. Review the Financial Regulations when necessary.
Bank and Banking	Inadequate checks Loss Charges	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts.	Existing procedure adequate. Review the Financial Regulations and bank signatory lists as necessary.
Cash	Loss through theft or dishonesty	The Council does not use Cash. There is no petty cash or float.	Existing procedure adequate.
Reporting and Auditing	Information communication	An I&E update is included on the Agenda and Cllrs are asked for comment at the meeting. Invoices for payment are presented at the meeting.  Clerk does not sign cheques unless one of the Cllrs is absent. There are three Cllrs with signatory rights for cheques and two Cllr with signatory rights for online bank payments.  Council undertakes an internal audit at the start of each financial year to comply with the Fidelity Guarantee.	Existing communication procedures adequate.
Direct costs Overhead expenses Debts	Incorrect invoicing Cheque payable incorrect Unpaid invoices	The Council has Financial Regulations which set out the requirements. One Councillor will ideally check each invoice against the cheque book / associated paperwork and initials the invoices. Council approves the list of requests for payment.	Information is included in MPC Financial Regulations. Existing procedure adequate.

Grants payable	Power to pay Authorisation of Council to pay	All such expenditure goes through the required Council process of approval, minuted and listed accordingly if a payment is made using the S137 power of expenditure.	Existing procedure adequate.
Grants - receivable	Receipts of Grant	The Parish Council does not presently receive any regular grants. One off grants would come with terms and conditions to be satisfied.	Existing procedure adequate.
Charges – rentals payable	Payments of charges, leases, rentals	The Parish Council uses the meeting room at The Shoulder of Mutton public house free of charge. One of the Cllrs is the landlord of the public house and therefore cannot benefit from his role as Cllr.	N/A
Charges – rentals receivable		N/A	N/A
Best value Accountability	Work awarded incorrectly Overspend on services	Normal Parish Council practice 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, research the problem and report to Council.	Existing procedure adequate.
Salaries and associated costs	Salary paid incorrectly Wrong hours paid Wrong rate paid False employee Wrong deductions of NI or Tax Unpaid Tax & NI contributions to the Inland Revenue	The Parish Council only employs one member of staff: the Clerk. Recruitment is undertaken by the Chair and Cllrs. The Clerk works from home. Salary rates are in line with NALC guidance and the Clerk informs Cllrs of pay increases at the meeting after the NALC guidance is received. The Clerk provides the Council with wage slips at the meetings. The Clerk is paid monthly that is twelve times a year. The Clerk earns under £7,475 per year. The Clerk uses HMRC PAYE software to run payroll and generate payment information to HMRC. The Clerk keeps a time sheet and has a contract of employment and job description.	Existing appointment and payment system is adequate.
Employees	Loss of key personnel Fraud by staff Actions undertaken by staff Health & Safety	The requirements of the Fidelity Guarantee insurance to be adhered to with regards to Fraud. The Clerk should be provided with relevant training and access to assistance and legal advice required to undertake the role.	Existing procedure adequate – covered by insurance. Membership of DALC.
Councillor allowances		No allowances are allocated to Parish Councillors	No procedure required
Election costs	Risk of an election cost	Risk is higher in an election year. When an election is due the Clerk will obtain an estimate of costs from the District 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 procedure adequate
VAT	Re-claiming/charging	The Council has Financial Regulations which set out the requirements	Existing procedure adequate
Annual Return	Submit within time limits	The Annual Return / Certificate of Exemption is submitted to the internal auditor for examination and sign off. It is then presented to Cllrs at the Annual Meeting of the Parish Council, submitted for approval and signed off by the Chair and Clerk and forwarded to the External Auditor within the relevant timescale.	Existing procedures adequate
Legal Powers	Illegal activity or payments	All activity and payments within the powers of the Parish Council to be resolved and minuted at Full Parish Council Meetings, including a reference to the power used.	Minutes

Minutes/Agendas/Notices Statutory Documents	Accuracy and legality  Business conduct	Minutes and agenda are produced in 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 the legal requirements on the village noticeboard and the parish council website. Business conducted at Council meetings should be managed by the Chair.	Existing procedure adequate. Guidance/training to Chair should be given (if required). Members to adhere to Standing Orders.
Members interests	Conflict of interest  Register of Members interests	Although not a requirement, the declaring of interests by members at a meeting should be an obvious process to remind Councillors of their duty and should remain on the agenda.  Register of Members Interest forms should be reviewed regularly by Councillors.	Existing procedure adequate.  Members take responsibility to inform the Clerk who will update their Register.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Employers and Employee liability insurance is 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. Covered by insurance.
Data protection	Policy Provision	As of 25 <sup>th</sup> May 2018 the Parish Council is subject to GDPR. The Parish Council is registered with the Information Commissioner's Office.	Existing procedure adequate
Freedom of Information Act	Policy Provision	There have been no requests for information to date and if a substantial request arrives then this may require many hours of additional work for the Clerk. The Council is able to request a fee if the work will take more than 15 hours but the applicant also has the right to re-submit the request broken down into sections, thus negating the payment of a fee. This would be on the understanding that, given the limited finances of the Council, and the Clerk's contract limiting work to around 8 hours a month, that completion of this task may take at least a year.	Monitor and report any impacts of requests made under the FOI Act.
Assets	Loss or Damage Risk/damage to third party(ies)/property	The Clerk will check the assets on an annual basis usually between May and June The Council has seven assets – bus shelter, seat, telephone kiosk, laptop, MS software, Defibrillator & heated cabinet, noticeboard and information board. Noticeboard is on the corner of Ladyhole Lane.	Covered under annual insurance policy.
Notice boards	Risk/damage/injury to third parties		
Street furniture	Risk/damage/injury to third parties	The bus shelter, seat, telephone kiosk, laptop, MS software, defibrillator, heated cabinet, noticeboard and information board are covered by the Parish Council's insurance policy should a third party be injured by it.	Adequate insurance in place.
Meeting location	Adequacy Health & Safety	The Parish Council Meetings are held at The Shoulder of Mutton. The premises and the facilities are considered to be adequate for the Clerk, Councillors and Public who attend from Health and Safety and comfort aspects.	Existing location adequate.
Council records – paper	Loss through: theft	The Parish Council records are stored at Ashlee Cottage. Records include historical correspondence, minute books have been sent to the Records Office at Derbyshire	Damage (apart from fire) and

Council records - electronic	fire damage	Dales. Records such as personnel, insurance, salaries etc. are in lever arch files (not fire proof) and held electronically. Information required under the Transparency Act is on the parish council website.	theft is unlikely and so provision adequate.
Council records - electronic	Loss through: Theft, fire, damage corruption of computer	The Parish Council's electronic records are stored on the Clerk's computer. Payroll records are stored on the PC laptop. Back-ups of the files are taken at regular intervals and stored on the Parish Council portable hard drive.	Existing procedure adequate

**Risk Assessment presented to Cllrs at the Annual Meeting of Osmaston and Yeldersley Parish Council held on**

for approval

Item approved: Tuesday 23<sup>rd</sup> May 2023

Agenda Item: 8

Signed off by the Chair: 

Council records - electronic	fire damage	Dales. Records such as personnel, insurance, salaries etc. are in lever arch files (not fire proof) and held electronically. Information required under the Transparency Act is on the parish council website.	theft is unlikely and so provision adequate.
Council records - electronic	Loss through: Theft, fire, damage corruption of computer	The Parish Council's electronic records are stored on the Clerk's computer. Payroll records are stored on the PC laptop. Back-ups of the files are taken at regular intervals and stored on the Parish Council portable hard drive.	Existing procedure adequate