Uttoxeter Rural Parish Council
Business Risk Assessment

	Item	Risk Rating L/M/H	Details	Controlled (Yes/No)	Action required
1	**Assets**				
	Insurance Cover for the Council	L L L L L L L NA L	Buildings Contents Fidelity Theft Personal Injury Public Liability Slander/Libel External Assets e.g. Play Areas/Community Centres (if applicable) Insurance for Clerk's premises (if necessary) Equipment	NA Y Y Y Y Y Y Y NA Y	Insurance is reviewed each year and if new assets are added to asset register, then insurance company informed and added to schedule. Zurich Insurance are the insurance brokers used by Council and insurance renewal date is 1st June each year.
	Office security	L L	Sensitive computer data is password protected. Files Backed up on regular basis Stored on site in metal filing cabinet	Y Y	Clerk will ensure an envelope is within the strong box, within the filing cabinet, with all passwords. Chairman to have key to filing cabinet. Back up carried out by Clerk from lap top to memory stick on a monthly basis.
	Regular Maintenance/ Inspections of Play Equipment	L L	Annual Risk Assessments completed Inspection log maintained by Clerk of Council	Y Y	Annual Inspections are carried out. The Vice Chair of the Parish Council carries out quarterly checks of the play equipment and reports are filed by Clerk
	Asset Register	L	Maintained and accurate	Y	The register is updated and reviewed quarterly by Clerk and then annually by Clerk and Internal Auditor. Ratified at Annual Meeting. The Deeds to assets are held at Nigel Davis Solicitors(ND), 58 High Street, Uttoxeter, ST14 7JD 01889 567719 The Storage numbers for deeds are: · Mortgage book and papers – ND Ref: 3019

					· Land used as Stramshall allotments – ND Ref: 3020 · Stramshall Playing Field and Land Registry document Ref: SF669876– ND Ref: 3021 Documents can only be obtained by signature of Clerk and one Councillor, both to attend at Nigel Davis Solicitors, both to provide ID at time of signing.
2	**Finance**				
	Cash Loss	NA	Procedures to ensure safety of cash transfer (if applicable)	NA	No cash or petty cash transactions
	Handling VAT	L	Make accurate and regular reclaims Ensure correct values applied	Y	Claims made by Clerk on an annual basis and reported to Parish Council meetings. Will be checked by Internal Audit trail
	Budgeting (precepts)	L L L	Maintain accurate accounts to control budgets Annual precept based on adequate budgetary process Reserves/contingencies appropriate	Y Y Y	The clerk ensures all accounts are maintained accurately and checked by a Councillor on a quarterly basis. Budget is produced in November by Clerk and one Councillor. Annual precept is based on spending and income, which is reviewed in December Parish Council meeting. Precept applied for in January to ESBC by Clerk.
	Awarding Grants	M	Establish system of grant applications and monitoring	Y	Grant process has been established and is now on the website for grants to be applied for.
	Obtaining Grants	L	Grant training and funding training to be established and funding bodies reviewed annually	Y	Councillors to advise Clerk what funding is required. Clerk and Chair/Vice Chair to submit funding applications once agreement in meeting has taken place.
	Conforming to legislation	M L L M M	Lack of commitment to regulations/procedures Items purchased without proper tendering procedures Payments made without approval/control Lack of knowledge of accounting requirements Lack of knowledge of sources of income	Y Y Y Y Y	All agreements are made by the Parish Council at meetings. Clerk is in contact with Staffordshire Parish Council Association and is a member of Society of Parish Clerks, so can be advised on all legislation to bring to the Parish Council meetings. Financial Regulations are posted on Parish Council website and ensure the Council adheres to all regulations. Council has a professional internal auditor Training courses being undertaken on funding
	Banking arrangements	L L	Control of signatories Continual review of interest bearing accounts	Y Y	Financial Regulations adopted by Council ensure 2 signatures are required for any cheque or money transfers from Lloyds Bank or Leek Building Society accounts

	Gifts	L	Maintain register and review regularly	Y	Only accepted after vote by full Council
	Salary payments	L L	Paid in accordance with Council regulations PAYE/NI handled appropriately	Y Y	Parish Council has signed contract with Clerk for salary and abides by NALC annual pay reviews The Council PAYE Tools submit PAYE details monthly – all pay slips included in accounts and minutes.
	Procedures	L	Accounts programme is Excel spreadsheet. Account monitoring undertaken by: Councillors Internal/External Auditor	Y	The accounts are on an Excel spreadsheet which is available for public inspection during the 30 days of Audit review each year. Internal Audit trail is carried out by two Councillors on a quarterly basis. URPC employ an Internal auditor - Topliss Associates and the External auditor is- Mazars LLP, The Corner, Bank Chambers, 26 Mosley Street, Newcastle upon Tyne, NE1 1DF Email: local.councils@mazars.co.uk
3	**Public Liability**				
	Telephone Boxes	L	Adequate insurance/visual inspection and log	Y	Stramshall and Bramshall Telephone boxes are for community use as libraries and are inspected by Councillors weekly.
	Defibrillators	L	Adequate insurance/visual inspection and log	Y	The two Defibrillators are checked weekly by a Councillor in Stramshall and Bramshall
	Bus Shelters	L	Adequate insurance/visual inspection and log	Y	The Council has bus shelters, included in the Asset Register and are covered by insurance. Maintained regularly by Council.
	WW1 Benches	L	Monthly visual inspection	Y	Stramshall Councillors inspect WW1 Bench on Playing Fields, Bramshall Councillors inspect WW1 Bench on Village Green
	Play Areas	L	Monthly inspection by qualified body	Y	The annual inspection is carried out with a report being available to all Councillors. A Councillor carries out weekly visual inspection of Football Field and Nets, and play equipment.
4	**Legal**				
	Meetings	L	Conducted by Standing Orders. please note new regulation with regards on line meetings.	Y	Conducted by Chair or Vice Chair with the help of Parish Clerk. The Parish Council will continue to be guided by the Government regarding Covid restriction in 2022-2023.
	Minutes	L	Signed and retained appropriately	Y	Draft minutes uploaded onto website within 5 working days of the meeting taking place and final minutes uploaded onto website

					within 5 working days and put into the 5 Parish Noticeboards within 5 days of meeting.
	Agendas including Summons to Meeting	L	Sent out in time and giving sufficient detail of the business to be transacted	Y	Sent by email to Councillors by Clerk and sent out 3 working days before meeting. Each councillor is issued with Good Councillor Guide and understand they need to attend meetings
	New Councillor Welcome Pack	L	Councillor's awareness of responsibilities	Y	Three page document issued to new Councillors, giving details of all significant documents, policies and powers and duties.
	Training	L	Continual Professional Development for both Councillors and Clerk	Y	Staffordshire Parish Council Association offer training to Councillors and SLCC provide training for Clerk. All training information is passed to councillors on a regular basis and a Training Policy was adopted in May 2021 – please view this policy for full details.
5	**Member Liability**				
	Declarations of Interests	L	Register accurate and lodged with monitoring officer Agenda items declared at each meeting	Y	The Councillors all register their interests with ESBC and will declare an interest at meetings, if an interest is discussed. All declarations of interests are added to minutes. Any changes to interests must be notified to ESBC within 10 working days of the change.
	Hospitality	L	Declared on Agenda	Y	Hospitality offered after full Council agree budget for the event. Councillors must declare any hospitality they receive.
	Resolutions	L	The Chair summarises resolutions before Members vote on them Where Members disagree with the advice of the Clerk, such disagreement must be recorded	Y	All resolutions are added to minutes and minuted as RESOLVED. – As per standing orders, a resolution can not be changed for 6 months, unless 3 councillors write to clerk. All disagreements are added to minutes.
6	**Council Liability**				
	Lone person working	M	Comply with employment law	Y	All issues are addressed by advice from NALC, Staffordshire Parish Council Association and SLCC and a Homeworking Policy was adopted in May 2021
	Contract of Employment	L	Issue contract within legislative timeframe and include person specification	Y	The Parish Council uses the NALC contract of employment
	Duty of Care	M/L	To employees	Y	Advice issued by National Association of Local Councils (NALC),

			To visitors To Councillors		Staffordshire Parish Council Association(SPCA) and Society of Local Council Clerks(SLCC)
	Councillors	L	Councillors are adequately advised of their responsibilities	Y	Councillors are made aware of all policies and codes required to be a responsible Councillor via training and Good Councillor Guide.
	Code of Conduct	L	Reporting of Interests and Code of Conduct issues administered by East Staffordshire Borough Council	Y	All Councillors are given a Declaration of Acceptance form when elected and retained by the Clerk. The Chair signs a declaration of acceptance each year at Annual Meeting. The Register of Interests forms are annually given to Councillors and a copy is kept by Clerk and uploaded onto website. Originals are sent to ESBC. Councillors sign a form each year at the Annual meeting to confirm they have read and will comply with the ESBC Councillor Code of Conduct document.
7	**Health and Safety**				
	Responsibilities	L	Members Employees Public	Y	Assessment of the meeting rooms, are responsibility of Wilfred House and Stramshall Village Hall the Parish Council has not responsibilities.
	Fire	L	(See separate risk assessment)		Carried out by Wilfred House Committee and Stramshall Village Hall
	COSHH		(See separate risk assessment)		Carried out by Wilfred House Committee and Stramshall Village Hall
	P A T		Regular testing completed		Not carried out on lap top or printer
	VDU	L	Clerk to adhere to H&S advise on use of VDU	Y	Clerk to take breaks when using the laptop and ensures seating is correct
9	**Town and Country Planning**				
	Consultation on local planning	L	Planning Committee is whole Council Delegated powers to Clerk	Y	The Councillors are sent all planning applications by e-mail and comments are discussed at meetings. Vote is undertaken if disagreement is raised. If deadline for comments is between meetings, then clerk requests comments via email. Clerk to add comments to ESBC website

					Town and Country Planning Act 1990 sched 1. Para 8.

10	**Contracts**				
	Monitoring of contracts	M/L L	Performance Payments	Y Y	Each year the contractors' contracts are reviewed by Councillors. All payments are recorded in the minutes and cheques and invoices are signed by 2 Councillors
	Letting of Contracts	L	Compliance with legislation, particularly tendering process as defined in Standing Orders/Financial Regs	Y	See Financial Regulations
	Site inspections	L	Third party sites where grass is being cut or bins emptied by Contractors and ESB Council to be inspected and any defects reported to Council meeting	Y	Councillors and Parish Clerk carry out site inspections and report any issues to the Parish Council meetings.
	Conditions of Contract	L	Contracts are reviewed annually and are placed with specialist contractors who will hold their own insurance and will have conducted their own risk assessments and provided copies of such documentation	Y	Risk Assessments and Insurance Documents are requested by Clerk each year.
11	**Administration**				
	Office cover	L	The years meetings dates are arranged at the Annual Meeting and published on the website. Clerk Cover needed	Y	The Chair or Vice Chair will take minutes at meetings if Clerk unavailable. If Clerk is not available for a long period, then Chair will contact Staffordshire Parish Council Association for a locum clerk.
	Public accessibility	L	The Clerks residence is usually open between the hours of 10am to 1pm on Tuesday & Wednesday and between the hours of 9.30am – 12.30pm on Friday	Y	Access by e-mail during these hours. Access to clerk residence by appointment.
	Procedures	L	Defined by NALC and Approved by Council	Y	All relevant policies and codes are reviewed bi-annually. All policies and codes are available from NALC and adopted policies are on the website
	Archiving	L	Documents are stored in accordance with guidelines from NALC	Y	All records (required to be kept) - Council will submit all old records to Staffordshire County Council Records Office.

	Website	L	Lack of updates Incorrect data	Y	Content of site is reviewed by Councillors annually. External website company, Eric Roy is employed to host the website, and the Clerk updates the website.
	Standing Orders	L	Reviewed annually	Y	The standing orders are reviewed and resolved annually.
	Press comments	L	Adopt guidelines for press comments	Y	Refer to Media Policy on Parish website
	Data Protection	ML	Keep up to date to ensure legislative compliance	Y	Advice gained from SLCC, SPCA and NALC and a Data Privacy Policy was adopted. Membership of ICO
12	**Bye Laws**				
	Introduction	L	Reference documents readily available Higher Agencies involvement	Y	Advice gained from SPCA, ESBC and SCC

- There is a charge of £0.10 per Black and White A4 paper copy plus 2nd class postage costs – as per the Freedom of Information Publications Scheme on website.
- The Clerk is the Proper Officer for the release of papers under the Freedom on Information legislation.

Date Last Ratified/Approved	Version Number	Revision/Amendment made/section	Next Review Date
05.07.2016	1	Policy Adopted	Annually
03.05.2022	2	Added Payroll Bureau details to Section 2 – Salary Payment Added Wilfred House for Council meeting room	May 2023

23.11.2022	3	Added Stramshall Playing Fields Land Registry details to Section 1 – Assets	May 2023
16.05.2023	4		May 2024
November 2024	5	Detailed annual and quarterly reports changed from monthly in section 1. VAT claims changed to annually in section 2. Grant process simplified in section 2. Signatures changed to 2 to sign in section 2. Removal of payroll company in section 2. Addition of Stramshall Village Hall on section 7.	November 2025

December 2025	6		December 2026