

## PARISH COUNCIL - RISK ASSESSMENT SCHEDULE

### Definition of Risk Management

Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements.

This document has been produced to enable Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. The Council is aware that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic and focuses approach of managing risk, which:

- Identifies the subject
- Identifies what the risk may be
- Identifies the level of risk
- Evaluates the management and control of the risk and records findings
- Reviews, assesses and revises procedures if required

### MANAGEMENT

Subject	Risk(s) identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
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Business Continuity	Council not being able to continue its business due to an un-expected tragic circumstance	L	All files and recent records are kept at the Clerks home. The Clerk makes electronic back up of files. In the event of the Clerk being indisposed the Chair to contact SALC for advice and support.	Review when necessary
Meeting Location	Adequacy Health & Safety	L	Meetings are held at the Village Hall. One Parish Council member holds a key to ensure access. The premises and facilities are considered adequate for the Clerk, Councillors and any members of Public that attend from health & safety and comfort aspect.	Existing procedure adequate
Council Records	Loss, through theft, fire, damage	L	Papers, both current and archived are held in a metal cabinet within the at the Clerks home.	Damage or theft is unlikely so provision is adequate
Council Records Electronic	Loss through damage, fire, corruption of computer	L	All electronic records are stored on the Clerks computer. Back ups on external drives are taken regularly. Storage is not fire proof. From January 2014 duplicate records will be held by the Chairman	Risk of fire and theft is very low. Electronical backing up onto external drives system is viewed as adequate
Email	Inability to access email account		A backup account is held with all contacts	Risk was considered low until August 2011

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when account was  
compromised

## FINANCE

Subject	Risk(s) identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
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Precept	Adequacy of Precept	M	Sound budgeting to support precept. The Parish Council receives budget update to prepare to set budget as Agenda item at January meeting.	Existing procedure adequate
Insurance	Adequacy Cost Compliance	L L L	An annual review is undertaken of all insurance arrangements in place. Public Liability & Fidelity Insurance are statutory requirements.	Existing procedure adequate. Review Financial Regs as necessary.
Financial Controls	Inadequate checks	L	Financial statement detailing bank accounts receipts and payments, balances are presented and approved at bi-monthly meetings. Two signatories are required on cheques, all invoices presented are also signed by two signatories. Clerk files all copies and maintains an electronic spreadsheet with details.	Existing procedures adequate
Freedom of Information Act	Policy Provision	L M	The Council has a model scheme for Local Councils in place.	Monitor and report any impacts made under this Act.
Clerk	Loss of Clerk	M	A contingency fund should be held, to enable training for replacement Clerk	Include in budget when setting precept
	Fraud	L	The requirements of Fidelity Guarantee insurance is deemed to be unnecessary. The risk is judged minimal	Renew annually. Insurance is judged disproportionate to the risk involved.
	Actions undertaken	L	Clerk should be provided with relevant training, reference books and access to assistance and legal advice	Membership of SALC should be maintained
Election Costs	Risk of election cost	M	Risk is higher in an election year. A contingency fund should be established to meet funds should a contested election occur.	Include in budget when setting precept
VAT	Re-claiming	L	The Council has Financial Regulations which set out the requirements.	Existing procedures adequate
Annual Return	Not submitted within time limits	L	Annual return is completed and signed by the Council and submitted to the Internal Auditor for signing, then to the External Auditor.	Existing procedures adequate

## ASSETS

Subject	Risk(s) identified	H/M/L	Management/Control of Risk	Review/Assess/Revis
Street furniture & play equipment	Damage to play equipment and notice boards, seats etc	L	An asset register is kept up to date and insurance is held at the appropriate level for all items. Regular checks are made on all equipment by members of the Council	Existing procedures adequate

## LIABILITY

Subject	Risk(s) identified	H/M/L	Management/Control of Risk	Review/Assess/Revis
Legal Powers	Illegal activity or payments	L	All activity and payments made within the powers of the Parish Council to be presented on the Financial Statement and agreed and minuted.	Existing procedures adequate
Minutes, Agendas, Statutory documents	Accuracy and legality	L	Minutes and Agendas are produced in prescribed manner and adhere to legal requirements. Minutes are approved and signed at the next meeting. Minutes and Agendas are made available and displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair.	Existing procedures adequate Members to adhere to Code of Conduct
Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessment of any individual event undertaken.	Existing procedures adequate
Legal Liability	Legality of activities	M	Clerk to clarify legal position on proposals and to seek advice necessary	Existing procedures adequate
	Proper document control	L	Retention of document policy in place	Existing procedures adequate

## COUNCILLORS PROBRIETY

Subject	Risk(s) identified	H/M/L	Management/Control of Risk	Review/Assess/Revis
Members Interest	Conflict of Interest	M	Councillors have a duty to declare any interests at the start of each meeting.	Existing procedures adequate
	Register of Members Interest	L		

			Register of Members Interest to be maintained and updated where necessary.	Members to take responsibility to update their register.
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