

WEOBLEY 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.

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 to 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	Risks identified	H/M/L	Management/Control of Risk	Review/ Assess/ Revise	Last Reviewed.
Business Continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	L	All files and recent records are kept at the clerk's home. All electronic records are Cloud hosted by MicroshadeVSM and can only be accessed via a Citrix login. In the event of the Clerk being indisposed the Chairman to contact HALC for advice	Review when necessary Ensure procedures below are undertaken	May 2018
Meeting location	Adequacy Health and Safety	L	Meetings are held in the Hopelands Village Hall. All the premises and facilities are considered to be adequate for the Clerk, Councillors and any public who attend from a health and safety and comfort aspect. The hall is DDA compliant.	Existing Procedure adequate	May 2018
Council Records	Loss through theft, fire, damage	L	Papers, both current and archived, are held in a filing cabinet at the clerk's home.	Provision is considered to be adequate.	May 2018
Council Records electronic	Loss through damage, fire, corruption of computer	M	The Parish Council's electronic records are stored on servers on the Tamar Science Park, Plymouth. Back-ups of the files are taken daily and monthly and kept in a secure location. Access is via a Citrix login.	Existing procedure adequate	May 2018

FINANCE

Precept	Adequacy of precept	M	An annual budget is developed by Council and adopted. Sound budgeting is part of the annual precept and budgeting process. The Parish Council receives regular budget updates and a detailed budget in the late autumn. The precept is an agenda item at the November/January meeting.	Existing procedure adequate	May 2018
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	Insurance is reviewed every three years of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement	Existing procedure adequate Review provision and compliance annually	May 2017
Banking	Inadequate checks	L	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts	Existing procedures adequate New Financial regulations to be adopted	May 2016
Cash	Loss through theft or dishonesty	L	The Council has no petty cash or float. Any cash transactions are made by the clerk, are fully receipted and then paid by cheque on receipt of an invoice	Existing procedures adequate	May 2018
Financial controls and records	Inadequate checks	L	Monthly reconciliations prepared by RFO and reviewed by the Parish Council. Two signatures on cheques and stubs. Internal and external audit. Any financial obligation must be resolved and clearly minuted before any commitment. All payments must be resolved and clearly minuted. Any s137 payment must be recorded at time of approval	Existing procedures adequate	May 2018
Freedom of Information Act	Policy Provision	L M	The Council has a model publication scheme for Local Councils in place. The clerk is aware that if a substantial request arrives then this may require many hours of additional work. The Council is able to request a fee if the work will take over 15 hours. However the request can be resubmitted, broken down into sections, thus negating the payment of a fee	Monitor and report any impacts made under Freedom of Information Act	May 2018
Election Costs	Risk of election cost	M	Risk is higher in an election year. There are no measures, which can be adopted to minimize the risk of having a contested election. A contingency fund has been established to meet the costs.	Include in financial statement when setting precept	May 2018
VAT	Re-claiming	L	The Council has financial regulations which set out the requirements	Existing procedures adequate	May 2018
Annual return	Not submitted within	L	Annual return is completed and signed by the Council, submitted to the	Existing procedures	May 2018

	time limits		Internal Auditor for completion and signing, then checked and sent on to the External Auditor within time limit	adequate	
ASSETS					
Listed in asset register	Accidental damage or vandalism	L	An asset register is kept up to date and insurance is held at the appropriate level. Regular checks should be made on equipment by members of the Parish Council	Existing procedures adequate	May 2018
LIABILITIES					
Legal Powers and legal liability	Illegal activity or payments	M	All activity and payments made within the powers of the Parish Council (not ultra vires) and to be resolved and clearly minuted. Clerk to clarify legal position on proposals and to seek advice if necessary Ensure they have clear terms of reference.	Existing procedures adequate	May 2018
	Working Parties taking decisions	L		Monitor	
Minutes/ Agendas/ Statutory Documents	Accuracy and legality Non compliance with statutory requirements Proper document control	L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed at next meeting. Minutes and agendas are displayed according to legal requirements Business conducted at Council meetings should be managed by the Chairman Standing Orders are updated and reviewed annually Document retention policy updated and based on NALC recommendations and implemented annually.	Existing procedures adequate	May 2018
Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessments of any individual events undertaken	Existing procedures adequate	May 2018
EMPLOYEES, CONTRACTORS AND VOLUNTEERS					
Clerk	Loss of clerk	M	A contingency fund should be established to enable training for the Cilca qualification in the event of the clerk resigning The requirements of Fidelity Guarantee insurance must be adhered to Clerk should be provided with relevant training, reference books, access to assistance and legal advice through membership of SLCC/HALC Clerk as RFO to make quarterly payments to HMRC and report at next meeting	Consider when setting next precept	May 2018
	Fraud	L			
	Actions undertaken	L		Monitor working Conditions	
	Clerk's Salary and PAYE	M		Existing procedures adequate	
Employer Liability	Non compliance with employment law	L	Undertake adequate training and seek advice from HALC. Review Clerk's contract annually	Existing procedures adequate.	May 2018
Contractors	Non-compliance with terms of contract	L	Review contracts annually	Existing procedures adequate	May 2018

Volunteers	Risk to volunteers undertaking work on behalf of the Parish Council	M	Ensure that volunteers are covered by the Parish Council's insurance policy. Risk assessments to be carried out for any new activity	Existing procedure adequate	May 2018
MEMBERS RESPONSIBILITIES					
Members Interests	Conflict of interest Register of members Interests	M L	Councillors have a duty to declare any interest at the start of the meeting Register of Members Interests form to be reviewed at least on an annual basis	Existing procedures adequate	May 2018