

## WOORE 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.

*Audit Commission – Worth the Risk: Improving Risk Management in Local Government (2001:5)*

This document has been produced to enable the 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 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	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
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. In the event of the clerk being indisposed, Chairman to contact Clerks family for records and ALC for advice.	Review when necessary.  Ensure procedures below are undertaken.
Meeting location	Adequacy Health and Safety	L-H	Meetings are held at the Village Hall. The Clerk will open the hall. All premises and facilities are considered to be adequate for the Clerk, Councillors and any Public who attend from a health & safety and comfort aspect.	Existing procedure Adequate however these should be reviewed in line with Government directives regarding pandemics and contagion control
Council Records	Loss through theft, fire, damage	M	Current papers are held in a metal cabinet and plastic storage boxes at the Clerk's home and in a personal storage facility belonging to the Clerk. Some archive material is held in a bank storage box.	Damage or theft is unlikely and so provision adequate.
Council Records electronic	Loss through damage, fire, corruption	H	Parish Council's electronic records are stored on the clerk's computer.	Files should be backed- up monthly on a hard drive and/or memory

	of computer			stick and also cloud storage accessible by the Clerk, Chairman and Vice Chairman at all times. Review underway to address by March 2022.
<b>FINANCE</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M /L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
Precept	Adequacy of precept	L	Sound budgeting to underlie annual precept. The Parish Council receives bank reconciliations/cash book reports at each mtg and a detailed budget in Dec when the precept is an agenda item. Check minutes and records	Existing procedure Adequate
	Request not submitted	L	Clerk check bank statements	Calendar schedule
	Not paid by SC	L		Clerk verify
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L L	An annual review is undertaken of all insurance arrangements. Employers Liability, Public Liability and Fidelity Guarantee are statutory requirements.	Existing procedure adequate Review provision and compliance annually
Banking	Inadequate checks	L	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts.	Existing procedures Adequate. Review Financial Regulations annually.
Cash	Loss through theft or dishonesty	L	The Council has no petty cash or float. Any cash transactions made by the clerk, are fully receipted and reimbursed monthly or paid by cheque on receipt of an invoice	Existing procedures adequate
Financial controls and records	Inadequate checks	L	Reconciliations prepared by RFO for each meeting and checked by a Councillor. Two signatories on cheques. 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 payments must be recorded at time of approval.	Existing procedures adequate
Freedom of Information Act	Policy Provision	M  M	The Council has a privacy policy for Local Councils in place. The clerk is aware that if a substantial request arrives then this may require many hours of additional work.	Monitor and report any impacts made under Freedom of Information Act.  Full review of GDPR policy underway for

			The Council can 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.	implementation deadline of March 2022.
Clerk	Loss of clerk  Fraud  Actions undertaken  Salary/tax paid incorrectly	M  L  L  L	Sufficient funds should be maintained for recruiting and training a new clerk. 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.  Salary payments checked and minuted at Council meetings. Council registered for PAYE.	Funds available in unallocated reserves or training budget  Membership of SLCC maintained. Monitor performance and meet requests for training and literature. Existing procedures adequate.
Election costs	Risk of election cost	M	Risk is higher in election year. There are no measures which can be adopted to minimise risk of having a contested election. A contingency fund should be established to meet the costs.	Council has allocated reserves, included in budget/precept figures.
Grants and support	Power to Pay Agreement of Council to pay Conditions Agreed Cheque and Voucher Follow verification	M L  L M M	Minute reference Minute  Use reasonable conditions Signatory initials, stub & Voucher Clerk to check & consider budget	Clerk to verify Clerk to verify  Clerk to verify Clerk to verify Clerk to verify
VAT	Re-claiming	L	The Council has financial regulations which set out the requirements.	Existing procedures adequate
Irrecoverable	Not submitted Not paid by HMRC VAT analysis  Charged on purchases	L L M  L	Check by Clerk/Audit Check by Clerk/Audit All items in computerised payment record Consider all items as above	Accounts record Accounts record Clerk/Audit  Clerk/Audit
Reserves (General)	Adequacy	L	Consider at Budget setting	Clerk's opinion/Members decision
Reserves (Earmarked)	Adequacy  Earmarked or contingency liability	L  L	Consider at Budget setting & final accounts Review Minutes	Clerk's opinion Clerk & Chair to view
Annual return	Not submitted within time limits	L	Annual return is completed and signed by the Council, submitted to the internal auditor for completion and signing, then checked and sent on to the external auditor within	Existing procedures adequate

			time limit.	
ASSETS				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Street furniture and playground equipment	Loss/damage to play equipment, benches, street lights etc.	M	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 play equipment, other items checked by Councillors.	Existing procedures adequate.
	Valued wrongly	L	Value of assets checked annually	
LIABILITY				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Legal Powers	Illegal activity or payments	L	All activity and payments made within the powers of the Parish Council to be resolved and clearly minuted.	Existing procedures adequate.
	Working parties taking decisions	L	Ensure established with clear terms of reference	Monitor on a monthly basis.
Minutes/agendas Statutory documents	Accuracy and legality	L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements.	Existing procedures adequate.
	Non-compliance with Statutory requirements	L	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	Ensure adequate training has been undertaken.  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.
Employer Liability	Non-compliance with employment law	L	Undertake adequate training, can seek advice from SALC	Existing procedures adequate.
Legal liability	Legality of activities	M	Clerk to clarify legal position on proposals and to seek advice if necessary.	Existing procedures adequate.
	Proper and timely reporting via minutes.	L	Council always receives and approves minutes at next meeting.	Existing procedures adequate.
	Proper document control	L	Clerk responsible for retention of documents according to policy and law.	Existing procedures adequate.

<b>COUNCILLORS PROPERTY</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
Members interests	Conflict of interest	M	Councillors have a duty to declare any interest at the start of the meeting.	Existing procedures adequate.
	Register of members interests	L	Register of members interest form should be reviewed on an annual basis.	Members to take responsibility to update their register.

**This Risk assessment was considered and adopted by Woore Parish Council on:**

**21<sup>st</sup> September 2021**

The risk assessment will be formally reviewed on an annual basis in May of each year.

Policy Reviewed: May 2021  
Policy Reviewed: May 2022  
Policy Reviewed: May 2023  
Policy Reviewed: May 2024

By: Full Council  
By: Full Council  
By: Full Council  
By: Full Council

Minute Item: 21015  
Minute Item: 22013  
Minute Item: 23015  
Minute Item: 24012

# WOORE PARISH COUNCIL

## RISK ASSESSMENT SCHEDULE

ITEM	FREQUENCY	LAST REVIEWED	COMMENTS/ACTION
<b>Parish Council Insurance</b> <b>Including:</b> Public and Employers Liability Money and Fidelity Guarantee Personal Accident	Annually		
<b>Assets Inspection</b>	Annually		
<b>Financial Matters</b> Banking Arrangements Insurance providers VAT return completed Budget agreed, monitored & reported Precept requested  Payments approval procedure Bank reconciliation & records checked by Councillor Clerk's salary reviewed and documented Internal audit External audit Internal check of Financial procedures	Annually Annually Annually Quarterly Annually  Monthly Each Meeting  Annually  Annually Annually Annually		
<b>Administration</b> Minutes properly numbered Asset register available/updated Financial regulations reviewed Standing Orders reviewed Risk assessment reviewed Back up of computer records	Ongoing Ongoing Annually Annually Annually Ongoing/ Monthly		
<b>Employers Responsibilities</b> Contract of employment in place Contractors' indemnity insurance Written arrangements with contractors	Annually Annually Ongoing		
<b>Member's responsibilities</b> Code of Conduct adopted Register of interests completed and updated Register of gifts/Hospitality Declaration of Interests minuted	Ongoing Ongoing  Ongoing Ongoing		

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