

**SOUTH MORETON 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. The clerk makes a monthly back up of files. In the event of the clerk being indisposed the Chairman to contact the Oxfordshire Association of Local Councils for advice.	Review when necessary Ensure procedures below are undertaken
Meeting location	Adequacy Health and Safety	L	Meetings are mostly held in the school hall of South Moreton School. 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.	Existing procedure adequate
Council Records	Loss through theft, fire, damage	L	Current papers will be held in a metal cabinet at the clerk's home. Archived material is held in the County Record Office.	Damage or theft is unlikely and so provision adequate.
Council Records electronic	Loss through damage, fire, corruption of computer	H	The Parish Council's electronic records are stored on the clerk's computer.	The Clerk needs to purchase an external hard drive and back up records on a regular basis.

FINANCE

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept. The precept is an agenda item at the December meeting.	Quarterly budget updates are needed to ensure budgeting is adequate.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken 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
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 as necessary
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 reimbursed monthly or paid by cheque on receipt of an invoice	Existing procedures adequate
Financial controls and records	Inadequate checks	M	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	Regular reconciliations are required. Cllrs should also sign invoices in conjunction with cheque signing.
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
Clerk	Loss of clerk Fraud Actions undertaken Salary paid incorrectly	M L L L	A contingency fund should be established to enable training 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. Checked as part of Internal Audit	Existing procedures adequate – training budget allowed for in Precept Calculations Membership of SLCC maintained Monitor working conditions
Election Costs	Risk of election cost	M	Risk is highest in an election year. There are no measures, which can be adopted to minimise risk of having a contested election. A	Include in financial statement when setting precept

			contingency fund should be established to meet the costs.	
VAT	Re-claiming/charging	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, submitted to the Internal Auditor for completion and signing, then checked and sent on to the External Auditor within time limit	Existing procedures adequate
ASSETS				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Street furniture and playground equipment	Damage to play equipment and benches 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.	Existing procedures adequate
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 (not ultra vires) and to be resolved and clearly minuted.	Existing procedures adequate
Minutes/ Agendas/ Statutory documents	Accuracy and legality Non compliance with statutory requirements	L 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	Existing procedures adequate Undertake adequate training 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 and seek advice from Oxfordshire Association of Local Councils.	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 monthly meetings	Existing procedures adequate
	Proper document control	L	Retention of document policy in place	Existing procedures adequate
COUNCILLORS PROPRIETY				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
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	L		

	Interests		Register of Members Interests form to be reviewed at least on an annual basis	Members to take responsibility to update their register
GENERAL MAINTENANCE				
Grass cutting/ hedge cutting/ tree maintenance	Maintenance kept up to date.	M	Regular inspections needed	Review

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ITEM	FREQUENCY	COMMENTS/ACTIONS
Parish Council Insurance Including Public and Employers Liability Money and Fidelity Guarantee Personal Accident	Annually	All processes adequate
Assets inspection	Annually	Adequate
Financial Matters Banking Arrangements Insurance Providers VAT return completed Budget agreed, monitored and reported Precept requested: Payments approval procedure Bank reconciliation Clerk's salary reviewed and documented Internal audit External audit Internal check of financial procedures	Annually Annually Annually Monthly Annually Monthly Ongoing Annually Annually Annually Annually	Processes need updating and formalising.
Administration Minutes properly numbered Asset register available/updated Financial Regulations reviewed Standing orders reviewed Backups taken of computer records	Ongoing Ongoing Annually Annually Required	Adequate Adequate Review required Ongoing External hard drive required
Employers Responsibilities Contract of employment in place Contractors Indemnity Insurance Written arrangements with contractors	Ongoing Ongoing Ongoing	Needed
Members' responsibilities Code of Conduct adopted Register of Interests completed and updated Register of Gifts/Hospitality Declarations of Interests minuted	Ongoing Ongoing Ongoing Ongoing	All processes adequate

The information given above was agreed at the meeting and will be agreed annually as being a correct record.

Signed
Chairman Lyn Deeley

Dated 8th May 2019

Clerk Lucy Dalby

Dated 8th May 2019