

SUTTERTON 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	L/M/H	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 and uploaded to OneDrive. The Clerk makes a monthly back up of files. In the event of the Clerk being indisposed the Chairperson to contact LALC for advice.	Review when necessary Ensure procedures below are undertaken
Meeting location	Adequacy Health and Safety	L	Meetings are held in the 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 Village Hall is Covid secure and tables and chairs are wiped before and after use. Meetings can also conducted through the Zoom platform for residents and councillors who prefer not to meet face to face during a lockdown.	Existing procedure adequate
Council Records	Loss through theft, fire, damage	L	Papers, both current and archived will be held in a locked cabinet at the Clerk's home.	Damage or theft is unlikely and so provision adequate.
Council Records electronic	Loss through damage, fire, corruption of computer	M	The Parish Council's electronic records are stored on the Clerk's computer. Back-ups of the files are taken at monthly	Existing procedure adequate.

			intervals on an external hard drive, which is kept in a locked cabinet. All files are automatically uploaded to OneDrive	
FINANCE				
Subject	Risk(s) Identified	L/M/H	Management/Control of Risk	Review/Assess/Revise
Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept. The Parish Council receives monthly budget update information and detailed budgets in the late autumn. The precept is an agenda item at the November meeting.	Existing procedure adequate
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L	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
		L		
		L		
		M		
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	L	Monthly reconciliation prepared by RFO and checked by the Chair of the Parish Council. Two signatories on cheques and a policy is in place for electronic payments. 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	L	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	Monitor and report any impacts made under Freedom of Information Act
		M		

			negating the payment of a fee	
Clerk	Clerk/RFO is long-term sick	M	Asking nearby Council to assist on temporary reciprocal basis or bringing in locum from LALC/SLCC.	Include in financial statement when setting precept Membership of SLCC maintained Monitor working conditions Monitor payroll function on a regular basis and review every six months
	Loss of Clerk/RFO	M	A contingency fund should be established to enable training for the Cilca qualification in the event of the Clerk resigning	
	Fraud	L	The requirements of Fidelity Guarantee insurance must be adhered to	
	Actions undertaken	L	Clerk should be provided with relevant training, reference books, access to assistance and legal advice	
	Salary paid incorrectly	L	The Clerk has been appointed to undertake payment of Clerk's monthly salary. A councillor will undertake regular audit checks	
Election Costs	Risk of election cost	M	Risk is higher in an 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.	Include in financial statement when setting precept
VAT	Re-claiming/charging	L	The Council has financial regulations which set out the requirements	Existing procedures adequate
Transparency Code	Not uploaded to the website within time limits	L	Ensure the annual requirements of the Code are uploaded to the website by 1 July each year immediately following the accounting year to which it relates. This will be reported to the Parish Council at the July meeting.	New procedures have been put in place from 2015
ASSETS				
Subject	Risk(s) Identified	L/M/H	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 by members of the Parish Council	Existing procedures adequate
LIABILITY				
Subject	Risk(s) Identified	L/M/H	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
		L		

	Working Parties taking decisions		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 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 Chairperson	Existing procedures adequate Undertake adequate training Members to adhere to Code of Conduct
	Non compliance with statutory requirements	L		
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 IWALC	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	L/M/H	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 Interests	L	Register of Members Interests form to be reviewed at least on an annual basis	Members to take responsibility to update their register

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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 overseen by Chairperson Clerk's salary reviewed and documented Internal audit Transparency Code Internal check of financial procedures	Annually Annually Annually Monthly Annually Monthly Ongoing Annually Annually Annually Annually	All processes adequate
Administration Minutes properly numbered Asset register available/updated Financial Regulations reviewed Standing orders reviewed Backups taken of computer records	Ongoing Ongoing Annually Annually Ongoing	All processes adequate
Employers Responsibilities Contract of employment in place Contractors Indemnity Insurance Written arrangements with contractors	Annually Ongoing Ongoing	All processes adequate
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 April 2024 meeting and will be agreed annually as being a correct record.

Signed.....
Chairperson

Dated.....

Clerk.....

Dated.....