ORLETON PARISH COUNCIL

RISK ASSESMENT SCHEDULE

ADOPTED: 20th July 2023
REVIEWED: 9TH May 2024
NEXT REVIEW: July 2025

Definition of Risk Management

Risk is the threat that an event or action will adversely affect the Parish Council'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 Parish 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

The following are the identified areas of risk. There is a separate Risk Management policy to be referred to as appropriate.

Management					
Subject	**Risks identified**	**H/M/L**	**Management/Control of Risk**	**Review/Assess/ Revise**	**Last Review**
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 regular back-ups of files to cloud storage. In the event of the clerk being indisposed the Chairman to contact HALC for advice	Review when necessary. Ensure procedures below are undertaken	May 2024
Meeting Location	Adequacy Health and Safety	L	Meetings are held in Orleton Village Hall. Alternative venues are available, if necessary. The Caretakers hold the keys to access to the building. The premises and facilities are considered to be adequate for the Councillors, members of the public and the Clerk who attend from a health and safety and comfort aspect.	Existing Procedure adequate	May 2024
Council Records	Loss through theft, fire, damage	L	Papers, both current and archived, are held at the clerk's home or at HARC. Active records are mostly held electronically also.	Provision is considered to be adequate.	May 2024
Council Records electronic	Loss through damage, fire, corruption of computer	M	The Parish Council's electronic records are stored on the parish computer and backed up to cloud storage. Council's laptop to be serviced annually by appointed contractor. See Business Continuity above.	Existing procedure adequate	May 2024
Finance					
Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept. The Parish Council receives monthly balance and quarterly budget update information and detailed budgets in the late autumn. The precept is an agenda item at the November meeting.	Existing procedure adequate	May 2024
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. Additional reviews are undertaken when circumstances change or new projects are being developed.	Existing procedure adequate Review provision and compliance annually	May 2024

Banking	Inadequate checks and weak controls	L	The Council has Financial Regulations which set out the requirements for banking, BACS payments, cheques and reconciliation of accounts. Regular reviews of bank signatories and level of access are undertaken.	Existing procedures adequate Review Financial Regulations as necessary	May 2024
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 then reimbursed monthly on receipt of an invoice.	Existing procedures adequate	May 2024
Financial controls and records	Inadequate checks	L	Monthly reconciliation prepared by RFO and quarterly verification by appointed Member in line with Financial Regulations. Two signatories on cheques and triple verification on BACS. Internal and external audit (when appropriate). Any financial obligation must be resolved and clearly minuted before any commitment. All payments must be approved and clearly minuted.	Existing procedures adequate	May 2024
Freedom of Information Act & GDPR	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. Regular review of records held in line with statutory requirements and periods.	Monitor and report any impacts made under Freedom of Information Act & GDPR	May 2024
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	May 2024
VAT	Re-claiming	L	HMRC has a standard form and procedures for re-claiming VAT.	Existing procedures adequate	May 2024
Annual return	Not submitted within time limits	L	The Clerk & RFO is responsible to ensure the accounts are submitted to the internal auditor, that the Annual return is completed and signed by the Council, then sent on to the External Auditor within time limit – if appropriate.	Existing procedures adequate	May 2024
Assets					
Street Furniture and other items	Damage to benches, signs etc	L	An asset register is kept up to date and insurance is held at the appropriate level. Regular checks should be made on all equipment by members of the Parish Council. Adequate insurance in place.	Existing procedures adequate	May 2024
Speed Indicator Devices	Fault or hardware failure. Extreme weather or traffic collision risk. Personal injury (installation/data collection times)	M M M	Contractor appointed for moving and installing the devices has appropriate qualifications and insurance in place. Equipment and fixings checked on each deployment. All appropriate licenses and permissions in place. Required Highway Safety followed. Public liability insurance in place. Asset insurance in place. Traffic awareness. Hi-vis tabards worn. Warning triangle should be purchased to increase safety measures.	Existing procedures adequate	May 2024
Liabilities					
Legal Powers and legal liability	Illegal activity or payments Working Parties taking decisions	M L	All activity and payments made within the powers of the Parish Council (not ultra vires) are 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 Monitor	May 2024
Minutes/ Agendas/ Statutory	Accuracy and legality Non compliance with	L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and	Existing procedures adequate	May 2024

Documents	statutory requirements		signed at next meeting. Minutes and agendas are displayed according to legal requirements Business conducted at Council meetings is managed by the Chairman. Standing Orders are reviewed annually		
Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessment of any individual event undertaken	Existing procedures adequate	May 2024
Employees, Contractors & Volunteers					
Clerk	Loss of clerk	M	A contingency fund should be established to enable training and induction in the event of the clerk resigning.	Consider when setting next precept	May 2024
	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 through membership of SLCC/HALC	Monitor working conditions	
	Clerk's Salary and PAYE	M	Clerk as RFO to make quarterly payments to HMRC as instructed by payroll company, and report at next meeting	Existing procedures adequate	
	Health & safety	M	Accident whilst on PC business – home (Council offices) or elsewhere. Health & safety procedures followed, adequate insurance cover in place.	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 2024
Contractors	Non-compliance with terms of contract	L	Review contracts annually	Existing procedures adequate	May 2024
Volunteers	Personal injury	L	Personal injury cover in place	Existing procedures adequate	May 2024
Member's Responsibilities					
Members Interests	Conflict of interest	M	Councillors have a duty to declare any interest at the start of the meeting	Need to consider new regulations with reference to Standards and Register of Interests.	May 2024
	Register of members Interests	L	Register of Members Interests form to be reviewed at least on an annual basis.		