

**WOOTTON PARISH COUNCIL
RISK ASSESSMENT SCHEDULE 2023**

Definition of Risk Management is the threat that an event will adversely affect an organisations ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled.

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 focused approach to managing risk which:

- Identifies the subject
- Identifies what the risk may be
- Identifies the level of risk (High, Medium, Low)
- 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
Business Continuity	Parish Council not being able to continue its business due to an unexpected circumstance	L	All files and recent records are kept at Clerk's home. The Clerk makes a monthly backup of electronic files. In the event to the Clerk being indisposed the Chairman to acquire backup.	New procedures in place. Review as necessary Ensure procedures are undertaken
Meeting Location	Adequacy Health & Safety	L	Meetings are held in Burditch Hall or Village Hall. The Councillor unlocks the building and locks the door when leaving. All the premises are considered adequate for the Clerk, Councillors and Public to attend meetings for a Health & Safety aspect.	Existing procedure adequate
Council Records (Paper)	Loss through theft, fire or damage	L	Current papers are held securely at the Clerk's home.	Damage or theft is unlikely. Filing system introduced. Review as necessary

Council Records (Electronic)	Loss through damage, fire or corruption of computer	M	The Parish Councils electronic records are stored on the Parish Council computer. Backup of the files is taken on a monthly basis and stored on an external hard drive which is kept by the Chairman.	Procedure has been introduced – external hard drive exchanged at meeting
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FINANCE

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review
Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept. The Parish Council receives financial update information every 3 months and a detailed budget in November. The precept is an agenda item at the November meeting.	Budget review to start in September of each year to enable Precept to be set in December
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken of all insurance arrangements. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement	Review provision and compliance annually
Banking	Inadequate checks	L	The Parish Council has financial procedures in place which set out the requirements for banking, online payments, and reconciliation of accounts. Payments are brought to the meeting and then authorised by two Councillors.	Banking arrangements with Unity Bank adequate
Financial Controls and Records	Inadequate checks	L	Cheque list presented to the Parish Council by the Clerk at each meeting for approval. Two signatories on cheques. Internal and external audit. Financial expenditure must be resolved and minuted before commitment.	Existing procedures adequate
Freedom of Information Act	Provision of Policy	L	The Council will have the model publication scheme for Local Councils in	Review May 2023 new procedures to be put in place.

			place. This will be published on the village website and charges clearly stated.	
CLERK	Fraud	L	Fidelity Guarantee to £2000 provided loss is discovered with 36 months. Internal Audit to be carried out annually any discrepancies to be brought to the attention of the Parish Council.	
	Actions undertaken	L	Clerk should be provided with reference books, training and access to assistance and legal advice	Clerk's Manual to be purchased or shared with other councils
	Clerk paid incorrectly	L	The Clerk invoices the Parish Council monthly for the set hours agreed annually and expenses incurred through the month.	
Election Costs	Risk of Election Costs	M	Risk is higher in an election year. There are no measures that can be adopted to minimise the risk of having a contested election. Sufficient reserves should be held to meet the cost.	Include in financial statement when setting precept for election year
VAT	Reclaiming	L	Clerk is responsible for reclaiming VAT in the following financial year.	
Annual Return	Not submitted within the time limit	L	Annual return is completed and signed by the Parish Council after being submitted to the Internal Auditor for completion and signing, then checked by RFO and if Exemption certificate is applicable posted on to website within the time limit set by the Audit Commission.	
ASSETS				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review
Street Furniture	Damage/theft	L	An asset register is kept up to date and insurance is held at the appropriate level	Existing procedures adequate

			for all items. Insurance is reviewed annually in May.	
Playground Equipment	Damage	L	Playground checked by Playground Committee at regular intervals	
Village Well	Damage	M	Vulnerable to traffic damage	Refurbished to withstand impact
Grounds Equipment	Damage/theft	L	All items kept in securely. Inspections are undertaken to all equipment and records kept.	Existing procedures adequate
Defibrillator	Damage//Theft	L	Installed in Church porch. Batteries & Pads checked at regular intervals. Registered with The Circuit	Clerk to check before monthly meeting
LIABILITY				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review
Legal Powers	Illegal activity or payments	L	All activity and payments to be made within the powers of the Parish Council and to be resolved and clearly minuted.	Monitor on a regular 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 the next meeting. Minutes and agendas are displayed according to legal requirements. Business conducted at Parish Council meetings should be managed by the Chairman or in their absence Vice Chairman.	Clerk has access to 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.	Existing procedures adequate
Employer Liability	Non compliance with employment law	L	Insurance is in place.	Existing procedures adequate
Legal Liability	Legality of activities	M	Clerk to clarify legal position on proposals and to seek advice if necessary. Parish Council always receives and approves Minutes at meetings.	Existing procedures adequate
	Proper and timely reporting via Minutes	L		

	Proper document control	L	Documentation kept under control of Clerk	
COUNCILORS' PROPRIETY				
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 Pecuniary Interests	L	Register of Members Pecuniary Interests to be held by Clerk and updated as required	Members to take responsibility to update and keep up to date with changes – this may be prompted by the Clerk

**WOOTTON PARISH COUNCIL
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ITEM	FREQUENCY	LAST REVIEWED	COMMENTS/ACTIONS
Parish Council Insurance including: <ul style="list-style-type: none"> • Public and Employers Liability • Money and Fidelity Guarantee • Personal Accident 	Annually	May 2023	
Assets Inspection	Annually	May 2023	
Financial Matters <ul style="list-style-type: none"> • Banking Arrangements • Insurance Providers 	As required Annually	May 2023 May 2023	3 signatories plus Clerk

<ul style="list-style-type: none"> • VAT return completed • Budget agreed, monitored and reported • Precept requested • Payments approval procedure • Full updated annual accounts/bank statements presented & approved by Parish Council • Clerks salary reviewed and documented • Internal Audit • External Audit • Internal check of financial procedures 	<p>Annually 3 monthly</p> <p>Annually</p> <p>As required</p> <p>Annually</p> <p>Annually</p> <p>Annually</p> <p>As budget requires</p>	<p>As required December 2022</p> <p>December 2022</p> <p>June 2023</p> <p>October 2022</p> <p>May 2023</p> <p>October 2022</p>	
ITEM	FREQUENCY	LAST REVIEWED	COMMENTS/ACTIONS
<p>Administration</p> <ul style="list-style-type: none"> • Minutes properly numbered • Asset register available/updated • Financial Regulations reviewed 	<p>Ongoing Ongoing</p> <p>Annually</p> <p>Annually</p>	<p>May 2023</p> <p>May 2023</p> <p>May 2023</p>	

<ul style="list-style-type: none"> • Backups taken of computer records 		Monthly hard disk backup copy given to Chairman at the meeting	
Employers Responsibilities <ul style="list-style-type: none"> • Contract of employment in place • Pension Requirements 	Ongoing Ongoing	January 2023 Clerk paid below threshold	
Members Responsibilities <ul style="list-style-type: none"> • Code of Conduct adopted • Register of Pecuniary Interests completed and updated • Register of gifts/hospitality • Declarations of Pecuniary interest minuted 	Ongoing Ongoing Ongoing Ongoing	October 2022 October 2022 As required	

The Information given above was agreed at the 25 May 2023 meeting and will be agreed annually at a Meeting of Wootton Parish Council as being a correct record.

Signed:

Chairman



Dated 15 May 2023.

Clerk



Dated 02-6-23