

Subject	Risk(s) Identified	Risk Level H/M/L	Management/Control of Risk	Review/Action Required
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Plasterdown Grouped Parish Parish Council – Risk Assessment Management Scheme

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.

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 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 focused 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 finding
- Reviews, assesses, and revises procedures if required.

Signed by the Chair of the Council

Date of Last Review	20 th March 2024
Date of next Review	March 2025

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Management				
Business continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	L	Loss of Clerk or Loss of Council papers / electronic records. A business continuity plan holding simple key information to be put in place and held by the Clerk and the Chair	Appropriate back-up arrangements in place. Review plan when necessary.
Council's Records,	Loss through theft, fire, damage	L	Papers, both current and archived will be held in the Clerk's home	Damage or theft is unlikely and so provision adequate.

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Council's Electronic Records	Loss through damage	M	The Parish Council's electronic records are stored on the memory stick. Back-ups of electronic data are made at regular intervals	Annual Review
Meeting location	Adequacy Health & Safety	L	Meetings are held either at the Whitchurch Village Hall or Sampford Spiney Church. The premises and facilities are considered to be adequate for those who attend from both a Health and Safety, DDA and comfort perspective.	Existing locations adequate
Assets				
Assets Including Fences, Boundary stones and bus shelter	Loss or Damage	L	All assets are insured and reviewed annually. The asset register is reviewed through the annual audit process.	Existing procedure adequate. Ensure timely inspections carried out.
Trees	Fallen trees, branches	M	If the trees are maintained correctly, then the policy will provide cover for these trees under the Public Liability cover. Annual Visual Tree Assessments undertaken by qualified contractor and recommendations actioned Regular inspections introduced including those following extreme weather conditions.	Ensure annual review is carried out.

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Noticeboards	Risk/damage to third parties		The Council have two noticeboards. All locations have insurance cover and are inspected regularly by the Clerk who commissions any essential repairs/maintenance	Existing procedure adequate
FINANCE				
Precept	Overspend of operational budget and/or inaccurate setting of Precept level realising demand on Reserves.	M	Budget and Precept considered by Finance Committee & Council each year. Sound budgetary control. Expenditure against budget considered quarterly by the Finance Committee.	Maintain existing procedures
Insurance	Inadequate cover or over insurance increasing costs unnecessarily.	L	Annual review of insurance. Annual review of asset values.	Maintain existing procedures. Asset Register to be reviewed annually.
Freedom of Information Act	Policy Provision	M	The Council has a model publication scheme in place.	Monitor and report any impacts made under Freedom of Information Act

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Banking	Bank errors and/or inadequate checks leading to financial irregularities.	L	The Parish Council has Financial Regulations which set out the requirements for banking, the making of payments and internal audit.	Maintain existing procedures. Annual review of Financial Regulations.
Payments	Loss through theft, dishonesty, human error	L	Quarterly bank reconciliation prepared by the Clerk and presented to the Finance Committee for approval. The Clerk prepares Accounts of Payments, for approval at meetings.	Existing procedures Adequate. Annual review of Financial Regulations.
Cheque Books	Loss of cheques. Fraudulent use	L	Cheque books kept in safe place. No blank cheques signed.	Maintain existing procedures
Financial controls and records	Inadequate records leading to financial irregularities.	L	Quarterly reconciliations prepared by the Clerk and checked by a member who is not a bank signatory at quarterly Finance meeting. 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.	Maintain existing procedures

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			Internal audit presented to the Council.	
Computer records.	Loss of data through system error or theft.	L	Back up monthly. Computer's password protected.	Annual review of software security.
Budget	Inadequate budget preparation leading to inability to fulfil obligations	L	Budget considered by Finance Sub-Committee and Full Council. Virements made where necessary.	Review of budget during course of financial year
VAT	Errors in calculation. Payments not made to HMRC.	L	Comply with HMRC regulations. Annual returns to be made. Checked during Internal audit.	Maintain existing procedures. Reviewed annually.
Annual Governance and Accountability Return (AGAR)	Not submitted within the timescale	L	Clerk prepares timetable for submissions. Annual Internal Audit to be done. AGAR completed and signed by the Clerk and Council within time limit.	Maintain existing procedures.

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Payments	Invoices incorrect. Invoices unpaid.	L	All invoices recorded and filed on receipt. Invoices checked for accuracy and for receipt of goods and services. List of payments presented at Finance Sub-Committee and/or Council meetings.	Maintain existing procedures
Receipts	Services provided by Council but not paid for	L	List maintained of regular invoices. Early hastening action taken if required.	Maintain existing procedures
Donations	Undue influence from interested parties.	L	All requests to be considered by the Council in accordance with Grant policy.	Maintain existing procedures
Salaries	Incorrect payments to staff (rates, NI, tax)	L	All correspondence filed. Internal audit.	Maintain existing procedures
NI Contributions	Payments not made to HMRC	L	Invoices checked. Internal audit.	Maintain existing procedures
Election Costs	Inability to meet costs	L	Provision made in budget annually	Maintain existing procedures
Annual Return	Inability to conduct year end close on time/not submitted on time	M	Book internal audit early	Maintain existing procedures
Liability				

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Public Liability	Risks to third party, property, or individuals	M	Public & Products liability insurance in place (limit of indemnity £10m). Insurance cover to be reviewed annually. Risk assessments of individual events.	Existing procedures adequate
Legal powers and legal liability Illegal activity	illegal activity or payments	M	All activity and payments made within the powers of the Parish Council are to be resolved and clearly minuted. Clerk to clarify legal position on proposals and to seek advice if necessary	Existing procedures adequate.
Minutes/ Agendas/ Statutory Documents	Accuracy and legality Non-compliance with statutory requirements. Proper document control	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 Chair. Standing Orders to be reviewed annually. Data Retention and records management policy schedule has been adopted.	Existing procedures adequate.
Employees				

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Staff	Compliance with Employment Law. The Employers' Liability (Compulsory Insurance) Regulations 1998 states that Employer Liability insurance is required by law if you have employees with a contract of employment.	M	Employer Liability insurance in place (limit of indemnity £10m)	Insurance cover to be reviewed annually
Legal	Council may contravene laws.	M	Clerk to verify legal position for any new proposal	Legal advice to be sought where required
Administration				
Councillor propriety	Failure to declare interests	L	Regular reminder to members	Maintain existing procedures
Councillor/staff propriety	Breach of confidentiality	L	Regular reminder to members/staff	Maintain existing procedures
Council Reputation				
Councillors and Staff	Bringing the Council into disrepute	M	Councillors understand and receive training on the Code of Conduct. A professional approach is undertaken on all Parish Council matters.	Members to identify any training needs.