

**WOOTTON BRIDGE 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:

- Identify the key risks facing the council
- Evaluate the potential to the council of one of these risks taking place and;
- Agree measures to avoid reduce or control the risk or its consequence
- Review, assess and revise as 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 circumstances.	L	All files and recent records are kept in the Council Office. Files are backed up in the cloud. In the event of the clerk being indisposed the Chair to contact the IW Clerks Society for advice and speak to assistant clerk	Review when necessary Ensure procedures below are undertaken
Meeting location	Adequacy Health and Safety	L	Meetings are held at The Old School. 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 and all risk assessments checked.	Existing procedure adequate
Council Records	Loss through theft, fire, damage	L	Documents are held in the Parish Council Office and are kept in a locked cabinet. All other data is stored in compliance with the Data Protection Act.	Damage or theft is unlikely and so provision adequate.

			Copies of insurance documents, records etc. are kept in the grey filing cabinet and stored in the Parish Council Office	
Council Records electronic	Loss through damage, fire, corruption of computer	M	The Parish Council's electronic records are stored on the clerk's computer and backed up to the cloud	Existing procedure adequate

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 Parish Council receives monthly budget update information and detailed budgets in the late autumn. The precept is an agenda item at the December and January meeting.	Existing procedure 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	H	Receipts required for spending of petty cash. Accounts regularly checked. Fidelity Insurance required.	Existing procedures adequate

Financial controls and records	Inadequate checks	L	<p>Monthly reconciliation prepared by RFO. Two signatories and the Clerk on cheques. Internal and external audit. Electronic transfers are only carried out by the Clerk and checked against the bank statements by the Assistant Clerk</p> <p>Any financial obligation must be resolved and clearly minuted before any commitment. All payments must be resolved and clearly minuted.</p> <p>Any s137 payments must be recorded at time of approval</p>	Existing procedures adequate
Freedom of Information Act	Policy Provision	L M	The Council has a model publication scheme for the Parish Council 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	M L	<p>A contingency fund should be established to enable training for the CiLCA qualification in the event of the clerk resigning</p> <p>The requirements of Fidelity Guarantee insurance must be adhered to</p>	Include in financial statement when setting precept

	Actions undertaken Salary paid incorrectly	L L	<p>Clerk should be provided with relevant training, reference books, access to assistance and legal advice</p> <p>The clerk undertakes payment of clerk and staff monthly salary</p>	<p>Membership of SLCC maintained</p> <p>Monitor working conditions</p> <p>Monitor provision every 6 months</p>
Payroll	Underpayment to HMRC	L	Receipt of monies paid to HMRC is provided following collection of funds from Parish Council	Monitor provision every 6 months

Election Costs	Risk of election cost	M	Risk higher in election year. When due Clerk will obtain costs from IWC for full and uncontested election. A contingency fund for election will be in the annual budget to meet costs	Existing procedures adequate
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 submitted to the Internal Auditor for completion and signing, then checked and signed by the Council, and then sent on to the External Auditor within time limit	Existing procedures adequate
Grants to local organisations	Not a legitimate organisation	L	All expenditure is undertaken in accordance with the Council Grants Policy and Minuted.	Existing procedures adequate

ASSETS

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Land, Street lights and building	Damage by weather, fire or general public	L	All land, street lights and contents in the building are insured by the Council and the building is insured by the freeholder.	Existing procedures adequate
Parish Signs	Damage by vandalism or weather	L	The sign near the steam railway is made of metal with an enamel map. The sign in the recreation ground is made from aluminum. Insure against damage and inspect every 6 months	Existing procedures adequate
Laptop	Damage whilst in situ or in transit	L	The laptop is insured accordingly, and protective bags are used for transportation.	Existing procedures adequate
Notice Boards	Damage through vandalism	L	The notice board in Village Square is wood but has a CCTV camera looking at it. The notice board in the recreation ground is made of metal and has a lockable glass cabinet Insure against damage	Existing procedures adequate
Parish Seats and picnic table	Damage through vandalism	L	The picnic table is made of composite. There are 4 metal seats and 6 wooden seats. They are inspected every year and any necessary repairs will	Existing procedures adequate

			be made as soon as possible. They are all insured.	
Office Equipment	Damage due to fire and theft	L	CCTV installed as well as an alarm which is monitored and maintained. Office is kept locked when not in use.	Review procedures every year
Wootton Recreation Ground	Damage to play equipment through vandalism.	L	Insure against damage and inspected weekly by EO of the Isle of Wight Council	Review procedures every 6 months

Public Toilets	Damage to hardware, windows and doors	M	Regular patrols by EO and regular maintenance by maintenance man. They are locked overnight.	Review procedures every 6 months
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LIABILITY				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Legal Powers	Illegal activity or payments Working Parties taking decisions	L L	All activity and payments made within the powers of the Parish Council (not ultra vires) are to be resolved and clearly minuted. Ensure established with clear terms of reference.	Existing procedures adequate Monitor on a monthly basis
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 and published on website. 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 insurance company	Updated 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
				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 Interests	L	Register of Members Interests form to be reviewed at least on an annual basis	Members to take responsibility to update their register

The information given above was checked by the clerk and the assistant clerk and will be agreed at the next full council meeting of Wootton Bridge Parish Council as being a correct record.

Signed Barrie hailstone
Chairman

Dated 16 May 2023

Reviewed 9 May 2023