

EDITH WESTON PARISH COUNCIL RISK ASSESSMENT SCHEDULE

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. Although some risks can never be eliminated fully, the Council has in place a strategy that provides a structured, systematic and focused approach to managing risk, which:

- Identifies the subject
- Identifies what may be at risk
- 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	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 circumstance	L	All relevant files and records are kept both in paper form at the Clerks house and online. In the event of the loss or long-term incapacity of the Clerk, the Chair to arrange for files and records to be obtained and gain access to the online storage. Electronic records are backed up on a hard disk drive – this will be stored by the Chair and updated regularly between meetings. Copies of passwords to access online data will be placed in a sealed envelope to be held by the Chair in case of emergencies.	Existing procedure adequate (revised Sept 2024 and strengthened)
Meeting location	Adequacy, Health and Safety	L L	Meetings are held at Edith Weston Village Hall. The Clerk holds the keys and in the event of the Clerk being unable to attend, the Chairman has access to a set of keys for the Hall. The Hall and facilities are considered to be adequate from a comfort and health and safety point of view for the Clerk, Councillors and members of the public who attend. Any person with special needs wishing to attend a meeting is asked to inform the Clerk not less than 12 hours prior to the	Existing procedure adequate

			<p>meeting so that the appropriate arrangements can be made.</p> <p>Should the Village Hall be temporarily unavailable due to unforeseen circumstances there are a number of alternative venues that can be approached such as the school and the sailing club.</p>	
Council records - paper	Loss through theft, fire or damage	L	<p>Current papers are kept at the home of the Clerk. Confidential items are contained in a locked fireproof filing box away from other documents.</p> <p>Archived material is kept in a locked metal filing cabinet in a locked cupboard at the Village Hall.</p>	Existing procedure adequate.
Council records – electronic	Loss through fire, damage or corruption of computer	L	<p>Electronic records are stored on the Parish Council computer issued to the Clerk. Back-ups are stored in a Dropbox facility on a live day to day basis that the Chairman has access to and a separate hard-drive has been purchased for a secondary back up of the laptop. The laptop is protected by ESET. See Business Continuity section above.</p>	Existing procedure adequate.
Suitability of incoming Clerk	Appointment of unsuitable individual particularly with regard to the security of Council funds	L	<p>Candidates would need to meet the requirements set out in the Person Specification for the role of Clerk. These requirements would be evidenced by application form, interview and references being taken up.</p> <p>Financial Regulations are in place; the Parish Council holds no cash. On line banking is carried out by the Clerk and monthly bank reconciliations completed by a member of the Finance Committee. The Finance Committee approves all expenditure prior to payment within the defined limits of the Financial Regulations; expenditure in excess of these limits is approved by the full Parish Council. A monthly finance report is presented to the Parish Council.</p>	Existing procedure adequate.

FINANCE				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Precept	Adequacy of precept	L	The precept is an agenda item at the December Council meeting. At the precept meeting the Council receives a budget update report, including actual position and projected position to the end of the year. With this information the Council maps out the required monies for standing costs, projects and grants for village organisations for the following year and applies specific figures to budget headings. The precept is set on the basis of the budget. Adequate reserves are maintained to cover moderate over spending during the year in line with the approved Reserves Policy .	Existing procedure adequate.
Insurance	Adequacy Cost Compliance	L L L	An annual review of the items covered and the level of cover is undertaken prior to the renewal date. Employer's liability is a statutory requirement.	Existing procedure adequate.
Bank and banking	Inadequate checks	L	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts. The Finance Committee approves expenditure up to a defined limit, above which items are approved by the Parish Council. Cheques are very rarely used but require TWO signatories. Online banking is currently carried out by the Clerk, income and expenditure is reviewed on a monthly basis at the Parish Council meeting. The Chairman also has access to all bank accounts and can check accounts on an ad hoc basis. An independent Parish Councillor to carry out bank reconciliations. Dual signatory being set up on the bank account, so that payments are set up by the Clerk but released by an approved member of the Parish Council.	Existing procedure adequate.
Cash	Loss through theft or	L	The Council has no petty cash or float. Any cash transactions are made by the Clerk, and are fully receipted and reimbursed	Existing procedure adequate.

	dishonesty		through submission of an expense claim.	
Financial controls and records	Inadequate checks Financial irregularities	L L	A monthly income and expenditure report is prepared by the Responsible Financial Officer (the Clerk) and presented at each Parish Council meeting. An annual audit of the accounts takes place by an external body. All income and expenditure is resolved and has been minuted. Any s137 payments must be recorded at the time of approval.	Existing procedure adequate.
VAT	Correct amount not reclaimed	L	VAT charged on all purchases is recorded in the financial software and a quarterly claim is submitted for the total owed no later than one month after the end of each quarter.	Existing procedure adequate
Election Costs	Risk of election cost	M	Risk is higher in an election year. An amount is always included when setting the annual budget.	Existing procedure adequate
Actions by Clerk	Fraud Actions undertaken	L L	Dual approval of electronic payments, bank reconciliations carried out by independent member of the Parish Council. Clerk provided with relevant training and access to assistance and legal advice via LRALC/SLCC.	Existing procedure adequate
Employers annual return	Accounting, and paying NI and tax on Clerk's salary	L	Production of monthly salary slips, and submission of Employers Annual Return is contracted out to a company providing payroll services. Their performance is monitored.	Existing procedure adequate.
Annual Return	Not submitted within time limits	L	The Annual Return is completed and signed by the Internal Auditor, then approved by the Parish Council in good time to be sent to the External Auditor before the due date.	Existing procedure adequate.
Freedom of Information Act	Adequacy of policy	L	The Parish Council has adopted the model publication scheme for Local Councils and has a policy in place which is reviewed annually	Existing procedure adequate.
Data Protection Act	Failure to comply	L	The Parish Council is registered with the Information Commissioner and has a policy in place which is reviewed annually.	Existing procedure adequate.

LIABILITY				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
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.	Existing procedure adequate.
Minutes/ Agendas/ Statutory Documents	Accuracy and legality Non compliance with statutory requirements	L	Minutes and agendas are produced in the prescribed manner and adhere to legal requirements.	Existing procedure adequate.
		L	Minutes are approved and signed at the next Council meeting. Minutes and agendas are displayed according to legal requirements.	
Public Liability	Risk to third party property or individual	M	Insurance is in place	Existing procedure adequate.
Employer Liability	Non compliance with employment law	L	Insurance is in place.	Existing procedure adequate.
Members interest	Conflict of interest Register of Members Interest	M	Councillors are required to register disclosable pecuniary interests with the Monitoring Officer at Rutland County Council and declare any relating to a matter arising at a meeting; these are clearly minuted at each meeting.	Existing procedure adequate.
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ASSETS				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Playground equipment	Damage to equipment/Risk to third parties	N/A	The Parish Council is not responsible for any play equipment.	Existing procedure adequate
Seats/ Benches	Damage to or theft of	L	The Parish Council have 5 benches. Ad hoc checks are made by Councillors. All seats/benches appear on the asset register	Existing procedure adequate.

			and are covered by insurance.	
Notice boards	Damage to	L	Both notice boards are checked monthly and are covered by insurance. All boards appear on the asset register and are covered by insurance.	Existing procedure adequate.
Bus shelters	Damage to	L	The Council is responsible for one bus shelter. The bus shelter appears on the asset register and is covered by insurance.	Existing procedure adequate.
Phone Box Defibrillator	Damage to	L	The Council is responsible for two phone boxes that contain defibrillators, both of which are covered by insurance. They appear on the asset register and are covered by insurance. The defibrillators are checked on a monthly basis; checks and maintenance are logged on the Community Heartbeat website.	Existing procedure adequate.
Grit & Salt bins	Damage to	L	The Council is responsible for 7 grit and salt bins. They appear on the asset register and are covered by insurance.	Existing procedure adequate.
Well Cross	Damage to	L	The Council is responsible for the memorial stone at Well Cross. The memorial appears on the asset register and is covered by insurance.	Existing procedure adequate.
Laptop	Damage to	L	The Council has one laptop that is covered by the Clerk's home insurance. The laptop has ESET protection.	Existing procedure adequate.
Street Lights	Damage to	L	The Council is responsible for 21 streetlights. The streetlights are subject to an annual maintenance contract with Rutland County Council, appear on the asset register and are covered by insurance.	Existing procedure adequate.

Signed:
Chairman

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Clerk

Dated:

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