

ODCOMBE PARISH COUNCIL RISK ASSESSMENT 20th FEBRUARY 2023

Subject	RISK	Impact	Likelihood	Score	Level	Control Plan	Risk Owner(s)
<b>FINANCE</b>							
Precept	Precept request does not provide sufficient funding to meet the plans of Council for future years	3	1	3	LOW	1. Detailed budget for associated financial year produced matching the Councils delivery plan. 2. Reserve lines identified that can be drawn down upon for major projects. 3. Quarterly budget reports to council detailing expenditure against budget.	Council
Financial Controls and records	In the event that a financial institution that holds Council funds goes into administration, Council funds may not be recoverable.	3	1	3	LOW	1. Ensure deposits are in line with FSA scheme	Clerk/Council

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<b>Financial Controls and records</b>	Unauthorised expenditure made that is not visible to Council	3	1	3	<b>LOW</b>	<ol style="list-style-type: none"> <li>1. All expenditure to be presented to formal council meetings, approved and minuted.</li> <li>2. Issuing of Cheques and BACS transfers to be in accordance with Odcombe Parish Council Financial Regulations.</li> <li>3. All invoices to be checked and initialled by the two Members of Council.</li> <li>4. Monthly bank reconciliations to be presented to Council, checked and authorised by a Councillor.</li> <li>5. Quarterly Monitoring Statements issued to Councillors.</li> <li>6. Any Member of the Parish Council can request visibility of any/all financial documents</li> <li>7. Three Councillors have 'real time' access to NatWest on-line accounts</li> </ol>	Clerk/Council
<b>Financial Controls and records</b>	The Council suffers loss of funds through theft or dishonesty	3	1	3	<b>LOW</b>	<ol style="list-style-type: none"> <li>1. No cash to be handled.</li> <li>2. All financial transactions require two off Members approval (BACS/Cheques) who shall ensure payments are made in accordance with Councils instructions.</li> <li>3. Three Councillors have 'real time' access to NatWest on-line accounts</li> </ol>	Clerk/Council
<b>Financial Controls and records</b>	The RFO fails to keep proper and appropriate financial records	3	1	3	<b>LOW</b>	<ol style="list-style-type: none"> <li>1. Excel cashbook completed monthly.</li> <li>2. Financial records to be maintained at all times and to a high standard and available for any Councillor to view at any time.</li> <li>3. Internal and external audits to provide Council with assurance that records are being kept appropriately.</li> </ol>	Clerk

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<b>Financial Controls and records</b>	Councils business and decisions are not properly recorded	3	1	3	<b>LOW</b>	<ol style="list-style-type: none"> <li>1. All formal Council meetings to recorded, with published minutes.</li> <li>2. All resolutions to be recorded within the minutes of said meetings.</li> <li>3. Councillors have the opportunity to comment on draft minutes prior to formal adoption.</li> <li>4. Master copies of minutes signed, and retained.</li> </ol>	Clerk
<b>Financial Controls and records</b>	Members are unaware of level of funds held impacting decisions of Council	3	1	3	<b>LOW</b>	<ol style="list-style-type: none"> <li>1. Position of the Councils financial position to be reported each month to Council.</li> <li>2. Monthly bank reconciliations to be presented to Council, checked and authorised by a Councillor.</li> <li>3. Quarterly Monitoring Statements issued to Councillors.</li> </ol>	Clerk
<b>Financial Controls and records</b>	Inland Revenue requirements not made to time and quality (PAYE and VAT Claim)	2	2	4	<b>LOW</b>	<ol style="list-style-type: none"> <li>1. Council to ensure the Clerk is trained in the use of HMRC basic pay tools.</li> <li>2. PAYE payments to be approved by Council.</li> <li>3. Clerk to ensure payments reach HMRC in line with their timeline requirements.</li> <li>4. VAT calculated and claimed every six months.</li> <li>5. Internal auditor to provide assurance to Council that both VAT claims and PAYE payments are made correctly.</li> </ol>	Clerk/Council
<b>General and earmarked reserves</b>	Insufficient reserves to enable the Council to carry out its functions	2	1	2	<b>LOW</b>	<ol style="list-style-type: none"> <li>1. Council to ensure that reserves are part of the annual budget setting process and align to future delivery plans.</li> <li>2. Reserve lines and the drawing down of them to be controlled by full Council with any decision made formally recorded in meeting minutes.</li> </ol>	Clerk/Council
<b>Staff</b>	Salary payments paid incorrectly	2	2	4	<b>LOW</b>	<ol style="list-style-type: none"> <li>1. Council to approve all salary payments at a full Council meeting ensuring such payments are in line with contractual agreements</li> </ol>	Clerk/Council
<b>Assets</b>	Council assets not fully protected against physical damage, fire and theft	1	3	3	<b>LOW</b>	<ol style="list-style-type: none"> <li>1. Asset Register updated and presented to Council twice yearly.</li> <li>2. Annual review of insurance policy made with Council assuring the policy covers the value of Council owned assets.</li> </ol>	Clerk/Council

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<b>Election Costs</b>	Risk of election cost not being affordable	3	1	3		1. Where applicable, election cost to be included within the annual budget.	Clerk/Council
<b>MANAGAEMENT</b>							
<b>Land managed on behalf of SSDC</b>	Encroachment on land by 3rd parties	3	2	6	<b>MEDIUM</b>	1. Physical barriers to be put in place where appropriate 2. Clerk to liaise with authorities if encroachment occurs.	Council
<b>Land managed on behalf of SSDC</b>	Trees on managed land could cause injury or damage	2	2	4	<b>LOW</b>	1. Council to request Grounds contractor to undertake regular reviews of condition of trees that sit or overhang Council managed land and report any concerns to Clerk. 2. carry out a detailed risk assessment every 5 years by a qualified arborist. 3. Council to conduct assessment of trees following a significant weather event.	Council
<b>Business Continuity</b>	Long term absence of Clerk & RFO	3	1	3	<b>LOW</b>	1. A business continuity plan to be developed by Chair of Staffing Committee and reviewed annually.	Council
<b>Council Records and archives</b>	Loss through theft or damage	3	1	3	<b>LOW</b>	1. Council to ensure an appropriate record retention policy is in place. 2. Council to ensure records are stored in a safe and secure location.	Clerk/Council
<b>Council Records and archives</b>	Computer - loss, damage, corruption or ransomware	3	1	3	<b>LOW</b>	1. Appropriate antivirus software is installed.	Clerk/Council

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<b>Risk Assessment</b>	Risk Assessment not adequately reviewed in accordance with The Guidance on Governance and Accountability for Local Councils in England	3	1	3		<p>1. Council to review its risk assessment every six months - Council must respond yes or no to the following questions at the meeting where the risk assessment is reviewed:-</p> <p>a. Does council agree that OPC has adequately identified its current risks</p> <p>b. Does council agree that the scoring and level associated with the identified risks are correct.</p> <p>c. Does Council accept that appropriate mitigation plans are in place for each identified risk, if not a forward action plan to be agreed and recorded.</p> <p>d. Does the council agree to adopt the presented risk assessment in its entirety or propose amendments.</p>	Clerk/Council
<b>LIABILITY</b>							
<b>Legal Powers</b>	Council activities/decisions fall outside their legal powers	3	1	3	<b>LOW</b>	<p>1. Clerk to clarify legal position of any new proposal and seek legal advice where necessary.</p> <p>2. Council to ensure the Clerk and RFO has access to appropriate training.</p>	Clerk
<b>Minutes</b>	Minutes do not accurately reflect meeting decisions or actions and are not distributed in a timely manor	3	1	3	<b>LOW</b>	<p>1. Council meets once a month.</p> <p>2. Formal draft Council Minutes shall be distributed in a timely fashion to Members, approved and signed at a full Council meeting.</p> <p>3.Minutes are made available to the press and public via the Parish Council website.</p>	Clerk
<b>Public Liability</b>	Risk to third party, property or individuals	4	1	4	<b>LOW</b>	<p>1. Council to ensure appropriate Insurance cover is in place, with weekly inspections of play areas and defibrillators undertaken.</p> <p>2. Football pitch area to be maintained to a suitable standard.</p> <p>3. Council to consider as a matter of urgency any reported health or safety related matter and take appropriate action.</p> <p>4. Clerk to be delegated to deal with/with any health and safety issue up to £500 (adopted in financial regulations)</p>	Council

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<b>Employer liability</b>	Non compliance with employment law	3	1	3	<b>LOW</b>	1. The council is to ensure that the Clerk has received adequate training and has access to appropriate bodies for advice. 2. The Clerk is a member of SLCC. 3. A Staffing Committee is nominated annually and will engage with the Clerk at regular intervals.	Council
<b>Employer liability</b>	References not obtained for employees (insurance requirement)	2	1	2	<b>LOW</b>	1. Currently in place for existing Clerk - part of interview process for a new clerk	Council
<b>Data Protection</b>	Data and information not controlled	3	1	3	<b>LOW</b>	1. The council has a Data Protection Policy, which is reviewed on a regular basis. 2. The Clerk is registered with the ICO as the Data Controller for Council	Clerk
<b>COUNCILLORS PROPRIETY</b>							
<b>Interests</b>	Councillors involved in decisions who have an interest	3	1	3	<b>LOW</b>	1. Councillors have a duty to declare any interest at the start of the meeting. 2. Disclosure of interests is an agenda item at the start of every meeting and declarations recorded in the minutes	Clerk/Council
<b>Interests</b>	Register of Interests and gifts and hospitality in place not in place	1	1	1	<b>LOW</b>	1. Register of interest for each Member completed within 28 days of taking office and amended throughout the year as necessary. 2. Gifts and hospitality are recorded on register of interest form. 3. Going forward annual agenda item for the Annual May meeting for members to review their register of interest form.	Clerk/Council
<b>MEETING VENUE</b>							

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<p><b>Public bodies (admission to meetings) Act 1960</b></p>	<p>Meeting venue may not be accessible for some members of the public</p>	<p>2</p>	<p>1</p>	<p>2</p>	<p><b>LOW</b></p>	<p>1. Double door to hall can be opened to enable easier access if required. 2. Hall Committee has completed its own risk assessment for disabled access. 3. Hearing loop is available.</p>	<p>Council</p>
<p><b>Staff</b></p>	<p>Council do not take appropriate actions to minimise (ALARP) a Health &amp; Safety related issue occurring</p>	<p>2</p>	<p>1</p>	<p>2</p>	<p><b>LOW</b></p>	<p>1. Clerk to undertake annual risk assessment of office environment and share with Chair of staffing Committee. 2. Clerk to notify a Member by text when he attends an out of office meeting</p>	<p>Council</p>