

SHEPTON MONTAGUE PARISH COUNCIL

RISK ASSESSMENT AND MANAGEMENT

Risk Assessment aims to:

- Identify key risks facing the Council
- Evaluate potential consequences
- Decide on measures to avoid, reduce or control the risk.

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.

| FINANCE | | | | |
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| Subject | Risk(s) Identified | H/M/L | Management/control of Risk | Review/Assess/Revise |
| Precept | Adequacy of precept in order for Council to carry out its statutory duties | L | Council considers known and planned expenditure and income for each year by setting a budget. A small general reserve is included for unexpected expenditure. This information is used to determine the Precept. | Existing procedure adequate. |
| Financial records | Inadequate records. Financial irregularities. | L | Clerk keeps simple Income/Payments accounts available for inspection at any time along with bank statements. All payments are by cheque signed by two members of Council and recorded in meeting minutes. Clerk informs Council when any monies received, also recorded in meeting minutes. | Existing procedure adequate. |

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| Banking | Inadequate checks | L | Regular bank statements received and kept on file by Clerk. | “ |
| Insurance | Adequacy, cost, compliance with statutory requirements | L | Insurance cover and cost reviewed annually. | “ |
| Employment of clerk | Loss of clerk Fraud | L | Councillor covers in interim or services of locum sought until Clerk replaced Financial procedures in place to prevent and detect fraud (as above). | “ “ |
| Payroll | Breach of employment laws including NI and tax | L | Payroll outsourced to independent company. | Annual audit carried out by Internal auditor. |
| Election costs | Incurring cost as result of election to fill casual vacancy | L | Costs of the election to be met from general reserves | Action Include as budget item each year |
| Annual Governance and Accountability Return (AGAR) | Failure to submit within time limits | L | Completed at Annual General Meeting of Council held in May each year, well ahead of submission deadline. | Existing procedure adequate. |
| MANAGEMENT | | | | |
| Business continuity | Council not being able to continue its business due an unexpected circumstance | L | Copies of published documents are placed on the website. Hard copy files are kept by the Clerk. All in-use files are kept on the laptop held by the Clerk. | Action: regular backup of electronic files needed |
| Meeting location | Adequate health and safety | L | Meetings are held in the Village Hall. Keys are held by the Clerk, VHC chair and PCC. The village hall is considered to have appropriate facilities for the Clerk, Members and the general public. | Existing procedures adequate. |
| Council records hard copy | Loss through theft, fire, damage | L | All major documents published on website and held electronically. | Existing arrangements adequate. |
| Council records electronic | Loss through damage, theft of laptop. | L | Regular backup onto disk and through Norton Security. All major documents published on website. | Regular backup required. |
| Website | Out of date. Loss of Webmaster | L | Outsourced as of January 2023. | Review arrangements annually. |

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| ASSETS | | | | |
| Noticeboards | Damage, wear and tear. | L | Inspected regularly. Repaired and maintained at Parish Council expense for which provision is made in the budget. | Reviewed regularly. |
| Bus shelter | Wear and tear. Risk to public. | | As above | " |
| Former telephone box | " | | As above | " |
| Salt/grit bins | " | | As above | " |
| Dog waste bin | " | | As above | " |
| LIABILITY | | | | |
| Legal Powers | Illegal activity or payments | L | All Parish Council decisions (including financial decisions) are made at public meetings, resolved and minuted. Members are aware of the Parish Council duties and responsibilities and sign up to the Code of Conduct. | Adequate provision in place. |
| Statutory documents | Accuracy and legality Non-compliance with statutory requirements | L | Minutes and agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed at subsequent meeting and are available on the website. Business conducted at Council meetings is managed by the Chair according to Standing Orders. | Existing procedures adequate. Members to adhere to Code of Conduct and Standing Orders. |
| Public liability | Risk to third party, property or individuals. | L | Insurance is in place. | Reviewed annually. |
| Employer liability | Non-compliance with employment law. | L | Council employs only the Clerk. The Clerk keeps abreast of requirements. Payroll is outsourced. | Training of Clerk as required. |

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| Freedom of Information and Data Protection | Policy provision | L | The Council abides by the Transparency Code for Smaller Authorities and all required information is available on the website. | Adequate provision in place. |
| Members' Interests | Conflict of interest | M | Councillors have a duty to declare any interest at the start of a meeting or whenever conflict becomes apparent. Councillors make an annual Declaration of Interests which is published on SSDC and Parish Council website. Councillors have responsibility to keep their Declarations up to date. | Adequate provision in place. |

Approved 21.7.2022

Updated 23.1.23