

Risk Management

Updated 3r May 2022

Risk is an uncertain event or condition that, if it occurs, will have an effect on the achievement of the Council's objectives.

Risk management is the process whereby authorities methodically address the risks associated with what they do and the services which they provide. The focus of risk management is to identify what can go wrong and take proportionate steps to avoid this or to successfully manage the consequences.

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 minimize them.

The risks have been graded using a scoring system of 1-3 of Likelihood and the severity of the impact, 1 being low and 3 being high. These are multiplied together to produce a risk score 1-9.

	Subject	Risk(s) Identified	Likelihood (a)	Impact (b)	Risk (=a x b)	Management/Control of Risk	Action
1	Business continuity	<ul style="list-style-type: none"> Risk of Council not being able to continue its business due to an unexpected or tragic circumstance 	1	2	2	<ul style="list-style-type: none"> The District Council would set in to fill the void if there was an issue affecting all the Councillors at once. OALC would provide support to fill the void of Clerk 	
2	Insurance	<ul style="list-style-type: none"> Adequacy – public Liability, property, personal injury, employer's liability 	2	2	4	<ul style="list-style-type: none"> An annual review is undertaken (ahead of policy renewal) of all insurance arrangements in place. Employers and Employee liability insurance required. 	
		<ul style="list-style-type: none"> Compliance 	1	3	3	<ul style="list-style-type: none"> Ensure insurance requirements are adhered to and information required by the insurers is provided. 	
		<ul style="list-style-type: none"> Fidelity Guarantee 	1	3	3	<ul style="list-style-type: none"> Ensure Fidelity checks are in 	



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					place.	
3 Public Liability	<ul style="list-style-type: none"> Risk to third party, property or individuals 	2	2	4	<ul style="list-style-type: none"> Insurance is in place. Risk assessments regularly carried out to comply with requirements. 	Ensure risk assessments are carried out or obtained as necessary.
4 Employer Liability	<ul style="list-style-type: none"> Non-compliance with employment law 	1	2	2	<ul style="list-style-type: none"> Ensure adequate training seek advice from the Oxfordshire Association of Local Councils Employment practices liability covered by the insurance. 	
5 Legal Liability	<ul style="list-style-type: none"> Legality of activities Proper and timely reporting via Minutes Proper document control 	1	3	3	<ul style="list-style-type: none"> Clerk to clarify legal position on proposals and to seek advice if necessary. Council always receives and approves Minutes at monthly meetings. Retention of document policy in place. Legal Cover included in the insurance. 	
6 Precept	<ul style="list-style-type: none"> Adequacy of precept Precept request not submitted in time. 	1	2	2	<ul style="list-style-type: none"> Year to date figures compared to current year budget. Budget proposal discussed by F&GP in December. Precept requirements determined from this meeting. The budget and precept proposal are presented to Full Council for 	



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					<ul style="list-style-type: none"> approval in January meeting. This figure is submitted by the Clerk in writing to The Vale of White Horse District Council ahead of the deadline in January. The Clerk informs Council when the monies are received. Sufficient reserves should be maintained in case of unforeseen circumstances. 		
7	Bank and banking	<ul style="list-style-type: none"> Inadequate checks 	1	2	2	<ul style="list-style-type: none"> The Council has Financial Regulations that set out the requirements for banking, cheques, online payment and reconciliation of accounts. 	Review bank signatories. Online banking procedure to be produced. Pre-paid card policy to be produced.
	<ul style="list-style-type: none"> Bank mistakes 	1	2	2	<ul style="list-style-type: none"> The bank account is reconciled monthly and the Bank Reconciliation is presented to a member of the Parish Council at each meeting. 		
	<ul style="list-style-type: none"> Charges 	1	1	1	<ul style="list-style-type: none"> The Clerk reviews the Councils banking arrangements regularly. 		
8	Financial records	<ul style="list-style-type: none"> Inadequate records 	1	2	2	<ul style="list-style-type: none"> The Council has Financial Regulations that set out the requirements. The Council should appoint a Councillor responsible for internal control who inspects the 	Council to appoint an internal control member.



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	<ul style="list-style-type: none"> Financial irregularities 	1	3	3	financial records regularly. <ul style="list-style-type: none"> The internal auditor produces a report to the Council which is reviewed by the Council. Any irregularities should be identified and notified to the Council. 		
9	Direct costs, overheads, expenses & debts	<ul style="list-style-type: none"> Goods not supplied but billed Incorrect invoicing 	1	2	2	<ul style="list-style-type: none"> The Council has Financial Regulations that set out the requirements. At each Council meeting the list of invoices awaiting approval is distributed to Councillors, and considered. Council approves the list of requests for payment. The clerk checks invoices and has the overview of what should be paid. 	
10	Grants and support - payable	<ul style="list-style-type: none"> Power to pay Authorisation of Council to pay Spend exceeds S137 limit 	1	1	1	<ul style="list-style-type: none"> Decisions to award grants are made by F&GP or Full Council. All payments are approved b either the F&GP or Full Council prior to payment S137 payments are recorded separately and the total in checked against the limit. 	
11	Grants - receivable	<ul style="list-style-type: none"> Receipts of Grant 	1	1	1	<ul style="list-style-type: none"> Receipt is reported to the Council at the next meeting of the Council. Any one- off grants awarded may attract terms and conditions to be satisfied. 	



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12 Reporting	<ul style="list-style-type: none"> Information Communication Compliance 	1	1	1	<ul style="list-style-type: none"> A budget monitoring statement is produced before each Finance and General Purposes Committee meeting and approved at the meeting. A full list of payments to be authorised is presented to the Council ahead of the meeting. The bank account is reconciled monthly and the Bank Reconciliation is presented to a member of the Parish Council at each meeting. Council should regularly check internally to comply with the Fidelity Guarantee (for insurance purposes). 	Council to appoint a Councillor to check financial records for Fidelity compliance.
13 Best value Accountability	<ul style="list-style-type: none"> Work awarded incorrectly; overspend on services 	2	2	4	<ul style="list-style-type: none"> As per Financial Regulations normal Parish Council practice is to obtain, if possible, more than one quotation for any substantial work required to be undertaken or for goods. For major contract services, formal competitive tenders are to be sought. If a problem is encountered with a contract the Clerk would investigate the situation, check 	



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					the quotation/tender, research the problem and report to Council.	
14 Salaries and associated costs	<ul style="list-style-type: none"> False employee 	1	3	3	<ul style="list-style-type: none"> The Parish Council authorises the appointment of all employees at Council meetings. References for any employee should be obtained in addition to proof of identity and address. 	An employment procedure is required going forward.
	<ul style="list-style-type: none"> Salary paid incorrectly 	1	2	2	<ul style="list-style-type: none"> Salary rates are assessed annually by the Council and applied on 1st April each year. Salary included in the list of payments which is checked by the Parish Council or Finance & General Purposes Committee prior to payment. Chairman received copies of the payroll information from the payroll provider. 	
	<ul style="list-style-type: none"> Unpaid Tax & NI contributions to HMRC 	1	1	1	<ul style="list-style-type: none"> The Tax and NI contributions due are reported to the Council and signed off quarterly. 	
	<ul style="list-style-type: none"> Wrong deductions of NI or Tax 	1	1	1	<ul style="list-style-type: none"> The Payroll is prepared by an external Payroll Provider who submits this to HMRC. 	



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15 Clerk/Other workers voluntary/casual)	<ul style="list-style-type: none"> Loss of Clerk 	2	2	4	<ul style="list-style-type: none"> The Parish Council has sufficient reserves to enable training in the event of the Clerk resigning. 	Preparation of employment procedure required.
	<ul style="list-style-type: none"> Fraud 	1	3	3	<ul style="list-style-type: none"> Fidelity Guarantee insurance (employee dishonesty) cover included in the insurance. 	
	<ul style="list-style-type: none"> Health & Safety 	2	2	4	<ul style="list-style-type: none"> The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role. The Council has membership of the SLCC & OALC to provide guidance and support. Risk Assessments are conducted or obtained for activities as necessary. 	
16 Councillor allowances	<ul style="list-style-type: none"> Councillors over-paid 	1	1	1	<ul style="list-style-type: none"> No allowances are allocated to Parish Councillors. All expenditure is to go through the Clerk. 	
	<ul style="list-style-type: none"> Income tax deduction 					
17 Election costs	<ul style="list-style-type: none"> Risk of an election cost 	2	2	4	<ul style="list-style-type: none"> Risk is higher in an election year. The Parish Council make provision by holding an Election Reserve Fund. 	



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18 VAT	<ul style="list-style-type: none"> Re-claiming/charging 	1	1	1	<ul style="list-style-type: none"> The Council has Financial Regulations that set out the requirements. This should form part of the internal check done by the Council 	
19 Legal powers	<ul style="list-style-type: none"> Illegal activity or payments 	1	2	2	<ul style="list-style-type: none"> All activity and payments within the powers of the Parish Council to be resolved and minuted at Full Parish Council Meetings 	All activities and payments Minuted. Power to spend should also be noted.
20 Minutes/Agendas/ Notices/Statutory documents	<ul style="list-style-type: none"> Accuracy and legality Business conduct 	1	2	2	<ul style="list-style-type: none"> Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Minutes and agenda are displayed according to the legal requirements. Business conducted at Council meetings is managed by the Chair. 	
	<ul style="list-style-type: none"> Standing Orders and Financial Regulations not current 	1	2	2	<ul style="list-style-type: none"> Standing orders and Financial Regulations reviewed annually by F&GP Committee and recommendations passed to Full Council for approval. Regular updates are received from OALC (Oxfordshire Association of Local Councils) 	Clerk to monitor updates produced by NALC.



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21 Members interests	<ul style="list-style-type: none"> Conflict of interest Register of Members interests 	1	2	2	<ul style="list-style-type: none"> Councillors have a duty to declare any interests at the start of the meeting. Register of Members Interest forms to be reviewed regularly by Councillors. 	
22 Code of Conduct	<ul style="list-style-type: none"> Not adhered to 	1	2	2	<ul style="list-style-type: none"> Code of Conduct issued by Vale of White Horse DC adopted by Parish Council. To be issued to all Councillors and available of Shared Drive and Website. Breaches of Code of Conduct to be reported to the Monitoring Officer at the discretion of the Chairman or Vice Chairman if in regard to the Chairman. 	additional Councillor training
23 Annual return	<ul style="list-style-type: none"> Not submitted within time limits 	1	2	2	<ul style="list-style-type: none"> Annual Return is completed and signed by the Council, submitted to the internal auditor for completion and signing then checked and sent on to the External Auditor within time limit. 	
	<ul style="list-style-type: none"> Public Inspection of Documents 	1	2	2	<ul style="list-style-type: none"> By appointment only, and for the safety of the Clerk, meeting to be arranged at the Community Centre with a Councillor present. 	
	<ul style="list-style-type: none"> Internal Auditor 	1	1	1	<ul style="list-style-type: none"> An independent Internal Auditor is appointed annually by the 	



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24 Council records - paper	<ul style="list-style-type: none"> Loss through theft or fire damage 	1	2	2	<ul style="list-style-type: none"> The current Parish Council records are stored at the home of the Clerk – these are also stored electronically. 	
		1	3	3	<ul style="list-style-type: none"> Historical Records including correspondence, minute books and copies, documents for ownership of property, records such as personnel, insurance, salaries etc. are currently stored at the Community Centre. 	Deeds/leases copied and deposited off- site. Historical minutes to be deposited off site once they have been scanned.
25 Council records - electronic	<ul style="list-style-type: none"> Loss through: Theft, fire, damage Corruption of computer 	1	3	3	<ul style="list-style-type: none"> The Parish Council's electronic records are stored on the Google Drive and are therefore accessible to all members of the Parish Council. All minutes are uploaded to the website so are available on a second platform. 	All the councils documents should also be stored on a p/laptop belonging to the Council for ease of handover – at present the Clerk uses a personal laptop therefore a new device should be purchased by the Council.
26 Data protection	<ul style="list-style-type: none"> Policy Provision 	1	1	1	<ul style="list-style-type: none"> The Council holds no personal data. The Council is registered with the ICO. 	
27 Freedom of Information Act	<ul style="list-style-type: none"> Policy Provision 	1	1	1	<ul style="list-style-type: none"> The Council has a model publication scheme for Local Councils in place. The Council is able to request a fee for any information requested to cover the cost of consumables 	



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					and the clerk's time.	
28 Meeting location	<ul style="list-style-type: none"> Adequacy Health & Safety 	1	1	1	<ul style="list-style-type: none"> The Parish Council Meetings are held at the Community Centre. The premises and the facilities are adequate for the Clerk, Councillors and Public who attend from Health & Safety and comfort aspects. 	
29 Noticeboards	<ul style="list-style-type: none"> Risk/damage/injury to third parties roadside safety 	1	2	2	<ul style="list-style-type: none"> Parish Council has four notice boards sited around the Parish. All locations inspected regularly by the Clerk - any repairs/maintenance requirements brought to the attention of the Parish Council. Keys held by the Clerk and Chairman. 	
30 Street Furniture – bus shelters & benches	<ul style="list-style-type: none"> Loss or Damage Risk damage to third party(ies)/property 	1	2	2	<ul style="list-style-type: none"> Quarterly inspection to be undertaken by the Councillors as noted on the asset register and any issues reported back to the Council. insurance cover in place. 	
31 Waste Bins & Dog Bins	<ul style="list-style-type: none"> Not emptied 	1	1	1	<ul style="list-style-type: none"> Members of the public report to the Council. 	
	<ul style="list-style-type: none"> Damage Risk/damage to third party(ies)/property 	1	1	1	<ul style="list-style-type: none"> Quarterly inspection to be undertaken by the Clerk and any issues reported back to the Council. 	



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					<ul style="list-style-type: none"> insurance cover in place for street furniture. 	
32 Grit Bins	<ul style="list-style-type: none"> Not refilled Damage Risk 	1	2	2	<ul style="list-style-type: none"> Annual inspection to be undertaken by the Clerk and OCC to be contacted in the autumn if required. insurance cover in place. 	
33 Village Green	<ul style="list-style-type: none"> Damage Risk/damage to third party(ies)/property from trees falling, uneven ground causing trip hazard 	1	2	2	<ul style="list-style-type: none"> Quarterly inspection of Parish to be undertaken by the Clerk and any issues reported back to the Council. insurance cover in place. 	
34 Playing Field	<ul style="list-style-type: none"> Damage Risk/damage to third party(ies)/property 	1	2	2	<ul style="list-style-type: none"> Quarterly inspection of Parish to be undertaken by the Clerk and any issues reported back to the Council. insurance cover in place 	
35 Cricket Pavilion	<ul style="list-style-type: none"> Damage Risk/damage to third party(ies)/property 	2	2	4	<ul style="list-style-type: none"> Managed by Cricket Club - any issues reported to the Council via the Clerk. Representative of the Cricket Club to report to the Parish Council annually in May. Noted separately on insurance policy. 	
36 Allotments	<ul style="list-style-type: none"> Damage Risk/damage to third party(ies)/property 	1	2	2	<ul style="list-style-type: none"> Managed by Allotment Association - any issues reported to the Council via the Clerk. Allotment Association hold insurance to cover plot holders risk. Representative of the Allotment Association to report to the Parish Council annually in May. Insurance covers third parties. 	



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37	Play Area Equipment	<ul style="list-style-type: none"> Loss or Damage Risk/damage to third party(ies)/property 	2	3	6	<ul style="list-style-type: none"> Weekly & Monthly inspections to be undertaken by the a suitably qualified member of the Council. Any minor remedial works to be undertaken as necessary. Items of equipment to be closed until remedial works can be undertaken if necessary. Availability of chain and padlock in the event that the park needs to be closed. Insurance covers third parties. Play equipment is insured. Insurance has been notified of Zip Wire. 	
38	Street Lighting	<ul style="list-style-type: none"> Risk/injury to third party 	1	1	1	<ul style="list-style-type: none"> Street Lights managed by OCC highways. Any faults reported using Fix My Street. 	