

SIBFORD GOWER PARISH COUNCIL RISK ASSESSMENT

This document was considered and approved at the Parish Council meeting held on 24th May 2023.

This document identifies risks, assesses likelihood and impact and includes an action plan for managing risks. Likelihood and impact have been assessed on a Low –Medium – High scale. Clearly those risks that record a High-High or Medium- High score require the most careful monitoring and review.

Abbreviations: DC = District Council
 RFO = Responsible Financial Officer (usually the Clerk)
 G&S = Goods & Services
 VAT = Value Added Tax
 CiLCA = Certificate in Local Council Administration
 CALC = County Association of Local Councils
 OALC = Oxfordshire Association of Local Councils
 NALC = National Association of Local Councils
 AGAR = Annual Governance & Accountability Return
 PPE = Personal Protective Equipment

| Category | Risk | Likelihood/Impact | Method used to minimise risk | Person(s) responsible |
|-------------------------------|-----------------------------|-------------------|--|------------------------------------|
| 1. Business continuity | 1. Incapacity of the Clerk | Low/High | Designate a person to temporarily act as Clerk in an emergency. | All councillors |
| | 2. Resignation of the Clerk | Medium/High | Designate a person to temporarily act as Clerk in an emergency. Immediately commence recruitment of new permanent Clerk. | All councillors All councillors |
| | 3. Loss or theft of records | Medium/High | All old copies of Minutes prior to electronic use are stored securely either with a councillor or at the Records Office. All minutes from 2007/08 onwards to be published on the Council's website. Ensure all records are backed up daily to OneDrive (cloud-based storage) and quarterly to an encrypted memory stick. | Clerk Clerk Clerk |

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|---------------------|--|-------------------|---|---|
| | 4. Failure to secure or retain necessary number of councillors to remain quorate | Medium/High | Notify Cherwell DC immediately a vacancy exists & post notice. Fill vacancy by co-option if possible. Arrange election if co-option not achievable. | Clerk All councillors Clerk |
| | 5. Pandemic/UK Lockdown | Low/High | Use video conferencing facilities to hold meetings electronically. Postpone meetings or ratify decisions at future lawful meeting if electronic meetings become unlawful. | All councillors All councillors |
| 2. Financial | 1. Inadequate insurance cover – property, personal liability, employer's liability | Medium/High | Review risk assessment by including on agenda of Council meetings at least annually. Review Asset & Liabilities Register annually prior to insurance renewal to ensure all assets and liabilities are appropriately covered. | Clerk All councillors |
| | 2. Fraud/theft/loss of money | Low/Medium | Ensure that Fidelity Guarantee remains in place. Adopt robust Internal Financial Controls. List all receipts and payments on every agenda and check bank reconciliation at each meeting. No petty cash to be held and cash receipts to be avoided where possible. Ensure all receipts are banked as soon as possible. | Clerk All councillors/RFO Clerk All councillors/RFO All councillors/RFO |
| | 3. Unrealistic budget/unplanned expenditure | Medium/High | Adopt robust process to ensure that approved budget is as realistic as possible. | All councillors/RFO |
| | 4. Unauthorised expenditure | Low/Medium | Ensure Internal Financial Controls payment process is followed - 1 councillor to approve goods and services (G&S), RFO to setup up online payment, and 1 other councillor (not the councillor who has authorised G&S) to authorise the online payment before it leaves the bank account. | All councillors/RFO |
| | | | Ensure primary sources of income are promptly received: | RFO |

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|-----------------|---|-------------------|--|---|
| | 5. Insufficient income / poor cashflow | Low/Medium | <ul style="list-style-type: none"> Submit accurate Precept Notification prior to deadline Submit accurate Shared Funding statements each January Submit accurate VAT 126 Reclaim promptly after Year End | RFO RFO RFO |
| 3. Legal | 1. Inappropriate use of powers | Low/High | <p>CiLCA qualified Clerk to ensure appropriate and lawful use of powers. Clerk to seek further advice via Oxfordshire CALC (OALC) and/or NALC where appropriate.</p> | Clerk Clerk/All councillors |
| | 2. Inappropriate business processes | Medium/Medium | <p>CiLCA qualified Clerk to advise on appropriate and lawful business processes. Councillors to optimise business processes to scale of council operations but within lawful constraints.</p> | Clerk All councillors/Clerk |
| | 3. Breach of General Data Protection Regulations (GDPR) | Medium/Medium | <p>Ensure that dedicated council email accounts are used for all council business. Ensure that any data not needed for business purposes are destroyed as per the Records Retention Policy. Ensure that council adheres to its Privacy Notice, Data Protection Policy and Subject Access Request policies.</p> | Clerk/All councillors Clerk/All councillors Clerk |
| | 4. Inadequate supplier contracts | Medium/High | <p>Ensure that appropriate tendering processes are implemented to achieve best value. Ensure that robust contract documentation is used to avoid contractual disputes and claims. Ensure that all suppliers maintain current and adequate insurance cover.</p> | Clerk/RFO Clerk/RFO Clerk/RFO |
| | 5. Breach of employment law | Low/High | <p>Ensure that the council follows appropriate employment law for all employees.</p> | Clerk/All councillors |
| | 6. Failure of Governance & Accountability | Low/High | <p>Ensure that all year-end processes, audit requirements and AGAR regulations are accurately and promptly implemented. Ensure that all AGAR documentation is verified, approved and published according to the required timetable.</p> | Clerk/RFO All councillors |

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| 4. Health & Safety | 1. Public safety on council owned or maintained land and fixed assets | Medium/High | Adopted quarterly checks of council owned or maintained land and assets to identify hazards and safety issues. Issues to be reported to Clerk. Clerk to notify all issues to the council for arrangement of rectification, in consultation with land owner if appropriate. Clerk to arrange immediate rectification of emergency issues. | All councillors Clerk Clerk |
| | 2. Public safety at events involving volunteers | Medium/High | Clerk to ensure appropriate safety guidance and PPE is made available to all event volunteers, using District Council support where appropriate. Clerk to ensure an appropriate event leader is appointed from the council to manage the event on site. Event leader to ensure safety guidance and PPE are provided to volunteers on site, including a safety briefing appropriate for each event. | Clerk Clerk All councillors |