SHALDON PARISH COUNCIL RISK ASSESSMENT SCHEDULE APPROVED AND AGREED AT MEETING OF 24.03.26

Purpose of the document

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. In conducting this exercise, the following plan was followed:

- Identify the areas to be reviewed.
- Identify what the risk may be.
- Evaluate the management and control of the risk and record all findings.
- Review, assess and revise if required.

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Precept	Adequacy of precept	L	Sound budgeting to underlie the annual precept. Several budget meetings are held in November and December with draft budgets/forecasts discussed. The precept proposal will be put to full council meeting either in November or the following January at the latest. The precept is set on the basis of the budget for the following financial year.	Existing procedures adequate.
	Requirements not submitted to TDC.	L	The figure is submitted by the Clerk in writing to Teignbridge District Council with a copy also sent to the Chair and Vice Chair. The clerk informs all parties once the precept has been agreed.	
	Amount not received.	L	The Clerk informs Council when monies are received(April and September).	Existing procedures adequate.
	Lack of Finances through excess spending	M	Effective insurance arrangements. Control of spend with regular monthly and quarterly reporting. Seek additional income from other sources and Council owned resources.	
Financial Records	Inadequate records	L	The Council has Financial Regulations which set out the requirements.	Existing procedure adequate.
	Financial irregularities	L	Internal and External Audit undertaken annually.	Review the Financial Regulations when NALC recommend changes.
Bank and Banking	Inadequate checks	L	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts. Cheques require two signatories and details of the accounts are reported monthly on the Council meeting minutes. Spot checks half yearly to the Councillor appointed to carry out internal control.	Existing procedure adequate. Review the Financial Regulations as above and bank signatory list when necessary. After an AGM and an election essential.
	Bank errors	L	These are dealt with immediately by informing the bank and awaiting their correction.	Monitor the bank statements on line monthly.

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On-Line Banking	Incorrect Payments made	L	Payments put through the bank are checked against the invoice listed on SCRIBE by the Clerk and then payments, once put through, have to be approved by a second signatory. The payment will also be checked by the second signatory to ensure they are correct and Clerk informed if not.	Existing procedure adequate.
Reporting & auditing	Information communication	L	Council is given at each meeting a copy of all payments and receipts and a bank reconciliation is signed off by a member of council appointed to be responsible for financial monitoring. The Clerk produces a quarterly print out with budget, actual and forecast figures and will report on any issues at the meeting ensuring knows on a quarterly basis the overall picture of finances.	Existing communication procedures adequate.
Direct costs	Goods not supplied but billed. Incorrect invoicing Cheques incorrect	L L L	The Clerk will check with the relevant councillor if goods have been received before putting to council for approval and payment made. Any issues with incorrect invoicing is then picked up so no risk of payment being made without goods being received. Cheques are not used as the norm but do require two signatories with instructions as to what the cheque payment is for the payee and amount so they can check it is correct.	Existing procedure adequate. Review the Financial Regulations as above for any changes that may be required.
Grants and support payable	Power to pay. Authorisation of Council to pay	L L	Power to Spend (using the correct Act and section) before payment is made is checked and entered on to the SCRIBE system. All such expenditure goes through the required Council process for approval as above and per the Grants Policy. If it is a s137 and councillors request this the payment is also ticked separately on the SCRIBE system. All payments are approved at the meetings and minuted as set out above. Grants only available to apply for in May and November.	Existing procedures adequate. Parish Councillors request an S137 rules if required.
Grants receivable	Receipt of Grant	L	If any grants applied for and received the Councillors are informed of such receipt. The councillor responsible together with the Clerk will report back to the grant giver as and when required by the grant giver.	Existing procedures adequate.
Best value accountability	Work awarded incorrectly. Overspend on services	L M	Normal Parish Council practice would be to seek, if possible, three quotations for any substantial work required to be undertaken for goods. This is not always possible due to lack of skilled workers on specific jobs. If a problem is encountered with a contract the Clerk or nominated Councillor would investigate the situation, check the quotation/tender, research the problem and report to the Council.	Existing procedure adequate. Include when reviewing Financial Regulations.

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Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Clerk	Fraud Actions Undertaken	L L	The requirements of the Fidelity Guarantee Insurance to be adhered to Clerk should be provided with relevant training, reference books, access to assistance and legal advice.	Existing procedures adequate. Membership of SLCC & DALC. Also qualified ILCA and FILCA.
Clerk	Clerk Absent for extended period	L	New Guidance Notes and Passwords for all platforms made available to the Chairperson of the Council. This will be held in both locations on a confidential basis.	New procedure adequate.
Election costs	Risk of an election cost	L/M	Risk is higher in election year. When an election is due the Clerk will obtain an estimate of costs from the District Council for a full election and an uncontested election. There are no measures which can be adopted to minimise the risk of having a contested election. Council will budget an amount each year to put aside for election costs in future and if not enough at election time reserves will be used if a full election takes place.	Existing procedures adequate.
VAT	Reclaiming	L	The Council has Financial Regulations which set out the requirements. VAT to be claimed Annually. Clerk to monitor VAT on a regular basis and quarterly claims are made.	Existing procedures adequate.
Annual return	Submit within time limits	L	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 the time limit.	Existing procedures adequate.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M/L	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement.	Existing procedures adequate. Review provision and compliance annually.
Community	Lack of credibility within the community	M	Action communication of information on the website, Facebook and noticeboards. Prompt publication of minutes. Arrange Public meetings when necessary.	Existing procedures adequate.
Freedom of Information Act	Policy Provision	M M	The Council will adopt the model publication scheme for Local Councils as a published by the ICO as at 01.05.26. There is currently a FOI Policy a Data Protection Policy. The Council commits to make information available to the public as part of its normal business activities. Information that is not published under this scheme may be requested under the Freedom of Information Act.	Monitor and report any impacts of requests made under the Freedom of Information Act or Data Protection Act.

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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 within the powers of the Parish Council to be resolved and minuted at Parish Council Meetings.	Existing procedures adequate
Minutes/ Agendas/ Notices Statutory documents	Accuracy and legality Non-compliance with statutory requirements	L L	Minutes and Agendas 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 legal requirements. Business conducted at Council meetings should be managed by the Chair.	Existing procedures adequate. Undertake adequate training. Members to adhere to Code of Conduct.
Members interests	Conflict of interest Register of members interests	M L	Councillors have a duty to declare any interest at the meeting. Register of Members interest forms to be reviewed at least on an annual basis.	Existing procedures adequate. Members take responsibility to update the register.

PHYSICAL EQUIPMENT OR AREAS				
Subject	**Risk(s) Identified**	**H/M/L**	**Management/Control of Risk**	**Review/Assess/Revise**
Assets	Loss or Damage Risk/damage to third party(ies)/property Accident on Council owned land	L L M	An annual review of assets is undertaken for insurance provision approx. increase 10% cover and maintenance provisions in budget. Cllr appointed to lead this. Effective public liability insurance. Monitoring of condition, regular inspection and monitoring as required under rules and procedures of that particular areas. EG Playpark inspected weekly and annually.	Existing procedures adequate Existing procedures adequate
Maintenance	Poor performance of assets. Risk to third parties	L L	All assets owned by the Parish Council will be regularly reviewed and maintained. All repairs and relevant expenditure for these repairs are actioned/authorised in accordance with the correct procedures of the Parish Council. All assets are insured and will be reviewed annually. All public amenity land is inspected regularly.	Existing procedures are only visual if this is not adequate ensure further inspections carried out.
Council records - paper	Loss through theft, fire, damage	L	The Parish Council records are stored at the Clerks home in lockable drawers, bookcases. Older historical data is kept in a locked container. All records are also kept on line in the cloud and desktop so back-up copies available.	Damage is unlikely so provision adequate.
Council records - electronic	Loss through theft, fire, damage corruption of computer	L M	The Parish Council's electronic records are stored on the Parish Council's lap top computer via the Cloud which is a secure system which is backed up by 3 separate servers. The SCRIBE system is also Cloud based and has own policy re: data which is attached to this document.	Back-up of electronic files produced regularly.

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Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Health and Safety	Parish Council Office Parish Council Activities	L L	Premises and facilities are considered to be adequate by the Clerk. Meetings held in Methodist Hall and the Hub which is considered adequate. Risk assessments to be carried out for any new activities and events. Public liability Insurance held. The council to ensure that any activity undertaken is covered by insurance.	Existing location adequate. Existing location adequate. Existing procedures adequate.

The information above was agreed and approved at the meeting of Shaldon Parish Council on 24 March 2026 and will be agreed annually as being a correct record.

SIGNED

VICE-CHAIRPERSON _____

DATE _____

PROPER OFFICER _____

DATE _____

Signed copy is available from the Clerk.