

**ALVINGTON PARISH COUNCIL
RISK MANAGEMENT SCHEDULE
ADOPTED 05/09/2018**

Definition of Risk Management

Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements.

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. The Council is aware that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic and focuses approach to managing risk, which:

- Identifies the key risks facing the council
- Identifies what the risk may be
- Identifies the level of risk
- Evaluates the management and control of the risk and records findings
- Reviews, assesses and revises procedures if required.

MANAGEMENT

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Business Continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	L	All files and recent records (aside from a small collection of Playing Field documents, which are stored securely in a councillor's private residence) are kept at the clerk's home either in a paper filing system or on the council's Dropbox cloud storage. The clerk makes a backup of files at least every month to an external hard drive. In the event of the clerk being indisposed the Chairman to contact SLCC Secretary for advice.	Review when necessary Ensure procedures below are undertaken
Meeting location	Adequacy Health and Safety	L	Meetings are held in the Memorial Hall. The premises and facilities are maintained by the Memorial Hall Trust.	
Council Records	Loss through theft, fire, damage	L	Some older records are retained at the County archives. Papers, less than 6 years old, are stored in clerk's home	Damage or theft is unlikely and so provision adequate.
Council Records electronic	Loss through damage, fire, corruption of computer	M	The Parish Council's electronic records are stored on a secure and robust cloud storage system. Back-ups of the files are taken at least monthly and are checked to ensure readability of data. Adequate antivirus protection is in place on the Clerk's computer, which is also secured via passcode access.	Provision is adequate but it is important to regularly review security and storage in order to take full advantage of emerging technologies.

FINANCE

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
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Precept	Adequacy of precept	L	Sound budgeting to underlie annual precept. The	Existing procedure
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			Parish Council regularly receives budget update information and detailed budgets in the late autumn. The precept is an agenda item at the January meeting.	adequate
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L L	An annual review is undertaken of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement	Existing procedure adequate Review provision and compliance annually
Banking	Inadequate checks	L	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts	Existing procedures adequate Review Financial Regulations as necessary
Cash	Loss through theft or dishonesty	L	The Council has no petty cash or float. Transactions are made or paid by cheque.	Existing procedures adequate
Financial controls and records	Inadequate checks	L	Quarterly reconciliation checked by Parish Council. Two signatories on cheques. Internal audit. Any payments must be resolved and clearly minuted. Any s137 payments must be recorded at time of approval.	Existing procedures adequate
Freedom of Information Act	Policy Provision	L L	The Council has a model publication scheme for Local Councils in place. There have been no requests for information to date. The Council is able to request a fee if the work will take over 15 hours. However, the request can be resubmitted, broken down into sections, thus negating the payment of a fee.	Monitor and report any impacts made under Freedom of Information Act
Clerk	Fraud Actions undertaken Salary paid incorrectly	L L L	The requirements of Fidelity Guarantee insurance must be adhered to Clerk should be provided with relevant training, reference books, access to assistance and legal advice Internal Auditor check	Include in financial statement when setting precept Existing procedure adequate Membership of SLCC Monitor working conditions and hours of work
Election Costs	Risk of election cost	M	Risk is higher in an election year. There are no measures which can be adopted to minimise risk of having a contested election. A contingency fund is available to meet the costs.	Include in financial statement when setting precept
VAT	Re-claiming/charging	L	The Council has financial regulations which set out the requirements	Existing procedures adequate
Annual return	Not submitted within time limits	L	Annual return is completed as soon as possible and approved by the Council at the May meeting each year, submitted to the Internal Auditor for completion and signing, then signed by the Chairman at the June meeting, and the exemption certificate sent to the External Auditor in good time.	Existing procedures adequate



ASSETS				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Street Furniture/ Dog Bin/Litter Bin	Loss or Damage Risk/damage to third party(ies)/property	L	Parish Council has 1 garden seats, 1 bus shelter, and 4 dog bins as listed in the Asset Register. A review of assets undertaken periodically, but at least annually for Insurance provision and maintenance. All repairs and relevant expenditure for these are actioned in accordance with correct procedures	Existing procedure adequate Ensure inspections are carried out
Notice Board/Descriptive Panels	Loss or Damage Risk/damage to third party/parties/property	L	Parish Council has one Notice Board (A48, adjacent to the village bus shelter) Monthly regular inspection when displaying Notices for meetings	Existing procedure adequate Ensure inspections are carried out
Signage	Loss or damage Risk/damage to third/ parties/property	L	Monthly inspection A review of assets undertaken periodically, but at least annually, for insurance provision and maintenance. All repairs and relevant expenditure for these are actioned in accordance with correct procedures	Existing procedure adequate Ensure inspections are carried out
Office Equipment	Loss or Damage	L	A review of assets undertaken periodically, but at least annually, for insurance provision and maintenance. All repairs and relevant expenditure for these are actioned in accordance with correct procedures. Adequate antivirus protection is in place.	Existing procedure adequate
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 made within the powers of the Parish Council (not ultra viries) and to be resolved and clearly minuted.	Existing procedures adequate.
	Working Parties taking decisions	L	Ensure established with clear terms of reference.	Ensure terms of reference are adequate for decision-making needs. Monitor on a monthly basis

Minutes/ Agendas/ Statutory documents	Accuracy and legality Non-compliance with statutory requirements	L L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements Minutes are approved and signed at next meeting Minutes and agendas are displayed according to legal requirements Business conducted at Council meetings should be managed by chair	Existing procedures adequate Undertake adequate training Members to adhere to Code of Conduct
Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessment of any individual event undertaken	Existing procedures adequate
Employer liability	Non-compliance with employment law	L	Undertake adequate training	Existing procedures adequate
Legal Liability	Legality of activities	M	Clerk to clarify legal position on proposals and to seek advice if necessary	Existing procedures adequate
	Proper and timely reporting via Minutes Proper document control	L	Council always receives and approves minutes at monthly meetings	Existing procedures adequate
		L	Current clerk has received training on this aspect.	Establish retention of document policy.
COUNCILLORS PROPRIETY				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Members Interests	Conflict of interest	M	Councillors have a duty to declare any interest at the start of the meeting	Existing procedures adequate
	Register of Members Interests	L	Register of Members' Interests form to be reviewed at least on an annual basis	Members to take responsibility to update their register
Date of review :				
Minute no:				

RISK SCHEDULE

ITEM	FREQUENCY	LAST REVIEWED	COMMENTS / ACTIONS
Assets inspection	Annually		To be undertaken before end financial year
Financial Matters Banking Arrangements Insurance Providers VAT return completed Budget agreed Precept requested: Bank reconciliation overseen by Councillors Clerk's salary reviewed and documented Internal audit Internal check of financial procedures	Annually Annually Annually Annually Annually Quarterly Annually Annually Annually	Not known June 2018 March 2018 April 2018 April 2018 Ongoing May 2018 June 2018 Not known	For review June 2019 March 2019 Nov 2018 Dec 2018 Ongoing March 2019 May 2019 March 2019
Administration Minutes properly numbered Asset register available/updated Financial Regulations reviewed Standing Orders reviewed Backups taken of computer records	Monthly Annually Annually Annually Monthly	Ongoing May 2018 June 2018 May 2018	For review May 2019 For review May 2019
Employers Responsibilities Contract of employment in place Contractors Indemnity Insurance	Annually Annually	April 2018 June 2018	For review April 2019 For review June 2019
Members' responsibilities Code of Conduct adopted Register of Interests completed and updated Register of Gifts/Hospitality Declarations of Interests minuted	Ongoing Ongoing Ongoing Ongoing	May 2018	For review May 2019
Date of review :		Minute no:	