****

**Parish Council Risk Management Scheme**

This risk management scheme offers a systematic general examination of working conditions, workplace activities and environmental factors that will enable Osbaston Parish Council to identify all potential risks it may face and offers all practical steps to reduce or eliminate the risks, insofar as is practically possible, whilst accepting that some risks can never be fully eliminated.

This Risk Management Scheme will be re-adopted annually.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **FINANCE** | | | | |
| **Subject** | **Risk(s) identified** | **H/M/L** | **Management/Control of Risk** | **Review/Assess/Revise** |
| Precept | Adequacy of precept  for the Council to  carry out its Statutory duties | L | Careful financial planning and forward planning will steer the precept-setting process.  Councillors receive monthly finance statements and quarterly budget updates to check income and expenditure.  Draft precept considered at December meeting and confirmed at January meeting when Council receives from the Clerk the current budget position, projected forecast to year end and indicative costings for next year. The resolved precept amount to be requested from HBBC. | Existing procedure adequate. |
| Insurance | Adequacy  Cost  Compliance  Fidelity Guarantee | L  L  L  M | Asset register is updated annually and is available on Parish Council website. An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity within policies. Ensure compliance measures are in place. Fidelity checks in place. | Existing procedure adequate.  Insurance reviewed annually. |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Best Value Accountability | Work awarded incorrectly  Overspending on services | L  M | Adopted procurement policy stipulates 3 quotes above work totalling £300.  For major work, competitive tenders are produced and advertised by the Clerk | Existing procedures adequate |
| Bank and banking | Inadequate checks  Banks mistakes  Banking Loss of signatories (paper) | L  L  L | The Council has up to date Financial Regulations which set out banking requirements  Monthly reconciliation  Six signatories are currently held to ensure that three signatories are always available | Existing procedure adequate  Existing procedure adequate |
| Financial  Records | Inadequate records  Financial irregularities | L  L | The Council has Financial Regulations which sets out the requirements.  Councillors check all payments and budget spending and resolve to adopt the monthly financial statements and quarterly budget updates. | Existing procedure adequate  Regular review of Financial Regulations |
| Reporting and auditing | Information communication | L | Financial information is a standing item on the agenda Finance Report as well as quarterly budget monitoring sheets are reviewed and approved at each meeting. | Existing procedures adequate. |
| Grants | Receipt of grant  Power to pay  Authorisation of Council to pay | L  L | Clerk informs the Council when the monies are received.  Council has adopted Grants and Donations policy, complimented by an application process. All expenditure will go through the required Council process of approval, minuted and listed accordingly if a payment is made using S137 powers of expenditure. | Existing procedures adequate |
| Charges-rents receivable | Payment of rents | L | The Parish Council collects allotment rents in April each year. Allotment holders have signed agreements in place. | Existing procedure adequate |
| Salaries and assoc. costs | Salary paid incorrectly.  Unpaid Tax to Inland Revenue. | L  L | External payroll services employed each month.  External payroll services employed each month. | Existing procedure adequate.  . |
| VAT | Reclaiming/charging | L | The Council has Financial Regulations which set out  the requirements. Clerk claims VAT on a quarterly basis | Existing procedures adequate |
| Annual Return | Submit within time limits | L | The Annual return is completed and submitted online within the prescribed timeframe by the Clerk.  Annual Return completed and signed by the Council, submitted to internal auditor for completion.  Council contracts an external auditor service via Screatons | Existing procedures adequate. |
| Best value accountability | Work awarded  Incorrectly.  Overspend on services. | L  M | A procurement policy has been adopted to specify procurement process. Normal Parish Council practice would be to seek more than one quotation for substantial work to be undertaken. Clerk would investigate any problems with contracts and report back to the Council. | Existing procedure adequate.  Include when reviewing Financial regulations. |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **ASSETS** | | | | |
| **Subject** | **Risk(s) identified** | **H/M/L** | **Management/Control of Risk** | **Review/Assess/Revise** |
| Defibrillator – Barton Road | Public Injury  Damage  Loss | M  M | Fortnightly checks Covered by public liability insurance. | Review procedures annually / Assessment Required |
| Noticeboards | Injury  Damage  Loss | L | Located in areas away from high passing footfall  Public Liability Insurance in place | Existing procedures adequate |
| Bus Shelter | Equipment Failure Damage  Loss | L | Fixed Asset Register updated as required  Adequate security at Clerks home  Employers’ Liability Insurance in place | Existing procedures adequate |
| Benches | Equipment Failure | M | Adequate reserves in budget to cover repair costs. Long term plan to replace with new models. | Existing procedures adequate |
| Streetlights | Equipment Failure | L | LCC service level agreement maintains and repairs streetlights were necessary. | Existing procedures adequate |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **MANAGEMENT AND LIABILITY** | | | | |
| **Subject** | **Risk(s) Identified** | **H/M/L** | **Management / Control** | **Review / Assess / Revise** |
| Meeting locations | Adequacy  Health & Safety | L  M | The Parish Council meeting is held in a venue considered to have appropriate facilities for the Clerk, Council members and the public. | Existing procedures adequate |
| Public Liability | Public Liability Risk to third party, property, or individuals | M | Suitable insurance in place  Risk assessments carried out for all Council activities | Review annually |
| Employer Liability | Non-compliance with employment law | L | Suitable Insurance in place. Clerk to undertake relevant training to keep knowledge up to date | Review annually |
| Legal liability | Legality of activities  Proper and timely reporting via Minutes  Proper document control | M | Clerk to clarify legal position on proposals and clarify situation if necessary. Suitable Insurance in place. Retention of Documents Policy in place | Assessment needed |
| Employees | Fraud by staff  Health and safety  Absence of staff & inability to conduct council business | L  L  M | Requirements of Fidelity Guarantee insurance adhered to with regards to fraud.  All employees to be provided adequate direction and safety equipment needed to undertake their roles.  Details of passwords left in the possession of Chair. Use of LRALC for support and to source Locum Clerk. | Existing procedures adequate.  Monitor H&S requirements and insurance annually.  Existing procedures adequate. |
| Councillors | Having more than 7 vacancies at any one time and being inquorate | L | When a vacancy arises follow correct legal processes. Ensure appropriate action is taken to try and co-opt members onto the Council. | Annually |
| Freedom of Information | Policy  Provision | L  M | The Council has a Model Publication scheme in place. To date there has been no requests under FOI.  The Parish Council is aware that if a substantial request came in it could create many additional hours work. The Parish Council can request a fee to supplement the extra hours. | Monitor any requests made under FOI |
| Data protection | Policy provision | L | The Parish Council is registered with the Information Commissioner’s Office to comply with GDPR. | Ensure annual renewal of registration |
| Legal Powers | Illegal activity or payments | L | All activity and payments within the powers of the Parish Council to be resolved at full Council Meetings, including reference to the power used under the Finance section of Agenda and Finance report monthly. Clerk has been CiLCA trained. | Existing procedures adequate |
| Minutes/Agendas/  Notices Statutory  Documents` | Accuracy and legality  Business conduct | L  L | Minutes and Agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting.  Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair. | Existing procedures adequate.  Members adhere to Code of Conduct |
| Members interests | Conflict of interests  Register of members interests | L  L | Declarations of interest by members at Council meetings as a standing order on the agenda.  Register of members interest’s forms reviewed regularly. Register of members interest’s form available on Parish Council website. | Existing procedures adequate.  Members take responsibility to update register. |
| Maintenance | Inferior performance of assets or amenities | L | All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for any repair is actioned/authorised in accordance with the correct procedures of the Parish Council. Assets are insured. | Existing procedures adequate |
| Election Costs | The need to pay for an election when seats are contested | L | Council has adequate reserves to cover the cost of an election. A budget item will be allocated each election year | Review When Necessary |
| Keeping Council records - Paper | Loss through theft, fire or damage | L | The Parish Council records are stored at the home of the Clerk. Records include historical correspondences, minutes, insurance, bank records. The documents are stored in a lockable filing cabinet. | Damage (apart from fire) and theft is unlikely and so provision is adequate. |
| Keeping Council records - Electronic | Loss through theft, fire or damage or corruption of computer | L | The Parish Council’s electronic records are stored on the Council laptop held with the Clerk at his home, on Cloud and on a memory stick in a fire proof safe.  Backups of electronic data are made at regular intervals. | Existing procedures considered adequate |

**Risk Assessment Adopted at Full Parish Council Meeting TBC**

**Minute Reference: TBC**