

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 Sutton Cheney 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 and is subject to change.

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 steer the precept-setting process. Councillors receive quarterly budget updates and monthly finance statements to check income and expenditure. Draft precept considered in December and confirmed at January meeting when Council receives from the Clerk 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	Updated asset register is kept and available on Parish Council website. An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity and within policies. Ensure compliance measures are in place. Fidelity checks in place.	Existing procedure adequate. Insurance reviewed annually.
Best Value Accountability	Work awarded incorrectly	L M	Procurement policy adopted that requires 3 quotes above work totalling £300.	Existing procedures adequate

	Overspending on services		For major work, competitive tenders are produced by the Clerk	
Bank and banking	Inadequate checks	L	The Council has Financial Regulations which set out banking requirements	Existing procedure adequate
	Banks mistakes	L	Monthly reconciliation	Existing procedure adequate
	Banking Loss of signatories (paper)	L	Six signatories are currently held to ensure that three signatories are always available	
Financial Records	Inadequate records	L	The Council has Financial Regulations which sets out the requirements.	Existing procedure adequate
	Financial irregularities	L	Councillors check all payments and budget spending and resolve to adopt the monthly financial statement	Regular review of Financial Regulations
Reporting and auditing	Information communication	L	Financial information is a regular agenda item (Finance Report as well as quarterly budget monitoring sheets) and discussed/reviewed and approved at each meeting.	Existing procedures adequate.
Grants	Receipt of grant	L	Clerk informs the Council when the monies are received.	Existing procedures adequate
	Power to pay Authorisation of Council to pay	L	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.	
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.	L	External payroll services now employed each month.	Existing procedure adequate.
	Unpaid Tax to Inland Revenue.	L		.

VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out The requirements.	Existing procedures adequate
Annual Return	Submit within time limits	L	Employers 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 currently exempt from external audit.	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
Dadlington Village Green, Sutton Cheney Allotments and Shenton War Memorial	Public Injury Damage Loss	M M	Quarterly checks on benches and dog / litter bins. Trees independently inspected once every 3 years. 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
Office equipment	Staff injury Damage Loss	L	Fixed Asset Register updated as required Adequate security at Clerks home Employers' Liability Insurance in place	Existing procedures adequate
Speed Monitoring Signs	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	L	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
	Health & Safety	M		
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	L	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.	Existing procedures adequate. Monitor H&S requirements and insurance annually. Existing procedures adequate.
	Health and safety	L		
	Absence of staff & inability to conduct council business	M	Details of passwords left in the possession of Chair. Use of LRALC for support and to source Locum Clerk.	
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	L	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	Monitor any requests made under FOI
	Provision	M		

			Parish Council can request a fee to supplement the extra hours.	
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	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.	Existing procedures adequate.
	Business conduct	L	Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair.	Members adhere to Code of Conduct
Members interests	Conflict of interests	L	Declarations of interest by members at Council meetings as a standing order on the agenda.	Existing procedures adequate.
	Register of members interests	L	Register of members interest's forms reviewed regularly. Register of members interest's form available on Parish Council website.	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 SCHEDULE				
ITEM	FREQUENCY	LAST REVIEW	NEXT REVIEW	COMMENTS / ACTIONS
Asset Inspection: Dadlington Village Green Sutton Cheney Allotments Shenton War Memorial Streetlights Noticeboards Parish Owned Trees	Quarterly (Clerk) Quarterly (Clerk) Quarterly (Clerk) Quarterly (Clerk) Quarterly (Clerk) Once every 2 years	July 2020 July 2020 July 2020 July 2020 July 2020 November 2018	October 2020 October 2020 October 2020 October 2020 October 2020 November 2020	Records kept securely at Clerks Address
Parish Council Insurance including: Public Liability Employers Liability Fidelity Guarantee Personal Accident Fixed Assets	 Annual Annual Annual Annual Annual	 June 2020 June 2020 June 2020 June 2020 June 2020	 June 2021 June 2021 June 2021 June 2021 June 2021	Asset Register updated June 2020 against renewal premium.

Financial Matters				
Banking Arrangements	Annually	February 2020		
Insurance Providers	Annually	June 2020		
VAT Returns	Annually	January 2020		
Budget Agreed	Annually	January 2020		
Precept Requested	Annually	January 2020		
Bank Reconciliation	Monthly	May 2020		
Budget Monitoring	Monthly	May 2020		
Salary Review	Annually	May 2020		
Internal Audit	Annually	March 2020		
Internal Controls	Annually	May 2020		
Financial Regulations	Annually	May 2020		

Risk Assessment Adopted at Full Parish Council Meeting July 2020

Minute Reference: