

Mabe Parish – Risk Assessment schedule 2019

Definition of Risk Management: Risk is the threat that an event or action will adversely affect an organisations ability to achieve its objectives and 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. In conducting this exercise the following plan was followed.

- Identify the areas to be reviewed
- Identify what the risks maybe
- Evaluate the management and control of risk and record findings
- Review, assess and revise as necessary.

MANAGEMENT

Subject	Risk Identified	H/M/L	Management/ control of risk	Review/assess/ revise
Business Continuity	Council not being able to continue business due to tragic or unexpected circumstance	M		Consider basic Business Continuity plan. Ensure all council processes are followed & policies up to date
	Councillor numbers inquorate	L	Standing Orders specify the number of councillors for a quorum. The Clerk should make arrangements for a new meeting	Keep vacancies up to date, active recruitment & fixed meetings times agreed
	Loss of clerk – short term	M	In absence of clerk, the Council may delegate powers to a member/s of the Council	Advice sought from responsible officer/clerk at another parish or from past position holder.
	Long term	L	The Council would make arrangements for either a temporary or permanent replacement, as appropriate	Recruitment procedures put into place CALC to be notified to see if a temporary clerk can be provided for any substantial period
	The Council fails to act in a lawful manner.	M	Establish Clear terms of reference. Refer to Standing Orders/ Financial Regulations if necessary. Provide additional training opportunities to ensure up to date information being used	Powers should be minuted if used.

Subject	Risk Identified	H/M/L	Management/ control of risk	Review/assess/ revise
Employer Liability	Legality of activities	L	Clerk clarifies the legal position and takes advice when needed	Check relevance of policy annually
	Proper and timely reporting via minutes	L	Council receives and agrees minutes at monthly meetings	Minutes agreed and signed each month.
	Proper document control	L	Retention of documents policy in place	
Legal Liability	Risk to third party property or individuals	L	Insurance is in place, risk assessments of individual events/asset is undertaken	Check relevance of policy annually
	Legal liability as a consequence of asset ownership			
Public Liability	Risk to third party property or individuals	L	Insurance is in place, risk assessments of individual events/asset is undertaken	Check relevance of policy annually
	Legal liability as a consequence of asset ownership			
Annual Returns	Not submitted within the time limit	L	Annual return completed and signed by the council, submitted to the internal auditor for completion. Checked and sent on to the external Auditor	Annual Return to be logged on receipt & timetables for appropriate meetings Summary emailed when posted in case of loss. Receipt from External Auditor requested.
Minutes, Agendas and standing documents	Meeting timetables and consultation timescales must be as laid down by law.	L	Clerk to place agendas on Notice Board the correct number of days in advance	Calendar of meetings compiled at the annual meeting.
	Working parties taking decisions	L	Refer to Standing Orders/ Financial Regulations if necessary.	Clerk to attend all relevant training including local & national conferences if at all possible
	Accuracy and legality	M	All meeting actions are minuted, and planning observations submitted online. Minutes and agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed off at the next meeting. Minutes and agendas are displayed according to legal requirements. Business conducted at the council is managed by the chairman	Annual reviews of Standing Orders, Financial Reg & Safeguarding to take place.
	Non Compliance with Statutory requirements	L		Other policies on scheduled review cycle. Clerk to read & distribute as necessary all legal notices coming through CALC

Minutes cont.	Breach of Confidentiality	L	The Parish Council is registered under the Data Protection Act Procedures for dealing with confidential agenda items Inc. tender bids	Annual registration with ICO set up Review within confines of Financial Regulations
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FINANCIAL

Subject	Risk Identified	H/M/L	Management/ control of risk	Review/assess/ revise
Financial Control & Records	Inadequate checks being undertaken	L	Accounting records must be maintained, in accordance with statutory requirements	checked by named councillor prior to full council approval
		L	2 Signatures on each cheque, initialled cheque stub and invoices to validate the amount being spent	clerk to ensure this happens at signature, if missed then to happen asap
	Internal Audit of Financial Controls	H	Internal checking done by nominated councillor. Random checking of financial processes & paperwork undertaken.	Internal Financial Controls risk assessment documents reviewed annually by Finance Committee.
	Illegal activity or payments	M	All activities and payments made within the powers of the parish council, resolved and clearly minuted.	Relevant annual subscriptions & training purchased.
	Ensure all the requirements of employment law, Inland Revenue & VAT regulations are complied with, and that Clerk's salary is in accordance with adopted scales	L	Quarterly returns on PAYE and NI, and annual VAT reclaims, to be submitted. All financial commitments must be agreed by councillors before payment Section 137 Payments must be noted as such at the time of authorisation and recorded as such at that time	Vat claims processed according to spend; may need to be more frequent with S106 projects Items for payment standard line on agenda & read out at each meeting for agreement. Grants/ Donations to be clarified. Level of Section 137 available to be noted each year.
Precept	Adequacy of precept	L	Sound budgetary to back up the council's annual budget Precept is an agenda item at the December meeting	Regular budget monitoring report to Full Council Budget & Precept approval by full Council, and monthly budget monitoring statements
Banking	Inadequate checks being undertaken	L	Council's financial regulations set out the requirements for Banking & cheque reconciliations	Financial internal controls put in undertaken

Banking cont.		L	Statements verified on a monthly basis with all monies in & out accounted for	Independent councillor to check all payments made against statements
		L	All payment out backed up with invoices/ receipts	All invoices/ receipts must be attached to the payment requests each month.
Cash		L	Minor cash payments made to clerk for services rendered have receipts issued & are banked immediately.	Numbered receipt book reconciled to for services rendered have receipts
		L	AED collection tin payments are banked monthly	Bank receipt attached to cheque book
VAT	Reclaiming I Charging not taking place appropriately	L	The council has procedures for claiming VAT	VAT noted on monthly Bank Reconciliation. Annual VAT reconciliation produced for internal audit.

ADMINISTRATION

Subject	Risk Identified	H/M/L	Management/ control of risk
Health & Safety	Suitable checks & records not in place	H	No Risk Assessment adopted by council. Records of all information relating to Health & Safety & adequate Risk Assessments kept on file.
Data Protection Policy	Personal/private information kept/used without cause or longer than necessary	M	Council is registered with the Information Commissioners Office. Policy documents made available on website
GDPR	Retention & use of personal data	M	Council instigating new policies Data audit taking place of all historic held information
Freedom of Information Act	Requested not dealt with or not dealt with fast enough	H	The Council has a model publication scheme for local councils in place. Update in light of GDPR
Transparency Code and accountability	The Council has adopted the Transparency Code for Smaller Authorities in accordance with the Local Audit and Accountability Act 2014	L	Code adopted and being worked to on daily basis. All information available on website.
Meeting Location	Availability	L	Meetings are held on the 2 nd Thursday in the month at Mabe Village Hall. Pre booked annually in advance.
	Adequacy	L	Venue gauged to be sufficient for volume of attendees.
	Health and safety	M	Visual check to venue made by clerk before each meeting

Council Records	Loss through theft, Fire and Damage	L	Working papers to be held securely with clerk. Provision of secure storage advisable.
	Historic Records	L	Wherever possible important/essential documents scanned before filing.
		L	Hard-drive for backup of all historic records in line with retention policy.
		L	Minutes stored with County Archive (if possible).
	Access to documents restricted	M	Cloud storage available from anywhere with internet access (& suitable passwords) .
	Loss through damage, fire or corruption of Computer	M	Computer backup procedures (daily copy of all data) are in place using internet storage (box.com).
	Electronic Security: Passwords	M	List of passwords & sites used kept by clerk in electronic form (protected).
	no virus protection	L	Virus Protection in place. Regular scans and system upgrades undertaken to ensure viability of system
	No access to records if clerk is ill/ unavailable	L	Login details & passwords held by chairman. All files & documents to be updated to cloud storage asap.
Elections	Risk of election	L	Risk is higher in an election year. No factors to mitigate this risk
Members Interests	Conflict of interest	L	Councillors have a duty to declare any interest at the start of the meeting. Forms available from clerk.
	Procedures required for the recording and monitoring of members' interests, gifts and hospitality received	L	Code of Conduct signed, and Register of Interest completed, by each Councillor
	Breach of Confidentiality	L	The Parish Council is registered under the Data Protection Act Procedures for dealing with confidential agenda items Inc. tender bids
Personnel Issues	Salaries	L	Clerk's salary to be reviewed annually, in line with NALC/SLCC guidelines. SLCC/NJC payscale updates reviewed
	Protection against unfair dismissal claims	L	Grievance & Appeals procedures in place
	Pension	L	Pension position regularly checked in line with statutory levels
	Personal accident, or assault, to Members or Clerk	L	Members and Clerk advised not to work alone on Council business. Personal accident (including assault) and Employers Liability insurance in place
	Work related stress	L	Annual staff appraisals. Staffing committee in place to deal with staffing matters. The Council respects the potential impact of staff of increased works load and monitors through consultation with staff .

Personnel cont.	Staff Working Conditions and equipment	L	Clerk to monitor. Purchase of additional materials to provide adequate conditions at clerk's discretion.
	Other staff welfare issues	L	The Council are aware of their responsibilities and will act in accordance with recommendations from the health and safety officer

ASSETS AND PROPERTY

Subject	Risk Identified	H/M/L	Management/control of risk	Review/assess/ revise
Assets	Loss or damage/risk/damage to third parties or to property	L	An asset register is kept up to date and insurance is held at the appropriate level for all items. No inspection process is in place.	Assets checked regularly (physically and against register). Annual site inspection takes place by clerk towards maintenance schedule
Maintenance	Poor performance of assets or amenities.	M	All assets are owned by the Parish Council are regularly reviewed and maintained.	All assets are insured and reviewed annually
	Loss of income or performance	M	All repairs and relevant expenditure for these repairs are authorised in accordance with Parish council procedures.	Confirm insurance provisions
	Risk to third parties	L	Regular schedule of maintenance & what emergency provisions are made	Note any public concerns & rectify asap
Open Spaces/ footpaths	Secondary users reporting issues	M	Contract for maintenance appropriate for site	Contract & completing reviewed regularly
	Upkeep not to contract level specified	M	Ad hoc checks on level of service undertaken	Checks done as works reported. Where significant ongoing item then clerk/councillors may perform on-site inspections
Street Furniture (inc bus shelter)	Risk / damage/ injury to third parties	L	Regular checks are made on all equipment by members of the council. Parish Council has one notice board.	Content of noticeboards & suitability assessed Overview in passing - any matters reported
		L	Regular assessment visits by the clerk/ councillors	Bi-annual review of street furniture undertaken and recorded.
		L	Members of the public and councillors report issues to the clerk which are dealt with.	