

EYTHORNE PARISH COUNCIL

RISK MANAGEMENT STATEMENT 2020 – 2021

1. PHYSICAL ASSETS			
Risk	Control	Status	Action
a) Loss or significant damage to assets	i. Register of assets	In place	An Asset Register has been compiled. Equipment is included at replacement value
	ii. Street furniture and equipment insured and value adjusted annually	In place	Insurance valuations carried out April 2018. Valuations carried out every 3 years with the next due in 2021
	iii. Items on insurance to be checked against Asset Register	Done	
b) Damage/decay of assets due to lack of maintenance/attention	i. Regular maintenance arrangements for physical assets (to cover security and fire safety)	Arrangements in place for the inspection of street furniture and notice boards	An annual check of assets to be made for insurance purposes
	ii. Monthly/Annual safety inspection and risk assessments to be carried out for street furniture, notice boards etc.	Checked monthly	Monthly inspection to be carried out by Handyman and reported to Clerk

2. FINANCIAL			
Risk	Control	Status	Action
a) Inadequate financial controls and/or records	i. Standing Orders and Financial Regulations in place with annual review	In place	New NALC Model Standing Orders (amended) adopted 2019. Financial Regulations reviewed annually.
	ii. Regular bank reconciliation's (done monthly by the Clerk) approved by two Councillors not authorised to sign cheques	In place	Cllr Morgan-Lovett and one other Councillor will approve accounts. Where possible if the Councillor is an authorised signatory they will not sign the cheques for that month
b) Loss through fraud, corruption or collusion	i. Approval of expenditure and system for payments/receipts: - Approval by the Council required	In place	Financial Regulations reviewed and adopted 2012 cover all these risks. Reviewed annually. Councillors appointed for cheque signing are Cllr

	<p>before any expenditure is incurred (committed). If a transaction has to be completed between Council meetings, approval by the Chairman or Vice-chairman is required</p> <ul style="list-style-type: none"> - Payments or commitments made between meetings ratified at the next meeting by the Councillors - Cheques signed by two Councillors and cheque stubs - Monies received paid into bank immediately and receipts issued if necessary - Accounts checked half yearly by a Councillor who is not authorised to sign cheques as part of internal control 		<p>Whitehead, Cllr Ledger, Cllr Morgan-Lovett and Cllr Butcher</p> <p>Cllr Morgan-Lovett and one other Councillor will be appointed for half yearly account check and monthly payments report check against invoices. Where possible, if the Councillor is an authorised signatory they will not sign the cheques for that month.</p>
	ii. Payments approved by Council meeting – documentation (invoices, cheques, amounts etc.) checked at same meeting by Councillors not authorised to sign cheques	In place	Cllr Morgan-Lovett and one other Councillor will approve payments. Where possible if the Councillor is an authorised signatory they will not sign the cheques for that month.
	iii. Annual review of effectiveness of internal audit and system on internal control	In place	Professional Internal Auditor appointed and review carried out annually. Next review 2021.
c) Non-compliance with legislation on employer/ee liability	i. Insurance is in place for employees.	In place	Insurance cover year 3 ends May 2021.
d) Non-compliance with HM Revenue and Customs	i. Regular returns to Inland Revenue by Clerk	In place	Monthly payroll runs carried out and quarterly payment made to HMRC.
e) Non-compliance with HM Revenue and Customs regulations	i. Regular returns of VAT – returns made annually at the end of the financial year	In place	Annual VAT return completed.
f) Inadequate budgetary control. Significant over/under spend	i. Regular budget monitoring – expenditure against budget monitored quarterly and reported to Council.	In place	Quarterly reports to be presented to Council in accordance with Financial Regulations.
g) Non-compliance with borrowing	i. Procedures for dealing with, and	Not applicable	Currently no loans

regulations	monitoring loans received		
h) Inappropriate use of funds granted to the community	i. Procedures for dealing with, and monitoring of, grants made by the Council: - accounts of the organisation and purpose of the grant to be submitted with the request - grant made on receipt of invoice/performance invoice - for match funding, accounts to be submitted and checked	Not applicable	Currently no grants made by the Parish Council A formal grant awarding policy to be adopted by the Council if this happens.
i) Inadequate control and/or poor performance/standards under grants/partnership agreements	i. Monitoring of partnership standards and/or performance	Not applicable	Currently no partnership agreements are in place.
j) Damage/injury to third party property or individuals	i. Public Liability insurance cover is in place	In place	Insurance cover year 3 ends May 2021.
	ii. Annual review of land maintenance contracts	In place	Specification of works for grounds maintenance and tree maintenance with idverde.
	iii. Verification of insurance cover of service suppliers when contract given	In place	All contractors will be asked to provide evidence of Public Liability Insurance.
k) Non-compliance with 'Employer Liability' requirements	i. Compliance with Employment Laws – employer liability insurance	In place	
	ii. Compliance with Disability and Discrimination Act	In place	Equal Opportunities policy adopted Dec 2014.

3. COMPLIANCE WITH LEGAL REQUIREMENTS

Risk	Control	Status	Action
a) Parish Council business or activity not within appropriate legal powers	i. Activities checked by the Clerk when setting the agenda for meetings	In place	
	ii. Powers under which activities to be carried out will be stated on the agenda	In place	
	iii. Precise legal powers recorded in the Minutes and also in the notes for the	In place	

	Internal Auditor		
	iv. Clerk to clarify the legal position for any new proposal	In place	
	v. Legal advice sought if necessary	In place	
	vi. Section 137 payments listed separately in the Receipts and Payments book and recorded in the Minutes	In place	
b) Non-compliance with relevant legislation	i. The Council's acknowledgement of Acts recorded in the Minutes and documented (relevant Acts – Race Relations Act, Freedom of Information Act, Disability Discrimination Act)	In place	The Council has Equal Opportunities policy in place. The Council has adopted the Freedom of Information Act. Information will be published on the Council's website and will be available from the Clerk.
c) Non-compliance with procedures when electors wish to exercise their rights of inspection	i. Documented procedures: - Council's publication scheme, in compliance with Freedom of Information Act, published - Minutes and agendas displayed on the parish notice boards or website - Audit notices, electors' rights and audited accounts displayed on the notice boards in accordance with Audit Regulations	In place	Agendas are displayed prior to meeting on notice boards and will be published on the website. Audit notices displayed on notice boards for relevant timescale and website for 5 years.
d) Inadequate reporting of Council business	i. Timely preparation and distribution of agendas and minutes for all meetings	In place	Minutes of Council meetings have a target for completion and distribution of (seven days).
	ii. Minute items properly numbered, minutes paginated and agreed by the Council at the following meeting. Agreed minutes signed (all pages) by the Chair	In place	
	iii. Approved, signed copy of minutes filed by the Clerk	In place	
e) Inadequate documentation:	i. Safe storage of legal business:	In place	All current records are safely and securely stored

<ul style="list-style-type: none"> - loss, damage, incomplete - no evidence to support decisions - no evidence of adequate stewardship or performance of Council 	<ul style="list-style-type: none"> - filed Minutes at the Parish office/Clerk's home - Old Minutes and Parish Records to be properly and safely archived - Deeds and legal documents are securely kept. Copies kept by the Clerk 		<p>at the Parish office/Clerk's home. The Clerk will research and catalogue past records when time allows.</p> <p>Deeds and important documents kept at Stilwell and Hardy solicitor's office Dover.</p>
	<ul style="list-style-type: none"> ii. Documented procedures for: <ul style="list-style-type: none"> - Receipt/response and handling of documents - Responding to consultations - Dealing with enquiries by the public - Dealing with complaints by the public 	In place	<p>Ensure that all correspondence is filed appropriately and kept safe.</p> <p>Emails archived yearly and backed up onto office desktop computer.</p>
f) Councillors allowances not made in compliance with legislation	i. Register kept of all allowances paid. All allowances paid to be published at the end of the Financial year	No allowances paid	
g) Clerk unavailable	i. Written procedures to cover the temporary or permanent loss of the Clerk's services	Allocated as need arises with Councillors	<p>Temporary absence – Councillor to stand-in or share services of a neighbouring Parish Clerk</p> <p>Permanent absence – Councillor to stand-in or share services of a neighbouring Parish Clerk and advertise the position in the local papers and KALC newsletter and website.</p>

4. COUNCILLOR PROPERTY			
Risk	Control	Status	Action
a) Bribery/conflict of interests, inducements or favours from Council	i. Procedures in place for monitoring members' interests and any gifts and/or hospitality received	In place	
	ii. Registers of interests, gifts and hospitality in place. Register of Councillors' Interests including a record of gifts and hospitality received kept by the Monitoring Officer at the Dover District Council Offices (copies held by Clerk)	In place	

b) Inappropriate action/conduct by Parish Council/Councillors	i. Code of Conduct adopted by all Council members on appointment. Revised Code of Conduct adopted by the Council	In place	
c) Inadequate risk management. Poor performance/stewardship by Council	i. Risk management procedures in place – this document	In place	This document was reviewed and updated in May 2014 and 2016. Then April 2017 and January 2018. Updated May 2019.
	ii. This document to be reviewed at least annually, also as/when any changes to Council business/activity are made or other circumstances require it	In place	