

## ADDERLEY PARISH COUNCIL RISK ASSESSMENT SCHEDULE

### 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.

*Audit Commission – Worth the Risk: Improving Risk Management in Local Government (2001:5)*

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 subject
- 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 are kept at the clerk's home. In the event of the clerk being indisposed, Chairman to contact Clerks family for records and ALC for advice.	Review when necessary.  Ensure procedures below are undertaken.
Meeting location	Adequacy Health and Safety	L	Meetings are held in the Village Hall in Adderley. A member of the Village Hall Committee will open the Hall. All premises and facilities are considered to be adequate for the Clerk, Councillors and any Public who attend from a health & safety and comfort aspect.	Existing procedure Adequate.
Council Records	Loss through theft, fire, damage	M	Current papers are held at the clerk's home. Archived material is held at Green Cleen (UK) Ltd, Seighford, Staffs ST18 9QE	Damage or theft is unlikely and so provision adequate.
Council Records electronic	Loss through damage, fire, corruption of computer	M	Parish Council's electronic records are stored on the clerk's computer. Files are backed- up daily on a Memory stick.	Existing procedure adequate

### FINANCE

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Precept	Adequacy of	L	Sound budgeting to underlie	Existing procedure

	precept		annual precept. The Parish Council receives bank reconciliations/cash book reports at each meeting and a detailed budget in Dec/Jan when the precept is an agenda item.	adequate
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L L	An annual review is undertaken of all insurance arrangements. Employers Liability, Public Liability and Fidelity Guarantee are statutory requirements.	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 annually.
Cash	Loss through theft or dishonesty	L	The Council has no petty cash or float. Any cash transactions made by the clerk, are fully receipted and reimbursed monthly or paid by cheque on receipt of an invoice	Existing procedures adequate
Financial controls and records	Inadequate checks	L	Reconciliations prepared by RFO/Clerk for each meeting and checked by a Councillor. Two signatories on cheques. Internal and external audit. Any financial obligation must be resolved and clearly minuted before any commitment. All 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  M	The Council has a model publication scheme for Local Councils in place.  The clerk is aware that if a substantial request arrives then this may require many hours of additional work.  The Council is able to request a fee if the work will take over 15 hours. However the request can be resubmitted, broken down	Monitor and report any impacts made under Freedom of Information Act

			into sections, thus negating the payment of a fee	
Clerk	Loss of clerk	M	Sufficient funds should be maintained for recruiting and training a new clerk.	Funds available in unallocated reserves or training budget
	Fraud	L	The requirements of Fidelity Guarantee insurance must be adhered to.	
	Actions undertaken	L	Clerk should be provided with relevant training, reference books, access to assistance and legal advice.	Membership of SLCC maintained. Monitor performance and meet requests for training and literature.
	Salary/tax paid incorrectly	L	Salary payments checked and minuted at Council meetings. Council registered for PAYE.	Existing procedures adequate.
Election costs	Risk of election cost	M	Risk is higher in election year. There are no measures which can be adopted to minimise risk of having a contested election. A contingency fund should be established to meet the costs.	Council has allocated reserves, included in budget/precept figures.
VAT	Re-claiming	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 and signed by the Council, submitted to the internal auditor for completion and signing, then checked and sent on to the external auditor within time limit.	Existing procedures adequate

#### ASSETS

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Street furniture and play equipment	Damage to play equipment, benches, street lights etc.	M	An asset register is kept up to date and insurance is held at the appropriate level for all items. Regular checks are made on all play equipment, other items checked by Councillors.	Existing procedures 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	Existing procedures adequate.

	Working parties taking decisions	L	the Parish Council (not ultra vires) and to be resolved and clearly minuted. Ensure established with clear terms of reference	Monitor on a monthly basis.
Minutes/agendas Statutory documents	Accuracy and legality	L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements.	Existing procedures adequate.
	Non compliance with Statutory requirements	L	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 the Chairman	Ensure adequate training has been undertaken.  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, can seek advice from SALC	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.	L	Council always receives and approves minutes at next meeting.	Existing procedures adequate.
	Proper document control	L	Clerk responsible for retention of documents according to policy and law.	Existing procedures adequate.
<b>COUNCILLORS PROPERTY</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
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 interest form should be reviewed on an annual basis.	Members to take responsibility to update their register.

**This Risk Assessment Schedule was considered and adopted by Adderley Parish Council on:**

**Wednesday 10<sup>th</sup> May 2017**

**Minute ref .....**

**Chairman**

The risk assessment will be formally reviewed on an annual basis in May of each year.