

Risk Management Schedule

SOUTHWATER PARISH COUNCIL

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Introduction

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable Southwater Parish Council to identify any and all potential risks. Southwater Parish Council will take all practical and necessary steps to reduce or eliminate the risks, insofar as practically possible.



Financial, Legal & Management				
Area	Risk	Control Measures	Level of Risk	Recommendation
Precept	Adequacy of precept.	Sound budgeting and forward planning inform the precept-setting process. Monthly meetings with the Council's F&GP Committee Chairman and Vice Chairman to check income and expenditure and consider potential risks I.e. overspend or loss of the income. Budget reporting document produced monthly or on request and readily available from RBS Software.	Med	Existing procedure adequate.
Business Continuity	Council unable to operate or continue due to an unexpected or tragic circumstance.	Clerk and Assistant Clerk have sufficient overlap in knowledge of work, duties and capability. All documents saved on a cloud which access could be gained via IT consultants. Spare keys and passwords maintained by Chairman.	Low	Existing procedure adequate.
Banking	Inadequate checks, mistakes, loss of signatories.	Financial Regulations are in place. Bank reconciliations checked regularly by Accounts Administrator, Clerk, Assistant Clerk and F&GP Committee Chairman and Vice Chairman. Multiple signatories so not reliant on one individual.	Low	Existing procedure adequate. Financial Regulations reviewed annually.
Internet Banking	Unauthorised access and payments, loss of internet banking users.	Each user has their own individual security fob (dongle), username and password. Two different levels of security and user – one user type can only load payments and another user must authorise payments. Cross training and sufficient users to provide coverage.	Low	Existing procedure adequate. Financial Regulations reviewed annually.
Cash	Loss through theft or dishonesty.	Petty cash payments are checked via the accounting package, monthly spreadsheet, Accounts Administrator, Clerk and Assistant Clerk and during internal audit. Cash is locked away securely.	Low	Existing procedure adequate.
Financial controls and records	Inadequate checks, irregularities.	Financial regulations are in place. Bi-monthly meeting of F&GP Chairman and Vice Chairman check all payments.	Low	Existing procedure adequate. Financial Regulations reviewed annually.

Insurance	Adequacy, cost, compliance, fidelity guarantee.	Annual review of insurance arrangements and schedule ahead of renewal. Administrator regularly updates and checks asset register. Employers Liability, Public Liability and Fidelity Guarantee are in place.	Med	Existing procedure adequate. Review annually.
Freedom of Information Act	Policy provision.	Policy in place for responding to Freedom of Information requests.	Low	Freedom of Information Policy reviewed as required.
Clerk / RFO	Loss of Clerk/RFO.	Notice period built into contract. Assistant Clerk in a position to take over role.	Med	Existing procedure adequate.
Clerk / RFO	Fraud.	Fidelity Guarantee insured. F&GP Chairman and Vice Chairman, Accounts Administrator regularly monitor accounts.	Low	Existing procedure adequate.
Clerk / RFO	Incompetence.	CiCLA course undertaken, further training as required and training budget in place.	Low	Existing procedure adequate.
Election costs	Unbudgeted cost.	Election costs are earmarked every year.	Low	Existing procedure adequate.
Council Records	Loss through theft, fire, damage, or corruption.	Confidential files are held in secure cabinets, electronic documents all backed up on cloud storage. Anti-virus software in place. Parish Council offices have processes in place to reduce risks posed by fire.	Med	Existing procedure adequate.
VAT	Charging and reclaiming.	Accounts administrator files VAT return as required. Internal Audit ensures VAT processes followed accordingly.	Low	Existing procedure adequate.
General Power of Competence	Loss of the power available to local authorities in England to do "anything that individuals generally may do".	Clerk is CiLCA qualified and notice period built into the contract gives sufficient time to employ another Clerk with such qualification. Assistant Clerk currently undergoing CiLCA qualification.	Med	Review as required.
Best Value Accountability	Work awarded incorrectly or overspend on services.	Council procedure requires it to seek, if practically possible, three quotations for any substantial work to be undertaken. Major contract services require a formal tendering process. Covered in Financial Regulations,	Med	Existing procedure adequate. Financial Regulations reviewed annually.

Internal Audit	Completion with time limits.	The Internal Auditor is appointed by the Council and scheduled in twice a year well in advance of planned visit. All documents provided in a timely manner.	Med	Existing procedure adequate.
Annual Governance and Accountability Return	Not submitted within time. Incorrect completion.	Prior planning and preparation in conjunction with Chairman, Vice Chairman and Accounts Administration. Timeframe chosen to coincide with June Council meeting. Internal Auditor checks end-of-year figures and the Annual Return document.	Low	Existing procedure adequate.
Employees	Loss of staff.	Notice period built into contracts.	Med	Existing procedure adequate.
Employees	Health and Safety.	All employees given training and adequate direction and safety equipment, where appropriate in order to undertake their roles safely.	Med	Monitor Health and Safety Policy and review the training of staff annually. Induction checklist for any new staff.
Tenants and Hirers of Facilities	Payment of Rents or Hiring Fees.	Signed leases are in place for all tenants. Reviewed as required. Accounts Administrator conducts financial administration, credit control and ensures payments are made as per agreements in place.	Low	Existing procedure adequate.
Legal Powers	Illegal or unauthorised actions and activity.	Decisions and payments are made within the powers of the Parish Council, resolved/approved at meetings and Minuted. Standing Orders define terms.	Low	Existing procedure adequate.
Minutes and Agendas.	Accuracy and legality.	Clerk is CiLCA qualified. Minutes and Agendas adhere to the legal requirements and best practice guidelines. Minutes are approved and signed at following meetings. Minutes and Agendas are displayed accordingly to the legal requirements.	Low	Existing procedure adequate. Additional training to be undertaken as required.

Reputation and Public Relations	Loss of reputation due to lack of transparency, consistency, accuracy and clarity.	Clerk is CiLCA qualified. The Council has an internal audit review twice a year to ensure compliance with Local Government Transparency Code 2015.	Med	
Assets, Areas and Facilities				
Leisure Centre	Public injury, damage or loss.	Building, equipment, fire risk assessments carried out. Fire equipment checked weekly, emergency lighting tested monthly and inspected/maintained by a contractor every 6 months. All equipment inspected regularly. Legionnaires disease water checks carried out monthly. Public Liability insurance in place.	High	Existing procedure adequate. Regular review required.
Beeson House	Public injury, damage or loss.	Building, equipment, fire risk assessments carried out. Fire equipment checked weekly, emergency lighting tested monthly and inspected/maintained by a contractor every 6 months. Legionnaires disease water checks carried out monthly. Public Liability insurance in place.	Med	Existing procedure adequate. Regular review required.
Play Areas	Public injury, damage or loss.	Weekly checks of play equipment by trained staff. Annual RoSPA accredited inspection. Public Liability insurance in place.	High	Existing procedure adequate. Regular review required.
Public Open Spaces	Public injury.	High footfall areas. Contractor used to woodland management and grass cutting. Tri-annual tree survey and tree policy. Litter pickers do weekly, and daily checks as required.	High	Existing procedure adequate. Regular review required.
Allotments	Public injury, damage or loss.	Medium footfall areas. Management outsourced and regular checks carried out on plots, fencing and water supply.	Med	Existing procedure adequate. Regular review required.
General fixed assets and equipment	Public injury, damage or loss.	Regularly reviewed, inspected and maintained as required. PAT Testing carried out to electrical equipment. Asset register updated and checked. Public Liability insurance in place. All assets are insured.	Med	Existing procedure adequate. Regular review required.

Noticeboards	Public injury, damage or loss.	Regularly checked and maintained as required. Public Liability insurance in place.	Low	Existing procedure adequate. Regular review required.
MUGA	Public injury, damage or loss.	Regularly checked and maintained as required. Public Liability insurance in place.	Med	Existing procedure adequate. Regular review required.
Skate Park	Public injury, damage or loss.	Regularly checked and maintained as required. Public Liability insurance in place.	Med	Existing procedure adequate. Regular review required.
Football Fields	Public injury, damage or loss.	Management and maintenance outsourced to football club. Risk assessments carried out and provided. Insurance in place.	Low	Existing procedure adequate.
Other Liabilities				
Public Liability	Risk to third party, property or individuals.	Insurance in place (£10 million indemnity). Risk assessments carried out.	Med	Review annually.
Employer Liability	Non-compliance with employment law.	Insurance in place (£10 million indemnity). Clerk updates knowledge through training, consulting with HR Services Consultant and bodies like NALC, SLCC, ACAS, HSE etc.	Low	Review annually.
Legal Liability	Legality of activities. Proper and timely reporting of Minutes. GDPR compliance.	Clerk to clarify legal position on proposals and clarify the situation if necessary. Insurance in place. Consultant hired to consult with and provide training to ensure GDPR compliance.	Med	Review annually.
Members Interests	Not declared pecuniary interest.	Councillors have a duty to declare interest on Agenda items and Disclosures of Interests reviewed annually.	Med	Review annually.

Risk Schedule		
Area	Frequency	Last Review
Administration: <ul style="list-style-type: none"> • Asset Register • Standing Orders • Data Back-up • Minutes numbered properly 	<ul style="list-style-type: none"> • As required/as per changes • Annually • Daily and Automatic • Internal Audit 	<ul style="list-style-type: none"> • Ongoing • May 2019 • Ongoing • May 2019
Assets Inspection: <ul style="list-style-type: none"> • Play equipment • Gym equipment • Trees on SPC land • Salt Bins 	<ul style="list-style-type: none"> • Weekly Checks / Annual Inspection • Daily Checks / Biannual Service • Triennially • Biannually 	<ul style="list-style-type: none"> • Ongoing • August 2019 • October 2016 • August 2019
Employer's Responsibilities: <ul style="list-style-type: none"> • Staff appraisals • Employment contracts • Training • Insurance • Health and Safety Policy 	<ul style="list-style-type: none"> • Annually (September) • Within 13 weeks of start • Budgeted and recorded • Mandatory and Annually • Review as required 	<ul style="list-style-type: none"> • Ongoing • Ongoing • November 2019 • Ongoing • Ongoing
Financial: <ul style="list-style-type: none"> • Banking Reconciliation • Budget Planning • Budget Agreed • Precept Requested • Salary Review • Internal Audit • External Audit • Internal Controls • Financial Regulations • VAT 	<ul style="list-style-type: none"> • Monthly • Annually (October) • Annually (January) • Annually (January) • Annually (October) • Biannually (Mulberry & Co) • Annually • Annually • Annually • Quarterly 	<ul style="list-style-type: none"> • Ongoing • December 2018 • January 2019 • January 2019 • December 2018 • October 2019 • May 2019 • May 2019 • May 2019 • August 2019

<p>Insurance:</p> <ul style="list-style-type: none"> • Renewal of <ul style="list-style-type: none"> ○ Public Liability ○ Employers' Liability ○ Money & Fidelity ○ Assets Insurance • Changes 	<ul style="list-style-type: none"> • Annual (March) • Update Zurich as required 	<ul style="list-style-type: none"> • September 2019 • Ongoing
<p>Councillors:</p> <ul style="list-style-type: none"> • Declarations of Interest • Register of Interest • Register of Gifts 	<ul style="list-style-type: none"> • Every meeting of Council/Committee • Annually (May) • Annually (May) 	<ul style="list-style-type: none"> • Ongoing • May 2019 • May 2019