

**WINSTON PARISH COUNCIL  
RISK MANAGEMENT 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.**

This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy 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 structures, systematic and focussed approach to managing risk, which:

- Identifies the key risks facing the Council;
- 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:**

| <b>Subject:</b>            | <b>Risk(s) Identified:</b>   | <b>H/M/L</b> | <b>Management/Control of Risk</b>  | <b>Review/Assess/Revise</b>  |
|----------------------------|--|--------------|--|--|
| <b>Business Continuity</b> | Council not being able to continue its business due to an unexpected or tragic circumstance. | L            | All files and records are kept at the Clerk's home. The Clerk sends a monthly back-up to the Chair. In the event of the Clerk being indisposed the Chair to contact CDALC Executive Officer. | Review when necessary. Ensure procedures below are undertaken.       |
| <b>Meeting location</b>    | Adequacy<br>Health and Safety  | L            | Meetings are held in the Village Hall. The premise and facilities are maintained by the Village Hall Committee.  | To forward any concerns to the Village Hall Committee if they arise. |
| <b>Council Records</b>     | Loss through theft, fire, damage   | L            | Electronic back-ups of records are made on a monthly basis and sent to the Chair. All electronic and paper records are stored  | Damage or theft is unlikely and so provision adequate.               |

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| Version: | Adopted:                  | Review & Re-adoption Date: | Officer Responsible:    |
| 3.0.     | 11 <sup>th</sup> May 2017 | 10 <sup>th</sup> May 2018  | Jane Ayre, Parish Clerk |

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|                                       |  |              | securely at the Clerk's home which is fully alarmed.   |   |
| <b>Council Records electronic</b>     | Loss through damage, fire, corruption of computer    | M            | The Parish Council's electronic records are stored on the Clerk's personal home computer. Adequate anti-virus protection is reviewed annually by the Clerk but on a personal basis only.         | Monthly back-ups of files are given to the Chair.                           |
| <b>FINANCE:</b>                       |  |              |  |   |
| <b>Subject:</b>                       | <b>Risk(s) Identified:</b>                           | <b>H/M/L</b> | <b>Management/Control of Risks</b>   | <b>Review/Assess/Revise</b>   |
| <b>Precept</b>                        | Adequacy of precept                                  | L            | Sound budgeting to underlie annual precept. The Parish Council receives quarterly budget updates and detailed budgets throughout the year. The precept is an agenda item at the January meeting. | Existing procedure adequate   |
| <b>Insurance</b>                      | Adequacy<br>Cost<br>Compliance<br>Fidelity Guarantee | L<br><br>L   | An annual review is undertaken of all insurance arrangements in place.<br>Employers Liability, Public Liability and Fidelity Guarantee as a statutory requirement.                               | Existing procedure adequate<br><br>Review provision and compliance annually |
| <b>Banking</b>                        | Inadequate checks                                    | L            | The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts.  | Existing procedures adequate.<br>Review Financial Regulations annually.     |
| <b>Cash</b>                           | Loss through theft or dishonesty                     | L            | The Council has no petty cash or float. Transactions are made or paid by cheque only, i.e. there is no cash handling.  | Existing procedures adequate  |
| <b>Financial controls and records</b> | Inadequate checks                                    | L            | Quarterly reconciliation checked by Parish Council. Two signatories on cheques. Internal and external audit. Any payments must be resolved and clearly minuted. Any S137                         | Existing procedures adequate  |

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|                                   |                                  |   | payments must be recorded at time of approval.  |   |
| <b>Freedom of Information Act</b> | Policy Provision                 | L | The Council has a Publication Scheme. There have been no requests for information to date.  | Monitor and report any impacts made under Freedom of Information Act.   |
| <b>Clerk</b>                      | Loss of qualified Clerk          | M | A contingency fund has been established within reserves to enable training for the CiLCA qualification in the event of the Clerk resigning. The requirements of Fidelity Guarantee insurance must be adhered to. Clerk should be provided with relevant training, reference books, access to assistance and legal advice. Payroll has been outsourced to a specialist provider. Payroll is checked as part of the work of the internal auditor. | Purchase revised reference books.<br>Membership of SLCC.<br>Monitor working conditions, hours of pay and rate of pay. |
|                                   | Fraud                            | L |   |   |
|                                   | Actions undertaken               | L |   |   |
|                                   | Salary paid incorrectly          | L |   |   |
| <b>Election Costs</b>             | Risk of election cost            | M | Risk is higher in an election year. There are no measures which can be adopted to minimise risk of having a contested election. A contingency fund has been established within reserves to meet the cost.   |   |
| <b>VAT</b>                        | Re-claiming                      | L | The Council has Financial Regulations which set out the requirement of reclaiming VAT on an annual basis.   | Existing procedures adequate  |
| <b>Annual Return</b>              | 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.   |

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| <b>ASSETS:</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>  |
| <b>Bus Shelter</b>                         | Loss or damage<br>Risk/damage to third party(ies)/property          | L            | Parish Council has one bus shelter as listed in the Asset Register.<br>A review of asset undertaken periodically but at least annually for insurance provision and maintenance.<br>All repairs and relevant expenditure for these are actioned in accordance with correct procedures.           | Existing procedure adequate  |
| <b>Office Equipment</b>                    | Loss or damage  | L            | Clerk's own property  |  |
| <b>LIABILITY</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>  |
| <b>Legal Powers</b>                        | Illegal activity or payments  | L            | All activity and payments made within the powers of the Parish Council (not ultra vires) and to be resolved and clearly minuted.<br>Ensure established with clear terms of reference.   | Existing procedures adequate.  |
| <b>Minutes/agendas/statutory documents</b> | Accuracy and legality<br>Non-compliance with statutory requirements | L<br>L       | Minutes and agendas are produced in the prescribed method and adhere to legal requirements.<br>Minutes are approved and signed at next meeting.<br>Minutes and agendas are displayed according to legal requirements.<br>Business conducted at Council meetings should be managed by the Chair. | Existing procedures adequate.<br>Undertake adequate training.<br>Members to adhere to Code of Conduct. |
| <b>Public Liability</b>                    | Risk to third party, property or individuals                        | M            | Insurance is in place. Risk assessment of any individual event undertaken.  | Existing procedures adequate   |

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| <b>Employer Liability</b>    | Non-compliance with employment law      | L            | Undertaken adequate training  | Existing procedures adequate                            |
| <b>Legal Liability</b>       | 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 monthly meetings.             | Existing procedures adequate                            |
|                              | Proper document control                 | L            | All documents are retained.   | Existing procedures adequate                            |
| <b>COUNCILLORS PROPRIETY</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>                             |
| <b>Members Interests</b>     | 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 Interests form to be reviewed at least on an annual basis | Members to take responsibility to update their register |

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**RISK SCHEDULE:**

| ITEM   | FREQUENCY   | LAST REVIEWED   | COMMENTS/ACTION                                |
|--|---|---|--|
| <b>Asset Inspection</b>  | Annually  |   | To be undertaken before end of financial year. |
| <b>Financial Matters:</b><br>Banking arrangements<br>Insurance providers<br>VAT return completed<br>Budget agreed<br>Precept requested<br>To include contingency for election<br>Bank reconciliation overseen by Councillors<br>Clerk's salary reviewed and documented<br>Internal audit<br>External audit<br>Internal check of financial procedures | Annually<br>Annually<br>Annually<br>Annually<br>Annually<br>Annually<br>On-going<br>Annually<br>Annually<br>Annually<br>Annually<br>Quarterly | May 2016<br>March 2017<br>April 2017<br>December 2016<br>January 2017<br>January 2017<br><br>August 2016<br><br>June 2016<br>May 2016 |  |
| <b>Administration:</b><br>Minutes properly numbered<br>Asset register available/updated<br>Financial Regulations reviewed<br>Standing Orders reviewed<br>Backups taken of computer records   | On-going<br>On-going<br>On-going<br>On-going<br>On-going  | September 2016<br>May 2016<br>May 2016<br>Monthly   |  |

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| <b>Employers Responsibilities:</b><br>Contract of employment in place<br>Contractors indemnity insurance  | On-going<br>On-going                         | May 2014<br>March 2015           |  |
| <b>Members' Responsibilities:</b><br>Code of Conduct adopted<br>Register of Interests completed and updated<br>Register of Gifts/Hospitality<br>Declarations of Interests minuted | On-going<br>On-going<br>On-going<br>On-going | May 2016<br>May 2013<br>May 2013 |  |

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