

STILTON PARISH COUNCIL

Risk Management Scheme

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the Parish Council to identify any and all potential inherent risks. The Parish Council, based on a recorded assessment, will take all practical and necessary steps to reduce or eliminate the risks, in so far as is reasonably practical.

This document has been produced to enable Stilton Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

The list is not exhaustive and the Parish Council may wish to consider other risks not identified.

FINANCIAL & MANGEMENT				
AREA	RISK	CONTROL MEASURES	RECOMMENDATION	RESIDUAL RISK
Precept	* Adequacy of precept in order for the Parish Council to carry out its Statutory Duties	* To determine the precept amount required, the Parish Council will receive a budget review every three months (quarterly) * When discussing the Precept for the following year the Parish Council will receive a budget report, including actual position and projected position, with indicative figures/costings obtained by the Clerk. With this information, and from consideration of any future projects, the Parish Council determines the amount of precept required for the following financial year	* Existing procedure adequate * Quarterly budget reviews to take place April, July, October 2020 and January 2021	LOW
Financial Records	* Inadequate Records * Financial Irregularities	* The Parish Council has Finance Regulations which sets out the requirements * Clerk to meet with Internal Auditor at the half point of the financial year * FGPC committee members have 'Read-only' access to Scribe accounting package	* Existing procedure adequate. * Review the Finance Regulations annually	LOW
Banking	* Inadequate Checks * Banks Mistakes * Loss of Signatories	* The Parish Council has Finance Regulations which sets out the banking requirements * The Clerk reconciles the bank account(s) once a month drawing on the online statement. Any problems/irregularities are dealt with immediately * The Parish Council will choose replacement signatories at Full Council meetings only	* Review the Finance Regulations annually * PC to appoint 3 authorising Councillors for online payments	LOW
Banking/cash and Pavilion invoicing	* Payments not accounted for * Loss through theft or dishonesty * Inaccuracy of invoices	* Included in internal audit checks * Cash/cheques reconciled and banked regularly * Payments require authorising by at least 2 Councillors * Users encouraged to pay online * Detailed form sent from Pavilion Administrator containing full invoicing details to Clerk/RFO – records to be filed and stored for	* Existing procedure adequate	MED

		reference/checking		
Reporting and Auditing	* Information Communication * Compliance	* The Clerk's Balance of Accounts is produced monthly and presented to the Parish Council, for approval at the meeting (includes breakdown of payments) * Pavilion income in Quarterly Finance Report	* Existing procedure adequate	LOW
Best Value Accountability	* Work awarded incorrectly * Overspend on services	* Normal Parish Council procedure is to seek, if possible, three quotations for any substantial work to be undertaken. This is covered in the Finance Regulations	* Existing procedure adequate * Review the Finance Regulations annually	LOW
Salaries and Associated Costs	* Salaries paid incorrectly	* Salary rates are assessed annually or as required by the Parish Council * All staff have contracts and job descriptions * Salaries are paid monthly in arrears by BACS payment and are calculated by a payroll package (Brightpay,) checked by the clerk and the payroll report presented to the monthly PC meeting	* Existing procedures adequate	LOW
Employees	* Loss of Clerk * Fraud by staff * Health & Safety	* Measures have been implemented so all records are kept locked in a central office. Authorised persons have office door keys * The requirements of the Insurance to be adhered to with regards to fraud * All employees to be provided with adequate direction and safety equipment, where appropriate, needed to undertake their roles.	* Existing procedures adequate * Monitor H&S Policy * Review Insurance Policy annually	LOW
Councillor Allowances	* Loss through theft or dishonesty	* Councillors receive no allowances but may claim for travel and subsistence costs whilst attending any business on behalf of the Parish * Receipts and payments to be managed by the clerk * Only the Chair receives an allowance, all receipts and payments are managed by the Clerk	* Existing procedures adequate	LOW
Election Costs	* Risk of an election cost	* Risk is higher in an election year. When a scheduled election is due, the Clerk will obtain an estimate of costs from the City Council. There are no measures which can be adopted to minimise the risk of having elections, as this is a democratic process	N/A	LOW/MED

VAT	* Reclaiming lower or unauthorised amounts	* The Clerk will produce a VAT refund analysis on Scribe software and make a claim to HM Revenue & Customs online for recovery of the amounts * The refund is received via BACS transfer and the Clerk to notify the Parish Council at the next meeting * All documentation in relation to the process is maintained in the Parish Council's records	* Procedure will be in place by 01/04/20	MED
Training	* Lack of training can lead to incorrect decisions being taken	* The Clerk is provided with relevant training, reference books and access to assistance and legal advice required to carry out the role * Parish Councillors to be provided with training wherever applicable (whether new or refresher) * The Parish Council is a member of NALC & CAPALC which is a source of information/training for many aspects	* Existing procedures adequate * The Clerk will undertake CILCA training in 2020	MED
Audit – Internal	* Completion within time limits	* The Internal Auditor is appointed by the Council * Internal Auditor is supplied with relevant documents to audit and the required form to complete and sign * Clerk provides all copies of these documents to the Full Council * A 6 monthly Internal Audit will take place in 2020	* Existing procedures adequate	LOW
Annual Return	* Completion within time limits	* The Annual Return is completed and signed by the Parish Council, submitted to the Internal Auditor for completion and signing then checked and sent to the External Auditor within the time limit	* Existing procedures adequate	LOW
Legal Powers	* Illegal activity or payments	* All activity and payments within the powers of the Parish Council to be resolved and minuted at a Full Parish Council meeting and to include reference to the powers used if this payment is not considered a usual payment	* Existing procedures adequate	LOW
Minutes/ Agendas/ Notices/ Statutory Documents	* Incorrect information listed on minutes and given during meetings	* Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements and best practice guidelines * Minutes are approved and signed at the following meeting * Minutes and agendas are displayed according to the legal requirements * Business conducted at Parish Council meetings is managed by the	* Existing Procedures Adequate * Training/guidance given to the Chair and Councillors (if required) * Members to adhere	LOW

		Chair	to Code of Conduct	
Members Interests	* Conflict of Interest * Register of Members interests	* Declarations of interest by members at Parish Council meetings is listed on every agenda item to remind members of their duty * Register of Members Interests forms should be reviewed regularly by Councillors * Clerk to issue Members Interest forms to new Councillors or present Councillors annually	* Existing procedures adequate * Members take responsibility to update their Register	LOW MED
Insurance	* Adequacy * Cost	* An annual review is undertaken of all insurance arrangements to ensure best value and that adequate cover is being achieved	* Existing procedures adequate	LOW
Data Protection	* Non-compliance	* The Parish Council is registered for Data Protection with the Information Commissioner * Office documents are fully GDPR compliant * PC has an insurance policy with CAPALC for GDPR * Website is GDPR compliant	* Existing procedures adequate.	LOW
Freedom of Information Requests	* Non-Compliance with the Act	* The Parish Council has a Model Publication Scheme in place. To date there has been no requests under FOI. * The Parish Council is aware that if a substantial request came in it could create several additional hours work. The Parish Council can charge a fee to supplement the extra hours	* Monitor any requests made under FOI	LOW
Councillors	* Losing Councillors or having more than 8 vacancies at any one time	* When a vacancy arises, there is a legal process to follow. This either leads to an election or into the co-option process. An election is out of the Parish Council's control. The co-option process consists of an advert, acceptance of applications, consideration of applications and a co-option vote held at a meeting. Appointment and formal co-option then takes place * If more than 8 vacancies at any one time, the Parish Council would become inquorate so the legal process of HDC appointment of members takes place	* Existing procedures adequate * Procedures of another body are adequate	LOW LOW
Litigation	* Potential risk of legal action being taken against the Parish Council	* Public liability insurance covers general personal injury claims where the Council is found to be at fault, but not spurious or frivolous claims – these cannot be insured against * To date the Parish Council hasn't had any claims made against it	* Insurance is adequate for requirements but there is still a risk of other claims	MED

PHYSICAL EQUIPMENT OR AREAS

Security of Assets	<ul style="list-style-type: none"> * Loss or damage to buildings, machinery, street furniture * Vandalism/theft of assets * Infringement of intellectual property rights * Replacement repair costs * Risk or damage to third party property or individuals 	<ul style="list-style-type: none"> * An up to date fixed asset register is needed and will be given to the Council's insurers * A key register which records who has which keys to access to buildings will be established * Title documents/cemetery documents to be held in the fire proof, locked filing cabinet at the PR CCTV at the Pavilion * a sensor light is installed at the Parish Room 	<ul style="list-style-type: none"> * Existing procedures adequate. 	LOW
Maintenance of buildings/properties and use of resources	<ul style="list-style-type: none"> * Under-utilized * Inadequate maintenance * Stretched finances * Health and safety risks * Fire risk * No plans in place for a village emergency * Loss of income 	<ul style="list-style-type: none"> * Repairs are done on an as needed basis * All buildings used/inspected regularly * Village caretaker and Pavilion Administrator employed * Annual safety inspections carried out on key equipment/appliances * Increasing the Pavilion hire will be addressed in the Pavilion Action Plan * Rates appeal has been submitted * Legionella testing and risk assessments done on all buildings 	<ul style="list-style-type: none"> * The asset register to include costs of maintenance plans * A fire risk assessment to be carried out * How we use the Pavilion/Parish Room to be considered in early 2020 * A village emergency plan is needed 	LOW
Meeting locations	<ul style="list-style-type: none"> * Adequacy * Health & Safety 	<ul style="list-style-type: none"> * The Parish Council's meetings are held in the Parish Room or Pavilion. Both premises are maintained by the Parish Council and are considered to be adequate for the Clerk, Councillors and Public who attend from Health & Safety, Disability Discrimination and comfort aspects. 	<ul style="list-style-type: none"> * Existing locations adequate 	LOW

Electronic Records of the Parish Council	* Loss through theft, fire, damage or corruption of computer	* The Parish Council's records are stored on the Clerk and Pavilion Administrator's computers. Back-ups are taken at regular intervals. * Key policy documents and minutes are also uploaded to the Parish website.	* Purchase 2 external hard drives for laptops * McAfee protection to be purchased for both laptops	LOW
Paper Records of the Parish Council	* Loss through theft, fire or damage	The Parish Council's paper records are stored in Council premises. The records include historical correspondence, minutes, agendas, insurance details, bank records, etc. * Important records are stored in a fireproof filing cabinet * The Office is locked when not in use * Any records over 10 years will be transferred to the Huntingdonshire Records Office	* Historical documents to be archived	LOW
Parish premises	* Loss through fire or damage	* Fire arrangements are checked weekly * All equipment is inspected regularly	Existing Procedures Adequate.	LOW
Notice boards	* Risk of damage	* The Parish Council has 3 notice boards. No formal inspection procedures are in place but damage or faults are reported to the Clerk and dealt with in accordance with the correct procedures of the Parish Council	* Maintenance on boards to be carried out	LOW