

**UPLYME 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 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 Manager and 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	Damage or theft is unlikely and so provision adequate.

			are stored	
--	--	--	------------	--

<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 Council owned Laptop. Adequate anti-virus protection is reviewed annually by the Clerk but on a personal basis only.	Annual back-ups of files are given to the Chair.
-----------------------------------	---	---	--	--

**FINANCE:**

<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 December or January meeting.	Existing procedure adequate
<b>Insurance</b>	Adequacy Cost Compliance Fidelity Guarantee	L L	An annual review is undertaken of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee as a statutory requirement.	Existing procedure adequate 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. 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
<b>Freedom of Information Act</b>	Policy Provision	L	The Council has a Publication Scheme.	Monitor and report any impacts made under Freedom of Information Act.
<b>Clerk</b>	Loss of qualified Clerk Fraud Actions undertaken Salary paid incorrectly	M L L L	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 is on HMRC PAYE managed by the Clerk. Payroll is checked as part of the work of the internal auditor.	Purchase revised reference books. Membership of SLCC. Monitor working conditions, hours of pay and rate of pay.
<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	Existing procedures adequate.

			time limit.	
<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 Risk/damage to third party(ies)/property	L	Parish Council has one bus shelter as listed in the Asset Register. A review of asset undertaken periodically but at least annually for insurance provision and maintenance. All repairs and relevant expenditure for these are actioned in accordance with correct procedures.	Existing procedure adequate
<b>Playground</b>	Health & Safety, Management of equipment Risk/damage/injury to third party(ies)	M	Audit inspection list every two weeks by Parish Council Annual Playground Inspection from PI Public Liability Insurance £10,000,000	Existing procedure adequate New equipment being sourced through funding opportunities
<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. Ensure established with clear terms of reference.	Existing procedures adequate.

<b>Minutes/agendas/statutory documents</b>	Accuracy and legality Non-compliance with statutory requirements	L L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements. 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 Chair.	Existing procedures adequate. Undertake adequate training. 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
<b>Employer Liability</b>	Non-compliance with employment law	L	Undertaken adequate training	Existing procedures adequate
<b>Legal Liability</b>	Legality of activities Proper and timely reporting via minutes Proper document control	M L L	Clerk to clarify legal position on proposals and to seek advice if necessary. Council always receives and approves minutes at monthly meetings. All documents are retained.	Existing procedures adequate Existing procedures adequate 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 Register of Members Interests	M L	Councillors have a duty to declare any interest at the start of the meeting Register of Members Interests form to be reviewed at least on an annual basis	Existing procedures adequate. Members to take responsibility to update their register

<b>RISK SCHEDULE: ITEM</b>	<b>FREQUENCY</b>	<b>LAST REVIEWED</b>	<b>COMMENTS/ACTION</b>
<b>Asset Inspection</b>	Annually	To be undertaken before end of financial year.	
<b>Financial Matters:</b>	Annually	May 2020	
Banking arrangements	Annually	March 2020	
Insurance providers	Annually	April 2020	
VAT return completed	Annually	January 2020	
Budget agreed	Annually	January 2020	
Precept requested	Annually	January 2020	
To include contingency for election and Clerk CiLCA qualification	On-going	January 2020	
	Annually	April 2020	
	Annually	May 2020	
Bank reconciliation overseen by Councillors	Monthly		
	Monthly		
Clerk's salary reviewed and documented	Annually		
Internal audit	Annually	June 2019	
External audit	Annually	July 2019	
Internal check of financial procedures	Annually		
<b>Administration:</b>			
Minutes properly numbered	On-going	March 2020	
Asset register available/updated	On-going	March 2020	
Financial Regulations reviewed	On-going	June 2019	
Standing Orders reviewed	On-going	June 2019	
Backups taken of computer records	On-going	Daily	
<b>Employers Responsibilities:</b>			
Contract of employment in place	On-going	March 2020	
Contractors indemnity insurance	N/A		

Members' Responsibilities:		
Code of Conduct adopted	On-going	June 2019
Register of Interests completed and updated	On-going	July 2019
Register of Gifts/Hospitality	On-going	July 2019
Declarations of Interests minuted	On-going	July 2019