

SANDON PARISH COUNCIL

RISK MANAGEMENT SCHEDULE



Adopted: 11th December 2017

Last reviewed: 3rd June 2019

To be reviewed: May 2020

The management of risk is an important part of the Council's work; making sure that the people who use our facilities are safe, giving the staff the protection to get on with their work, and protecting the assets that the council hold. Risk assessment happens all the time, but once a year, the council brings the information together and collates it in a single document.

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, insofar as is practically possible.

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

The Sandon Parish Risk Assessment is summarised here:

FINANCE				
Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Precept	Adequacy of precept in order for the Council to carry out its statutory duties	M	The Council receives updated budget information each month. At the precept meeting, the Council receives a budget report, including actual position and projected position, to the year end. With this information the Council estimates the required monies for regular costs and projects for the following year. The total for next year's expenses is used to calculate the precept needed from Chelmsford City Council. This figure is submitted by the Clerk in writing. The Clerk informs the Council when the monies are received.	Existing procedure adequate.
Financial Records	Inadequate records. Financial irregularities	L	The Council has Financial Regulations which sets out the requirements.	Existing procedure adequate. Review the Financial regulations when necessary

Bank and banking	Inadequate checks. Banks mistakes	L	The Council has Financial Regulations which set out banking requirements. Monthly reconciliations performed.	Existing procedure adequate.
Cash	Loss through theft and dishonesty	L	The Council has no petty cash or float. Transactions are either by cheque or bank transfer	Existing procedure adequate.
Fraud	Misappropriation of funds by Clerk or Parish Councillors	L	Any payments require the signature of two councillors (see Financial Regulations)	Existing procedure adequate.
Reporting and auditing	Information communication	L	Financial information is a regular agenda item (Finance Report) and discussed/reviewed and approved at each meeting. Internal auditor reports each year	Existing procedures adequate.
Grants received	Receipt of grant	L	Parish Council does not presently receive any regular grants.	Procedure would be formed, if required
Charges-rents receivable	Non payment of rents	L	The Parish Council collects rent from allotment holders. Amounts involved are minimal.	Existing procedure adequate
Grants and support payable	Power to pay. Authorisation of Council to pay	L	All such expenditure goes through the required Council process of approval	Existing procedure adequate.
Best value accountability	Work awarded incorrectly. Overspend on services.	L M	Parish Council practice would be to seek, if possible, more than one quotation for any substantial work to be undertaken. For major work competitive tenders would be sought. If problems encountered with a contract the Clerk would investigate the situation and report to the Council.	Existing procedure adequate.
Employees	Health and safety	L	All employees to be provided adequate direction and safety equipment needed to undertake their roles	Monitor health and safety requirements and review on regular basis.

VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out the requirements.	Existing procedures adequate
Annual Return	Correctly prepared and submitted within time limits	L	The Annual Return is completed by the Clerk and audited by the internal auditor. It is then submitted to the Council, signed, and sent to the external auditor within time frame.	Existing procedures adequate.
Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved at full Council Meetings, including reference to the power used under the Finance section of agenda and Finance report monthly.	Existing procedures adequate
Clerk	Loss of Clerk	M	Regular reviews with Clerk. Ability to borrow neighbouring clerk if necessary.	Existing procedures adequate
Clerk	Ability of clerk to fulfil role	L	Relevant training, reference books, and access to legal advice given	Existing procedures adequate
Election Costs	Risk of election costs	L	The chance of this happening is unlikely. However, a contingency fund is maintained to cover such expenses.	Existing procedures adequate
MANAGEMENT				
Minutes/agendas/ Notices/Statutory Documents	Accuracy and legality	L	Minutes and agendas are produced in the prescribed manner by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair	Existing procedures adequate. Members adhere to Code of Conduct
	Business conduct	L		
Members interests	Conflict of interests	L	Declarations of interest by members at Council meetings.	Existing procedures adequate.
	Register of members interests	L	Register of member's interests forms reviewed regularly.	Members take responsibility to update register.

Insurance	Adequacy	L	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity and within policies. Ensure compliance measures are in place. Fidelity checks in place.	Existing procedure adequate. Insurance reviewed annually.
	Cost	L		
	Compliance	L		
	Fidelity Guarantee	M		
Business continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	L	Laptop taken home by clerk. Back up data taken regularly. Clerk can be borrowed from an adjoining parish	Existing procedure adequate.
Freedom of Information	Policy Provision	M	The Parish Council is aware that if a substantial request came in it could create a number of additional hours work. The Parish Council can request a fee to supplement the extra hours	Monitor any requests made under FOI
Meeting Location	Availability and suitability	L	There are two meeting rooms in separate villages that the Council can use. Both covered by the hall owners liability	Existing procedure adequate.
ASSETS				
General assets	Control and monitoring	L	An annual review of assets is undertaken for insurance provision	Existing procedures adequate
Machinery and equipment	Poor performance of assets or damage	L	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for any repair is actioned/authorised in accordance with the correct procedures of the Parish Council. Assets are insured. Regular PAT testing of electrical equipment to be carried out.	Existing procedures adequate
Notice Board	Risk of damage	L	The Parish Council currently has three notice boards. Any reports of damage are reported to the Parish Council and dealt with in accordance of the correct procedures of the Council.	Existing procedures adequate
Parish Office	Health & Safety	L	The Parish Council office meets the Health &	Existing procedures adequate

			Safety criteria.	
Council Records	Loss through theft, fire and damage	L	Copies of the more important files are digitalised and stored on the computer. Older records are kept in the Chelmsford Archives Office. Computer protection systems kept up to date. Back ups carried out on a monthly basis	Existing procedure adequate.
Street furniture/dog bins/litter bins	Loss or damage Risk/damage to third parties	L	Any reports of damage are reported to the Parish Council and dealt with in accordance of the correct procedures of the Council. Assets checked on a regular basis and insurance policy updated with any additions	Existing procedures adequate
Office equipment	Loss or damage	L	Office locked and alarmed when not in use. Laptop is taken home by the Clerk	Existing procedures adequate
LIABILITY				
Public liability	Risk to third party, property or individuals	L	Insurance is in place.	Existing procedures adequate
Employer liability	Non-compliance with employment law	L	Councillors and Clerk to undertake appropriate training	Existing procedures adequate
Legal liability	Legality of Council activities	L	Clerk to clarify legal position or seek advice where necessary	Existing procedures adequate