

RISK MANAGEMENT 2019

Area	Risk	Level	Control
Assets	Protection of physical assets	M	Insurance and self-insured (play, bus shelters) Regularly maintained Up to date register kept
Finance	Banking	M	Investments overseen by the Finance Committee following the Investment Policy. Monitored by internal, external audit and Finance Committee Monies received banked by the Clerk with no large sums left in the office.
	Financial controls & records	M	Proper financial records kept in accordance with statutory requirements Monthly reconciliation prepared by RFO and reported quarterly to Finance Committee Two signatories on cheques and 2 to authorise BACS payments against invoice and initialled on invoice Internal (by internal auditor and Finance Committee) and external audit Mandates reviewed annually and when a signatory leaves office Fidelity Guarantee insurance Standing orders and financial regulations in place Contracts reviewed annually
	Comply with HM Revenue & Customs	H	VAT payments and claims calculated by RFO Internal and external audit to provide double check VAT reclaims made quarterly
	Sound budgeting to underlie annual precept	M	Finance Committee and Council receive detailed budgets in January. Precept derived from this. Expenditure against budget reported monthly to Council and in detail quarterly to Finance Committee
	Complying with borrowing restrictions	L	No borrowings at present
	Payroll, Pension, PAYE/NIC payments	H	Calculated by RFO via timesheets checked by Clerk and paid by Clerk
Liability	Risk to third party, property or individuals	M	Insurance in place. Open spaces checked weekly. Trees investigated immediately when damage reported and an annual check done of trees around village. <i>Volunteer litter picks - insurance and risk assesment in place.</i> <i>MVAS Volunteers - insurance in place.</i> DBS checks carried out on relevant employees
	Provision of services being carried out under Agency agreement with CCC	M	Covered by contractor's insurance, identified by Clerk on commencement of the contract and on renewal of the insurance
Employer Liability	Comply with Employment Law	M	Advice from CAPALC / SLCC and employment solicitor DBS checks carried out on relevant employees
	Comply with HMRC requirements	M	Advice from HMRC as required Regular returns to HMRC made by the RFO Internal and external auditor carry out annual checks
	Office Safety/Security	M	Fire Extinguisher Testing, PAT Testing, Electrical Installation Testing, CCTV internal and external, fire safe, Clerk and Chairman's safe PC Virus Update, Alarm System checks, Defibrillator, Contractors risk assessments, public liability and insurance documents, proper document control, PC Back up done regularly
Legal Liability	Ensuring activities are within legal powers including spending under specific powers and powers under S137	H	Clerk clarifies legal position on any new proposal. Training is in place for clerk and councillors as required. Legal advice is sought where necessary
	Responding to electors' rights of inspection including rights under F of I	L	Arrangements are made by the clerk to allow inspection of accounts / documents following the FOI policy
	Code of Conduct and Register of Members' Interests	L	Register (inc gifts and hospitality) kept up to date by the clerk Clerk ensures adoption of Code of Conduct
	Proper and timely reporting via the Minutes	M	Council meets once a month and receives minutes of committee meetings held in interim. Minutes made available to press, radio and public on the notice boards and via web site
	Proper document control Retention of documents policy approved by council 2013	M	Leases and legal documents at land registry Key documents, deeds etc copied and kept in Parish Council office Other data storage to comply with Data Protection Act All computer records backed-up monthly and kept off-site Computers are password protected
	Responses to consultation	L	<i>Ad hoc</i> committees to deal with consultation - when agreed
	Legal liability as consequence of asset ownership eg cemetery	H	Public Liability insurance in place Weekly check of all play equipment Written records kept (6-monthly check that written reports being received) Six monthly inspections by Maintenance Professional Inspectors Cemetery checked by clerk and committee at least annually - weekly by Village Cleaner Clerk checks liability insurance with each grave digger Membership of ICCM for advice on cemetery regulations
GDPR	Data Protection	H	Clerk trained as Controller to monitor compliance to GDPR

This risk management paper was considered by Finance Committee on 17 April 2019 and will be reviewed in April 2020

Note: More detailed Risk Assessment forms are available for each area of activity and are reviewed annually also. These are filed in the Policies file

Signed D Wildman Chairman of Finance & Administration
S Corder Clerk

MILTON PARISH COUNCIL RISK SCHEDULE

Item	Frequency	Last Reviewed	Comments/Actions
Parish Council Insurance including: Public & Employers Liability) Money & Fidelity Guarantee) Personal Accident) Buildings & Contents Cover for Parish Office) Contents Cover - Youth Building) Cover for Assets on Asset Register)	Annual	Jan-14	Hirer's liability cannot be deleted (part of Core Package)
Parish Office Fire/Electrical Safety Check Inspection of Playground Equipment by Qualified Inspector	Annual	Jun-13	Next: Jun 14
Other Inspections/Maintenance:			
Tree Maintenance - throughout village	Annual (more if required)	Nov-13	Policy in place
Inspection of playground equipment(F. Way; H. Way; Rowans)	Weekly (village cleaner)	Aug-13	Form filled in each week
Financial Matters:			
Banking Arrangements	Annual	Apr-13	
Insurance Provider/s	Annual	Jan-14	Yr 3 of 5 Yr LTA
VAT Return completed/submitted	Quarterly	Jan-14	
Additional Audit Fee	Annual	Sep-12	
Annual Salary Review	Annual	Feb-14	
Bye-elections	Annual	Jan-13	
Other:			
Budget agreed/monitored and reported	Annual + ongoing	Feb-14	spending against budget reported at each council meeting
Precept requested	Annual	Feb-14	
Payments approval procedure	Annual	May-13	In financial regs
Bank reconciliations overseen by councillors	Quarterly	Jul-13	delegated to Finance & Admin Ctte. Reported to council delegated: Staffing Ctte.
Clerk's salary reviewed and agreed	Annual	Jan-14	Reported to council
Chairman's allowance reviewed and agreed	Annual	Feb-14	in budget
Member's allowance reviewed and agreed	n/a	n/a	
Internal Audit	Twice yearly	Dec-13	Next: May 14 (for ann return)
External Audit	Annual	Jun-13	
Internal check of financial records	Annual	Apr-13	
Record Keeping:			
Minutes properly numbered	ongoing		
Asset register available/updated	ongoing	Jan-14	
Financial Regulations available/updated	Annual	May-13	
Standing Orders available/updated	ongoing	May-13	
back-up taken of computer records	Weekly	w/c 12 Aug	kept off-site
Employees and Contractors:			
Contracts of Employment	ongoing	Jan-14	
Contractors Indemnity Insurance	Annual	Apr-13	
Written arrangements with contractors	Annual	Apr-13	
Members Responsibilities:			
Code of Conduct adopted	ongoing	May-13	
Register of Interests completed and updated	ongoing		review at next election (2015)
Register of gifts and hospitality	n/a		
Declarations of interest minuted	ongoing		
Risk Assessments			
Risk Assessments	ongoing	01/02/2014	reviewed and reported at Maintenance Ctte meeting