

## RISK MANAGEMENT 2022

Area	Risk	Level	Control
<b>Councillor</b>	Insufficient numbers to ensure meetings quorate	L	Council reviews membership annually and regularly advertises for new applicants.
	Risk of Council being unable to operate	L	Continuity plan in place
	Risk to Councillors health and safety	L	Meetings held in Council offices. Health and Safety policy in place
	Accuracy of agendas and minutes	L	Agendas and minutes are in a prescribed form by the Clerk. Minutes are checked by the Chairman and Vice chairman and approved by members at the following meeting
	Illegal or ultra vires decisions	L	Councillors training needs are reviewed and Code of Conduct in place. Financial Regulations reviewed regularly
	Conflict of interest	L	Declarations of interest included on all agenda papers
	Loss of records through fire, theft	L	Records are kept in the minute book in the Council office, in a safe in a locked and secure room and on-line
	Use of Emails/Correspondence	M	All Email correspondence to be sent via the Clerk's office. Councillors should not send emails from their private email address in relation to MPC business on behalf of MPC
	Social media and PR	M	See separate policies in place
	Loss of correspondence held electronically	L	Back ups are made regularly and NAS system operates
<b>Assets</b>	Protection of physical assets	M	Up to date register of assets kept
	Injury to persons	M	Public Liability Insurance held and self-insured (play fields and equipment, bus shelters)  Areas and equipment regularly inspected and maintained
<b>Finance</b>	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 reconciliations are made to bank statements  Two signatories on cheques and 2 to authorise BACS payments against invoice and initialled Monies received are banked by the Clerk with no large sums left in the office  Monthly reconciliation including expenditure and income against budgets are prepared by the RFO. Checks: Internal (by internal auditor and Finance Committee) and external audit  Mandates reviewed annually and when a signatory leaves office

			<p>Proper financial records and regulations are kept in accordance with the Fidelity Guarantee insurance</p> <p>Standing orders and financial regulations in place</p> <p>Contracts reviewed annually</p>
	Comply with HM Revenue & Customs	H	<p>VAT payments and claims calculated by RFO - VAT reclaims made quarterly</p> <p>Internal and external audit to provide double check</p>
	Sound budgeting to underlie annual precept	M	<p>Finance Committee and Council receive detailed budgets in January.</p> <p>Precept derived from this.</p> <p>Expenditure against budget reported monthly to Council and in detail quarterly to Finance Committee</p>
	Complying with borrowing restrictions	L	No borrowings at present
	Payroll, Pension, PAYE/NIC payments	H	Calculated by RFO via timesheets checked by Chairman and paid by 2 councillors
<b>Liability</b>	Risk to third party, property or individuals	M	<p>Insurance in place. Open spaces checked weekly.</p> <p>Trees investigated immediately when damage reported and an annual check done of trees around village.</p> <p>Play areas inspected by specialist contractor and reported to Council</p> <p>Volunteer litter picks - insurance and risk assessment in place.</p> <p>MVAS Volunteers - insurance and risk assessment in place.</p> <p>DBS checks carried out on relevant employees &amp; Councillors</p>
	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
<b>Employer Liability</b>	Comply with Employment Law	M	<p>Advice from CAPALC / SLCC and employment solicitor</p> <p>DBS checks carried out on relevant employees</p>
	Comply with HMRC requirements	M	<p>Advice from HMRC as required</p> <p>Regular returns to HMRC made by the RFO</p> <p>Internal and external auditor carry out annual checks</p>
	Office Safety/Security	M	<p>Fire Extinguisher Testing, PAT Testing, Electrical Installation Testing, CCTV internal and external, fire safe, Clerk and Chairman's safe</p> <p>PC Virus Update, Alarm System checks, Defibrillator, Contractors risk assessments,</p>

			public liability and insurance documents, proper document control, Computer passwords changed regularly by Clerk, PC Back up done regularly onto encrypted portable hard drive and stored off site
<b>Legal Liability</b>	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 noticeboards and via website
	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 Computers are password protected
	Responses to consultation	L	Ad hoc committees to deal with consultation - when agreed
Legal liability as consequence of asset ownership eg cemetery	H	Public Liability insurance in place Written records kept (6-monthly check that written reports being received) 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	
<b>GDPR</b>	Data Protection	H	Clerk trained as Controller to monitor compliance to GDPR. CAPALC Data Officer

This risk management paper was considered by Finance Committee on 11 April 2022 and will be reviewed in April 2023

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

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