

Evenley Parish Council Risk Management Schedule 2018/19

Adopted at the meeting on 16th July 2018

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 itself 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 structured, systematic and focuses 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
- Reviews, assesses and revises procedures if required

Democratic process and public engagement			
Hazard/Risk	Impact	Controls	Review/Assess/Revise
Risk of election costs	M	<ul style="list-style-type: none"> • Risk is higher in election year and given proposals for unity elections in 2020 could be even higher. There are no measures which can be adopted to minimise the risk of having a contested election. Reserves would be used to meet the costs 	Included when setting budget
Breach of freedom of information and data protection requirements	M	<ul style="list-style-type: none"> • Council adopted the model scheme • Clerk understands requirements (training) • Clerk and councillors attend training • Council has necessary advice via NALC/SLCC • Council is registered with the ICO and complies with GDPR policies adopted in May 2018 	Monitor & report any impacts made
Liability to public	H	<ul style="list-style-type: none"> • Adequate public liability insurance in place 	Existing procedures adequate. Revise annually
Failure to consult/inform community	M	<ul style="list-style-type: none"> • Newsletter information • Parish notice board • Website • Village Mailing list & Facebook 	Existing procedures adequate Revise annually

Decision Making			
Hazard/Risk	Impact	Controls	Review/Assess/Revise
Proper and timely reporting of minutes, and posting of statutory notices	M	<ul style="list-style-type: none"> Minutes displayed as draft and then approved & signed at next meeting Notices displayed on notice board & website Councillors 'summoned' to meetings 	Existing procedures adequate
Ensuring decisions are within legal powers	H	<ul style="list-style-type: none"> Clerk to clarify legal position on any new proposal Legal advice via membership of NALC and SLCC to be sought where necessary Code of Conduct training for councillors and clerk Adoption of the latest standing orders Members interests are declared at the start of meetings 	Existing procedures adequate
Decisions unclear	H	<ul style="list-style-type: none"> Clerk attends minute taking training Chairman and vice chairman attends chairmanship training 	Training up-to-date. Revise annually
Lack of focus/priorities	M	<ul style="list-style-type: none"> Consider the results of village plan Matrix of annual action plan 	Existing procedures adequate
Slow to react to outside influence (park closure, village hall, street lighting)	M	<ul style="list-style-type: none"> Keep contact numbers and email addresses on notice board Consider urgent delegation to clerk as part of standing orders 	Existing procedures adequate
Register of Interests	H	<ul style="list-style-type: none"> Registers of Interests to be completed annually 	Members to take responsibility to update
Asset Management			
Hazard/Risk	Impact	Controls	Review/Assess/Revise
Protection of physical assets	M	<ul style="list-style-type: none"> List of assets updated annually Training clerk in audit requirements Village hall, wall, street furniture and streetlights insured 	Existing procedures adequate. Revise annually
Health & Safety	H	<ul style="list-style-type: none"> Monthly visual inspection of the village green, benches, tables, goal post and netball post Annual inspection of trees Six monthly inspection of village hall building and wall, allotments, pocket park and streetlights 	Ensure inspections are carried out
Liability to public	H	<ul style="list-style-type: none"> Insurance in place. Risk assessment of any individual event undertaken 	Review provision & compliance annually
Inadequate reserves (for all assets)	M	<ul style="list-style-type: none"> Quarterly report on accounts to build awareness of reserves 	Adequate

Employment & Management			
Hazard/Risk	Impact	Controls	Review/Assess/Revise
Business Continuity	L	All files & recent records are kept at the clerk's home on an external memory stick. The clerk makes a monthly back up of files onto a hard disc. A list of all passwords is kept by the clerk.	Review when necessary
Meeting location	L	Meetings are held at Evenley village hall. The premises are maintained by Evenley village hall management committee. If unavailable, meetings in the Church.	Adequate
Council records	L	Older records are stored at Evenley village hall in a filing cabinet in a locked room. Papers less than six years old are stored in the clerk's home.	Damage or theft is unlikely & so provision is adequate
Council records – electronic	M	Electronic records are stored on the clerk's laptop & memory sticks. Back-ups of the files are taken at monthly intervals & kept in fireproof safe. Quarterly back-ups kept by the chairman. Adequate antivirus protection is in place.	Backup of files monthly. Backup discs quarterly to chairman
Comply with employment law	M	<ul style="list-style-type: none"> • Policies including grievance and disciplinary in place • Apply national benchmarking for career salary scale • Up-to-date contract of employment in place • Annual appraisals carried out with Chairman & Vice Chairman • Pension opt in/out scheme 	Adequate. Review when necessary
Claim for constructive dismissal	M	<ul style="list-style-type: none"> • Insurance and/or reserve fund • Bespoke employment advice from NALC and SLCC • Annual staff reviews 	Adequate
Clerk sickness or leaves	M	<ul style="list-style-type: none"> • Up-to-date contract of employment in place • Contingency for X months' additional pay (from reserves) • Recruitment system in place • NALC advice via membership 	Adequate
Health & Safety	M	<ul style="list-style-type: none"> • Working at Village Hall – take mobile, lock self in and be aware of personal safety 	Adequate
Contracts for services and supplies			
Hazard/Risk	Impact	Controls	Review/Assess/Revise
Inadequate records	M	<ul style="list-style-type: none"> • Clerk to understand what 'adequate' is (training) • Chairman made aware of record system 	Adequate
Contractor defaults and/or low-quality work	M	<ul style="list-style-type: none"> • Ensure complete audit trail from decision and signed contract through to payment • Ensure contract is watertight re work required and actions taken in event of 	Adequate procedures in place

		default	
Public injury	H	<ul style="list-style-type: none"> • Ensure contract is subject to risk assessments and public liability cover • Inspect contractor's risk assessments • Inspect contractor's liability insurance 	Adequate
Unauthorised direction to contractor	M	<ul style="list-style-type: none"> • Letter of instruction to be on headed paper from clerk • In contract letter ensure delegation of a councillor or the clerk as first line of direction 	Adequate
Finance			
Hazard/Risk	Impact	Controls	Review/Assess/Revise
Inadequate records of accounts	M	<ul style="list-style-type: none"> • Council understands its role • Council understands RFO role • Appointment of competent RFO with appropriate skills • Set up clerk's finance support group • RFO and council attend training 	Adequate procedures in place
Additional external audit work	M	<ul style="list-style-type: none"> • Plan for audit in Nov/Dec to ensure keeping cost down 	Adequate procedures in place
Inadequate internal audit	M	<ul style="list-style-type: none"> • Appointment of independent and competent professional person for IA • Review and appoint annually • IA's report considered by council • Annual review of effectiveness 	Adequate procedures in place
Financial control and records	M	<ul style="list-style-type: none"> • Quarterly reconciliations prepared by clerk and reported to council • All invoices approved at monthly meeting • Two signatories required on cheques/invoices • Internal and external audit • Adopt financial regulations 	Adequate procedures in place
Inadequate precept, reserves, balances	H	<ul style="list-style-type: none"> • Sound budgeting to underlie annual precept • The precept is an agenda item at the January meeting • Looking two years ahead and at past records • Annual review November each year 	Adequate procedures in place
Comply with Customs and Excise regulations	H	<ul style="list-style-type: none"> • VAT payments and claims calculated half-yearly by clerk 	Adequate procedures in place
Sound budgeting to underlie annual precept	M	<ul style="list-style-type: none"> • Chairman, one/two councillors and clerk meet in Nov/Dec to form a detailed budget and report at December meeting • Precept derived directly from budget • Expenditure against budget figures sent to internal controls councillor monthly 	Adequate procedures in place