FULL SUTTON & SKIRPENBECK 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. Audit Commission – Worth the Risk: Improving Risk Management in Local Government (2001:5)

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 subject
- Identifies what the risk may be
- Identifies the level of risk (High, Medium, Low)
- Evaluates the management and control of the risk and records findings
- Reviews, assesses and revises procedures if required.

MANAGEMENT

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Business Continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	L	All files and recent records are kept at the clerk's home. The clerk makes a monthly back up of electronic files. In the event of the clerk being indisposed instructions are kept in a sealed envelope, this will be opened by no less than two Councillors.	Review when necessary. Ensure the procedures stated are undertaken.
Meeting location	Adequacy Health and Safety	L	Meetings are held at either St Mary's Church, Full Sutton or St Mary's Church, Skirpenbeck. The Churches and facilities are considered to be adequate for the Clerk, Councillors and any Public who attend from a health and safety and comfort aspect. If for some reason the premises is unavailable the Clerk will make alternative arrangements.	Existing procedure adequate
Council Records	Loss through theft, fire, damage	L	Papers, both current and archived will be held securely at the clerk's home. Papers to be sent at intervals to the County archive.	Damage or theft is unlikely and so provision adequate.
Council Records electronic	Loss through damage, fire, corruption of computer	M	The Parish Council's electronic records are stored on the Parish laptop. Back-ups of the files are taken at monthly intervals on an external hard drive, insurance provides for data recovery in the event of pc corruption. Most non-confidential documents exist electronically on councillors computers and on the Parish Council Website.	Existing procedure adequate.

FINANCE

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept. The Parish Council receives a quarterly financial update information and detailed budgets in December. The precept is an agenda item at the December meeting.	Existing procedure adequate
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement	Existing procedure adequate Review provision and compliance annually
Banking	Inadequate checks	L	The Council has financial procedures in place which set out the requirements for banking, cheques and reconciliation of accounts.	Existing procedures adequate Review financial procedures as necessary; subject to advice from internal/external audit.
Cash	Loss through theft or dishonesty	L	The Council has no petty cash or float. Any cash transactions are made by the clerk and are fully receipted and then reimbursed quarterly via bank payment.	Existing procedures adequate
Financial controls and records	Inadequate checks	L	Monthly accounts presented to the council by the Clerk for checking/ approval. Two signatories on cheques, Agenda and Bank Statement. Internal and external audit. Any financial obligation must be resolved and clearly minuted before any commitment. All payments must be resolved and clearly minuted.	Existing procedures adequate
Freedom of Information Act	Policy Provision	L- M	The Council has a model publication scheme for Local Councils in place. The clerk is aware that if a substantial request arrives then this may require some hours of additional work. The Council is able to request a fee for this work.	Monitor and report any impacts made under Freedom of Information Act
CLERK	Fraud	L	The requirements of Fidelity Guarantee insurance must be adhered to.	
	Actions undertaken	L	Clerk should be provided on request with training, reference books, access to assistance and legal advice	
	Clerk paid incorrectly	L	The clerk and councillors agree on the level of remuneration and payment is made via the HMRC RTI system and paid directly to the Clerk's bank.	

Election Costs	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. Sufficient reserves are held to meet the costs.	Include in financial statement when setting precept for election year
VAT	Reclaiming/charging	L	The Council has financial procedures which set out the requirements.	Existing procedures adequate
Annual return	Not submitted within time limits	L	Annual return is completed by the Clerk, submitted to the Internal Auditor for completion and signing then signed off by the Council. It is then submitted to the external auditor and posted to the Parish Council Website and Notice Boards.	Existing procedures adequate

ASSETS

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Street furniture and playground equipment	Damage/theft to play equipment and benches etc.	L	An asset register is kept up to date and insurance is held at the appropriate level for all items. Maintenance and regular weekly/monthly checks are carried out on all equipment. A professional inspection is carried out annually and repairs based on its findings implemented.	Existing procedures adequate

LIABILITY

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Legal Powers	Illegal activity or payments	L	All activity and payments to be made within the powers of the Parish Council and to be resolved and clearly minuted.	Existing procedures adequate Monitor on a regular basis
Minutes/ Agendas/ Statutory documents	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 Chairman	Existing procedures adequate Undertake adequate training Members to adhere to Code of Conduct
Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessment of any individual event undertaken	Existing procedures adequate
Employer Liability	Non-compliance with employment law	L	The council has one employee – the clerk - payment is made via the HMRC RTI system and paid by BACS. A contract is in place and will be reviewed regularly.	

Legal Liability	Legality of activities	M	Clerk to clarify legal position on proposals and to seek advice if necessary.	Existing procedures adequate
	Proper and timely reporting via Minutes	L	Council always receives and approves minutes at monthly meetings Retention of	Existing procedures adequate
	Proper document control	L	document policy in place	Existing procedures adequate

COUNCILLORS' PROPRIETY

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Members Interests	Conflict of interest	M	Councillors have a duty to declare any interest at the start of the meeting.	Existing procedures adequate
	Register of Members Interests	L	Register of Members Interests held by Clerk to be updated as required.	Members to take responsibility to update

FULL SUTTON & SKIRPENBECK PARISH COUNCIL
RISK ASSESSMENT SCHEDULE

ITEM	FREQUENCY	LAST REVIEWED	COMMENTS/ACTIONS
Parish Council Insurance Including	Annually		
Public and Employers Liability		20/12/2021	
Money and Fidelity Guarantee		20/12/2021	
Personal Accident		20/12/2021	
Assets inspection	Annually	21/02/2022	
Financial Matters			
Banking Arrangements	Annually	21/03/2022	
Insurance Providers	Annually	20/12/2021	
VAT return completed	Annually	14/04/2022	
Budget agreed, monitored and reported	Quarterly	Ongoing	
Precept requested:	Annually	20/12/2021	
Payments approval procedure	Monthly	Ongoing	
Full updated annual accounts/bank statements presented & approved by council.	Monthly	Ongoing	
Clerk's salary reviewed and documented	Annually	21/03/2022	
Internal audit	Annually	16/05/2022	
External audit	Annually	16/05/2022	
Internal check of financial procedures	Annually	21/03/2022	
Administration			
Minutes properly numbered	Ongoing	Ongoing	
Asset register available/updated	Ongoing	21/02/2022	
Financial Regulations reviewed	Annually	21/03/2022	
Backups taken of computer records	Monthly	Ongoing	
Employers Responsibilities			
Contract of employment in place		29/05/2014	
Contractors Indemnity Insurance		N/A	
Written arrangements with contractors		N/A	
Members' responsibilities			
Code of Conduct adopted	3 years	18/10/2021	
Register of Interests completed and updated	Ongoing	08/05/2019	
Register of Gifts/Hospitality	Ongoing	Ongoing	
Declarations of Interests minuted	Ongoing	Ongoing	

The information given above was agreed at the Parish Council meeting on 24th October 2022 and will be reviewed annually.