

LITTLE MUNDEN PARISH COUNCIL RISK ASSESSMENT 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.

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 focused approach to managing risk, which:

- Identifies the subject;
- Identifies what the risk may be;
- Identifies the level of risk;
- 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. In the event of the clerk being indisposed, the Chairman may contact the Hertfordshire Association of Parish and Town Councils (HAPTC) for advice.	Review when necessary Ensure procedures below are undertaken
Meeting location	Adequacy Health and Safety	L	Meetings are held in the Little Munden Memorial Hall, the facilities of which are considered to be adequate for the Clerk, Councillors and any Public who attend from a health and safety and comfort aspect.	Existing procedure adequate
Council Records: paper	Loss through theft, fire, damage	L	Documentation, both current year's and archived, is kept at the Clerk's home.	Damage (apart from fire) 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 Clerk's computer. Back-ups of the files are kept on two memory sticks, one at the Clerk's home and one at a Councillor's home and both are updated monthly.	Existing procedure adequate.

FINANCE				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Financial Regulations	Non-compliance	M	The Clerk, on a day-to-day basis, and internal audit, by way of overview, ensure that, in all material respects, the Council's Financial Regulations are met.	Existing procedures adequate Review the Financial Regulations annually
Financial controls and records	Inadequate checks	L	Monthly reconciliation prepared by Clerk and checked by a deputed Councillor . Two signatories on cheques. Internal and external audit. Any financial obligation must be resolved and clearly minuted before any commitment. Any s137 payments on projects which benefit the community must be recorded at time of approval	Existing procedure adequate
Income: Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept. The Parish Council receives quarterly budget update information and detailed budgets in the late autumn.	Existing procedure adequate
	Precept issue within time limits	L	The precept is an agenda item at the November meeting.	
	Precept non-receipt	L	The Clerk informs the Council when the monies are received.	
Income: New Homes Bonus	Non-receipt	L	The Clerk informs the Council when the monies are received	Existing procedures adequate
Income: Grants	Council Tax Support Scheme – non-receipt	L	The Clerk informs the Council when the monies are received	Existing procedures adequate
	Other	L	One-off grants would come with terms and conditions to be satisfied.	
Banking	Inadequate checks	L	The council has financial regulations which set out the requirements for banking, cheques and reconciliation of accounts	Existing procedures adequate
Cash	Loss through theft or dishonesty	L	The Council has no petty cash or float. Any cash transactions are made by the Clerk, are fully receipted and then reimbursed monthly or paid by cheque on receipt of an invoice.	Existing procedures adequate
Best value accountability	Contract for goods / services awarded incorrectly	M	For any substantial contracts, normal practice is to seek, if practicable, three quotations.	Existing procedures adequate
	Overspend on goods / services	L	If a problem is encountered with a contract, the clerk would investigate the situation / problem, check the quotation and report to Council.	Existing procedures adequate

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Reporting of expenditure	Goods / services billed, not supplied	L	An itemised receipts and payments statement is produced within the agenda for each meeting and subsequently minuted	Existing communications procedures adequate
	Incorrect invoicing / payments amounts	M		
VAT	Re-claiming/charging	L	The Council has Financial Regulations which set out the requirements.	Existing procedures adequate
Clerk: Salary & allowance	Salary paid incorrectly	L	The Clerk's monthly salary, allowance and expenses are paid in accordance with the Council's Financial Regulations.	Existing procedures adequate
Clerk: Administration	Loss of clerk	M	Contingency funds are retained to enable training for the Certificate in Local Council Administration (CiLCA) qualification in the event of the clerk resigning.	Include in financial statement when setting precept.
	Fraud	L	The requirements of Fidelity Guarantee insurance must be adhered to.	Annual insurance review
	Actions undertaken	L	Clerk should be provided with relevant training, reference books, access to assistance and legal advice.	Membership of SLCC maintained. Monitor working conditions
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. Contingency funds are retained to meet the costs	Include in financial statement when setting precept
Annual return	Not submitted within time limits	L	Annual return is completed and signed by the Council, submitted to the Internal Auditor for completion and signing, then checked and sent on to the External Auditor within time limit.	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 many hours of additional work. The Council is able to request a fee if the work will take over 15 hours. However the request can be resubmitted, broken down into sections, thus negating the payment of a fee.	Monitor and report any impacts made under Freedom of Information Act
Insurance	Inadequate cover	M	An annual review is undertaken of all insurance arrangements in place. Employer's Liability, Public Liability and Fidelity Guarantee are a statutory requirement.	Existing procedures adequate
	Non-compliance	M		Review statutory requirements annually

ASSETS				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Street furniture and playground equipment	Damage 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. A professional safety check is undertaken annually on the playground equipment on Horses' Meadow; regular checks are made on all other equipment by members of the Parish Council. All public amenity land is inspected regularly.	Existing procedures adequate
LIABILITIES				
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 made within the powers of the Parish Council (not ultra vires) and to be resolved and clearly minuted.	Existing procedures adequate
	Working Parties taking decisions	L	Ensure established with clear terms of reference.	Monitor on a quarterly basis
Minutes/ Agendas/ Statutory documents	Accuracy and legality Non compliance with statutory requirements	L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements.	Existing procedures adequate Undertake adequate training
		L	Minutes are approved and signed at next meeting.	
		L	Minutes and agendas are displayed according to legal requirements.	
		L	Business conducted at Council meetings should be managed by the Chairman.	
Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessment of any individual event undertaken, as appropriate.	Existing procedures adequate
		M	Confirmation has been received from major contractor(s) that they hold appropriate indemnity insurance	Annual confirmation
Employer Liability	Non compliance with employment law	L	Undertake adequate training and seek advice from Parish and Community Development Team at County Hall, if necessary	Existing procedures adequate
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.	Existing procedures adequate
	Proper document control	L	Retention of document policy in place.	Existing procedures adequate

COUNCILLORS' PROPRIETY

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Councillors' 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 Councillors' Interests form to be reviewed at least on an annual basis.	Councillors to take responsibility to update their register
Councillors' Conduct	Failure to maintain high standards of conduct in office	M	Members are not allowed to use their position improperly for personal gain.	Right and responsibility of electorate to determine who represents them

MAJOR INCIDENT EMERGENCY PLAN

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Major Incident Emergency	Major incidents or emergencies can strike suddenly, unexpectedly and anywhere	L	<p>Deploying resources.</p> <p>Informing local population.</p> <p>Providing local labour volunteers.</p> <p>Local information and knowledge.</p> <p>Identification of suitable rest/reception centre(s).</p> <p>Organising public meetings.</p> <p>Assisting rehabilitation of local community.</p> <p>Contributing to debriefing.</p>	Review annually "MAJOR INCIDENT EMERGENCY PLAN" to ensure effectiveness of arrangements and emergency procedures.

TRANSPARENCY

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Transparency Code 2015	Failure to comply	L	<p>Obligation on smaller authorities to publish:</p> <p>All items of expenditure over £100;</p> <p>End of year accounts;</p> <p>Annual governance statement;</p> <p>Internal audit report;</p> <p>List of Councillors' responsibilities;</p> <p>Details of public land and building assets; and</p> <p>Minutes, agendas and meeting papers of formal meetings.</p>	Ensure necessary information is published and updated on the mundens.net website.

DATA PROTECTION

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
General Data Protection Regulation (GDPR)	Failure to comply	L	<p>Process data fairly, lawfully and transparently;</p> <p>Collect and process data for specific reasons, store for specific periods of time and do not use for reasons beyond its original purpose;</p> <p>Only collect the data necessary</p>	Ensure data collected is handled in accordance with GDPR's six data processing principles.

			<p>for the purpose it is intended, and not more; Take reasonable steps to ensure that the data is and remains accurate; Keep the data in a form that allows individuals to be identified only as long as is necessary; Keep the data securely and protected from unlawful access, accidental loss or damage.</p>	
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Reviewed and revised 17 May 2018