

STOWEY SUTTON PARISH COUNCIL

Risk Management Schedule

This Risk Management Schedule was adopted by the Council at its Meeting held on 1st August 2018.

Review

Date	Changes
1 st August 2018	Approved and adopted by the Parish Council
1 st August 2019	Review Date

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 and records findings
- Reviews, assesses and revises procedures if required.

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Issue and Risk Identified	Risk Rating	Those at Risk	Current Controls	Possible Further Action
FINANCE				
Financial Prudence and Probity - Potential damage to Council reputation	High	Parish Council/ Employees/ Parishioners	<p>Monthly budget monitoring statements reporting year to date spend.</p> <p>Regular scrutiny of financial records by the appointed internal auditor.</p> <p>Proper arrangements for the approval of expenditure.</p> <p>Comply with VAT regulations. VAT payments and claims calculated by Clerk and internal and external auditor to provide double check.</p> <p>Internal Audit Assurance.</p> <p>These controls are supported in more detail in the Financial Regulations of the Parish Council.</p>	
Financial Loss/ Fraudulent Activity	High	Parish Council/ Parishioners	<p>Monthly Councillor audit to check invoices against appropriate cheque stubs/online banking transactions. Two Councillors to sign each cheque or authorise each online payment.</p> <p>Invoices to be checked before signing cheques, or authorizing online payments, and cheque stubs and invoices to be initialled.</p> <p>Council to ratify and authorise all payments at ordinary meetings.</p> <p>All financial obligations to be resolved and documented in the minutes before any commitment unless emergency spend by the Clerk in conjunction with the Chairman as set out in Financial Regulations.</p> <p>Direct debits / Standing Orders only approved on the bank account on instruction of the full Council.</p> <p>Internal Audit to check VAT entries on invoices against VAT to be claimed from Custom & Excise and amount recorded in the cashbook.</p> <p>Monthly bank reconciliations should be undertaken as soon as practicable following receipt of bank statements in order to maintain effective control.</p> <p>Back-up of all financial information held.</p> <p>A petty cash float of £200 is held.</p> <p>All cash/cheques to be banked as soon as possible.</p>	

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Propriety of Parish Councillors	Med	Parish Council Reputation	<p>Members must tell the Monitoring Officer at BANES Council in writing within 28 days of taking office, or within 28 days of any change to the member's register of interests.</p> <p>A councillor shall withdraw from a meeting when it is considering a matter in which they have a disclosable pecuniary interest.</p> <p>If a member has a non-pecuniary interest he shall declare such interest as soon as it becomes apparent, the member may speak on the matter and not vote.</p> <p>Remind Councillors at each meeting of the need to consider each agenda item and decide whether to declare an interest.</p> <p>Remind Councillors that they need to review their Register of Interests at least annually.</p> <p>To provide details of receiving any gift or hospitality on the Register of Interests.</p>	Include as an agenda item at the Annual Meeting of the Parish Council.
Adequacy of Precept	Med	Parish Council/ Parishioners	<p>Ensure adequacy of annual precept through sound budgetary arrangements.</p> <p>Monthly budget updates reporting year to date spend with detailed budgets agreed by the full council annually.</p> <p>Budget prepared in November and reviewed by the Finance Working Party.</p> <p>Precept derived from budget exercise and to be considered at the December PC agenda and agreed in January.</p>	
Insurance – Adequate for PC Risks including assets	Med	Parish Council/ Parishioners	<p>Annual Review of the Council's insurance requirements to ensure it is at an appropriate level for all liabilities/assets.</p> <p>Weekly checks made on play equipment by Village Operative.</p> <p>Asset register to be kept up to date and revised after any asset is purchased or disposed of. Insurance to be updated after any additional asset purchase.</p>	
Financial Regulations	Med	Parish Council/ Parishioners	<p>Annually Review of the adequacy of the Regulations.</p>	
Reserves	Med	Parish Council/ Parishioners	<p>Ensure that an adequate level of reserves is maintained through the budget setting process.</p>	

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Meeting Charitable Trust Obligations	Low	Parish Council	The Playing Field is land held in trust by the Parish Council Quarterly meetings report on any activity and income. It has been agreed by resolution that the Parish Council will manage any spend on maintenance through the Parish Council accounts. Charity Commission reports must be submitted annually.	
ASSETS				
Protection of the Council's physical assets	Low	Parish Council/ Parishioners	Buildings insured for all risks and theft. This includes: <ul style="list-style-type: none"> • Bus Shelters Street furniture insured. Office equipment insured. Street lighting maintained by District Council. Regular checks of one defibrillator.	Keep adequacy of insurance cover under review annually.
Maintenance of buildings	Low	Parish Council/ Parishioners		Establish a planned programme of maintenance.
Maintenance of buildings	Low		The bus shelter is maintained by the Parish Council.	
Security of buildings n/a	Med	Parish Council/ Parishioners		<i>To be updated with Community Library information before launch.</i>
Allotment site	None	Parish Council/ Parishioners	The Parish does not have allotments. If land is used for the purpose of allotments, seek advice from the Allotment Society Committee.	

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LIABILITY				
<p>Legal liability as consequence of asset ownership</p> <p>Bishop Sutton Recreation Ground and Play Area including risks to users</p>	Low	Parish Council/ Parishioners	<p>Bishop Sutton Recreation Ground / play equipment, gates, fencing and surfaces are insured.</p> <p>Weekly checks of play equipment are carried out by the Village Operative as part of their regular duties.</p> <p>Annual independent checks made on condition/safety of all play equipment by contractors.</p>	
<p>Risks to third parties from Council assets</p>	Low	Parish Council/ Parishioners	<p>Public liability insurance in place.</p> <p>Action taken on ad hoc basis to repair/ replace assets as required.</p> <p>Open spaces checked regularly and maintained by Village Operative.</p> <p>Trees investigated when damage reported.</p> <p>Regular checks of shower facilities undertaken.</p> <p>Annual inspection of trees.</p> <p><i>Risk assessments of individual events / activities carried out as necessary including Christmas lights and any volunteering work.</i></p>	<p>Implement annual inspection of grit bins, benches, dog bins</p> <p><i>Risk assessment before public events.</i></p>
<p>Use of Volunteers</p>	Med	Parish Council/ Members of the council	<p>Public liability provided by Parish Council to cover activities by volunteers</p> <p>Any work undertaken by volunteers must be adequately risk assessed.</p> <p>A register of volunteers must be taken and retained by the Parish Council.</p> <p>A briefing must be given before any volunteer work is undertaken to detail the scope of the activity and any risks identified.</p> <p>Insurance company to be informed of any volunteer activity.</p> <p>Appropriate PPE will be arranged as appropriate.</p>	
EMPLOYER LIABILITY				
<p>Employer liability/ Compliance with employment law</p>	Med	Parish Council/ Parishioners	<p>Insurance in place.</p> <p>Membership of LCPAS</p> <p>Clerk is member of SLCC.</p>	

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Safety of Staff	Med	Parish Council/ Parishioners	Clerk works from home and has a designated office space. All staff to have annual appraisals. Village Operative has an annual appraisal and regular informal meetings with line manager to identify any additional training needs.	
LEGAL LIABILITY				
Legality of the Council's actions	Low	Parish Council/ Parishioners	Clerk clarified legal position on any new proposal. Legal advice to be sought where necessary. have annual appraisals. Membership of appropriate professional organization. Professional advice when required. Appropriate training for Clerk/members.	
Proper and timely reporting via the minutes	Low	Parish Council	Council meets on a monthly basis and approves minutes of the previous meeting. Minutes are published in draft form and made available on the Parish Council website and noticeboards soon after the meeting. A precis of the minutes are published in the Chew Valley Gazette Bishop Sutton Magazine.	
Proper document control	Med	Parish Council	Leases and legal documents in the Clerk's possession and held in a secure cabinet. Reduce the need to keep paper records by registering ownership of land and buildings with Land Register. Other data storage to comply with the Data Protection Act and General Data Protection Regulations. A Data Protection Officer has been appointed.	Key documents, deeds etc to be copied originals stored in bank. Complete general Data Protection Regulation Policy. Agree Privacy Statements and publish.
OTHER				
Contracts – compliance with law/ensuring value for money	Med	Parish Council/ Parishioners	Standing Orders and Financial Regulations in place and reviewed annually at the Annual Meeting of the Parish Council. The Parish Council have a separate Procurement Policy for contracts and tenders.	

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<p>Use of contractor's various injuries, etc.</p>	<p>Med</p>	<p>Parish Council/ Parishioners & Contractors</p>	<p>Contractors to have public liability insurance cover of £5 million. All contractors asked for Health and Safety Policy. Evidence of registration and license must be obtained. Contractors to produce risk assessments for the associated work activities. All electricians used must be NICEIC registered and contractors servicing gas appliances must be GASSAFE registered. Contractors handling sanitary waste, clinical waste, herbicides, pesticides etc must be appropriately licensed. Work of all contractors to be monitored by a nominated councillor.</p>	<p>Design a record for monitoring activities.</p>
<p>Use of contractors Incomplete / Unsatisfactory workmanship</p>	<p>Med</p>	<p>Parish Council</p>	<p>All electricians used must be NICEIC registered and contractors servicing gas appliances must be GASSAFE registered. Contractors handling sanitary waste, clinical waste, herbicides, pesticides etc must be appropriately licensed. Evidence of registration and license must be obtained. Work of all contractors is monitored by a nominated councillor</p>	<p>Design a record for monitoring activities.</p>