

**Risk Management Schedule****13<sup>th</sup> January 2021**

The table below sets out the Risk Management Schedule agreed by Greatham Parish Council as at 13<sup>th</sup> January 2021. Review due: Annually in January

The Risk Management Schedule enables the Council to assess any risks and satisfy itself that it has taken adequate steps to minimise them, whilst recognising that not all risks can be eliminated. The Schedule should help the Council to identify and manage such risks, record findings and review or revise procedures accordingly.

<b>Service Area</b>		<b>Risk</b>	<b>Likelihood (1, low – 3, high)</b>	<b>Risk Rating H/M/L</b>	<b>Control of Risk</b>	<b>Review/actions carried out</b>
<b>Insurance</b>	1.1	Public Liability (statutory)	1	M	Continue existing cover	Renewed in May 2020
	1.2	Employers Liability (statutory)	1	M	Continue existing cover	Renewed in May 2020
	1.3	Loss of money	1	L	Continue existing cover	Renewed in May 2020
	1.4	Fraud/theft of money by employee	1	L	Continue existing Fidelity Guarantee cover	Renewed in May 2020
	1.5	Damage/loss of all property	2	M	Continue with existing cover on playground equipment and assets contained within the Council's agreed Asset Register.	Renewed in May 2020
	1.6	Loss of revenue	1	M	Continue existing cover	Renewed in May 2020
	1.7	Officials Indemnity	1	M	Continue with existing cover	Renewed in May 2020
	1.8	Libel & Slander	1	M	Continue with existing cover	Renewed in May 2020
	1.9	Personal Accident	1	M	Continue existing cover (scale benefits).	Renewed in May 2020
	1.10	Loss of internet/email	1	L	Continue existing cover	Renewed in May 2020
<b>Employment</b>	2.1	Loss of services of employee	2	H	Immediately advertise any vacancy (if permanent loss) and consider employing a locum Clerk for cover.  Ensure budget provision in place for employment of a locum Clerk.	No current need  Budget provision in place
	2.2	Payments to employee	1	L	Ensure compliance with current NI, PAYE and pension regulations  Salary reviewed annually	Assessed as part of internal audit  Reviewed in year

					Member of Staffing Advisory Committee to sign off Clerk's timesheet, including approval of additional hours worked  Payments signed off by two councillors	No physical meetings so signed off by email
	2.3	Clerk unable to perform role through inadequate training	1	M	Ensure adequate training is provided, and reviewed during annual appraisal or when new legislation/regulations are introduced	Limited training opportunities due to Covid-19, but training has been attended online
<b>Administration</b>	3.1	Payment arrangements	1	L	Continue with requirement to report all payments to Council for approval on a monthly basis  Continue with requirement for 2 signatories to initial cheque stubs and invoices or 2 councillors to approve online payments	All payments reported and checked by internal audit process  No signatures due to lack of physical meetings, but minutes reflect approval of payments
	3.2	Reconciliation	1	L	Continue with bank reconciliations on all bank accounts to be carried out on the receipt of each statement and report balances monthly to Council  Continue with Councillor sign off of quarterly reconciliation and report to Council	Financial reports minuted monthly  A councillor has signed off all quarterly reconciliations and minutes reflect this
	3.3	Loss of bank signatories	2	M	Ensure at least 4 councillors are on bank mandate and can approve payments. If a councillor resigns, a new signatory should be put in place at the earliest opportunity	6 councillors on mandate; review if councillor(s) resigns
	3.4	Agency advice	1	M	Continue with memberships of HALC and SLCC	Renewed in year
<b>Business Continuity</b>	4.1	Loss of council records	1	M	Perform weekly backups to external hard drive on the Clerk's laptop, and to a suitable cloud provider.	All documents stored on One Drive

					On an annual basis archive council paper records with Hampshire County Council.  Council paper records kept in locked cabinets at Village Hall and at Clerk's home. Keys held by Clerk to Village Hall/filing cabinets	Requires action  Records secure
	4.2	Access to Clerk's laptop and passwords held by the Clerk	1	M	The Clerk to give a sealed envelope (signed across the seal) to the Chairman for safe keeping which contains all the passwords to access the Clerk's laptop, website logins and email passwords	Requires action to update
	4.3	Council inquorate due to councillors illness due to Covid-19 pandemic	1	M	Delegation scheme in place to allow the Clerk to make decisions in consultation with councillors by email if necessary	Delegation approved June 2020
<b>Maintenance of Assets</b>	5.1	Loss of use of play equipment	1	M	Continue with regular maintenance and safety checks and take unsafe equipment out of service until repairs carried out. Continue to have annual playground inspection.  Councillor carries out visual playground inspection and sends report to Clerk  Covid-19 guidelines for playground – regular inspections by Clerk to ensure safety notices in place  Ensure adequate insurance is in place	Annual inspection carried out 2020  Check councillor is carrying out regular inspections  Safety notices regularly checked and replaced  Insurance renewed May 2020
	5.2	Deterioration of Old Church	1	M	Continue with regular monthly maintenance and safety checks to building and environs, including monthly visual inspections	Requires action
	5.3	Condition of assets such as village green, bus shelters, litter bins	1	M	Carry out regular quarterly inspections of all assets and monitor for deterioration	Requires action
<b>Precept</b>	6.1	Annual precept not the result of proper detailed consideration	1	M	Continue to set up working party annually in September to agree budget and recommend to full council	Working party set up in year
	6.2	Inadequate monitoring of performance	1	L	Continue to monitor budget versus actuals quarterly.	Contained in minutes

					Councillor to carry out quarterly reconciliation as set out in Financial Regulations	Contained in minutes
	6.3	Illegal expenditure	1	L	Continue to ensure that all expenditure is within legal powers as set out in Financial Regulations by signing of all payments and approving any contracts awarded before work takes place	All expenditure approved by Council and contained within minutes
<b>Accounting</b>	7.1	Non-standard and/or non-compliant records kept	1	L	Continue to require adequate, complete and statutory financial records and accounts which are reviewed annually by Internal Auditor and, where required, subject to External Audit  Expertise in-house as CiLCA qualified Clerk in post	Internal audit carried out in year
	7.2	Non-compliance with statutory deadlines for the completion/approval/submission of accounts and other financial returns	1	L	Continue to ensure that all accounts and returns are completed and submitted by the deadlines and AGAR approved by June each year  Expertise in-house as CiLCA qualified Clerk in post	AGAR deadlines met
	7.3	Non-compliance with internal audit requirements	1	L	Appoint internal auditor and continue practice of agreeing an action plan and following up at full council meeting  Expertise in-house as CiLCA qualified Clerk in post	Auditor appointed and action plan agreed by Council
	7.4	VAT reclaim not processed	1	L	Submit VAT reclaim at financial year end or more regularly if large amount of VAT is paid out  Forms part of Internal Audit checks annually	Requires action at year end; VAT return complete for previous year
<b>Contracts</b>	8.1	Ensure continued value for money coupled with continuity of work	1	L	Comply with financial regulations in obtaining 3 quotations for work required for larger items  For specialist work on Old Church carry out due diligence on contractor before appointing including references sought if necessary and copy of public liability insurance retained by the Clerk	Quotations obtained in accordance with Financial Regulations
<b>Events at Old Church</b>	9.1	Loss or theft of cash	1	L	Use a locked tin for all donations at events. 2 people to count donations after event and sign a reconciliation sheet. Tin and reconciliation to be handed to Clerk at	

					earliest opportunity. Cash to be checked and signed for by Clerk on handover and banked.	
	9.2	Public safety at events	2	M	Volunteer stewards to be present to assist members of the public in attendance Risk assessment carried out prior to event	Risk assessment in place and reviewed prior to each event
<b>Data Protection</b>	10.1	Inadequate protection of personal data relating to employees/members of the public	2	M	Renew ICO registration annually Review all GDPR policies using the dates agreed by Council noted within policies	ICO registration renewed in year Requires action
	10.2	Inadequate data lifecycle management	2	H	Review storage arrangements of privileged information by past and present employees and councillors.	Requires action
<b>Freedom of Information</b>	11.1	Information available to members of the public requesting it		L	Review the Publication Scheme every year to ensure compliance with legislation	Requires action
<b>Meetings</b>	12.1	Inaccuracy in recording of council decisions in minutes	1	L	Draft minutes reviewed by Chairman for inaccuracies before publication Minutes approved formally at next council meeting	Chairman reviewed and all minutes published and approved formally at meetings
	12.2	Timing of publication of minutes and agendas	1	L	Published within timeframes set out in Standing Orders and in accordance with Transparency Regulations	Agendas & minutes all published as required; Transparency Regulations checked as part of internal audit
	12.3	Adequacy of meeting location	1	L	Clerk to carry out a visual inspection prior to meeting	No requirement in year as all meetings held online to date
	12.4	Acting outside of the legal powers of local councils	2	M	Clerk to seek legal advice if unclear through HALC, NALC or SLCC Expertise in-house as CiLCA qualified Clerk in post	Advice sought as required
	12.5	Councillors acting outside of their powers	2	M	Councillors to undertake training in accordance with the Council's Training & Development Policy	All councillors offered training in year
<b>Register of Members' Interests</b>	13.1	Members' Interests not notified to District Council	1	L	Clerk to remind councillors at Annual Meeting although onus on councillors to declare their interests	All interests declared following election and published on website

	13.2	Members' Interests declared at a meeting when required	2	L	Agenda item at every meeting to ask councillors if they wish to declare an interest	Contained within agendas and minutes
<b>Reputation</b>	14.1	Damage to reputation due to members acting outside of their remit	2	M	All members to undertake regular training and to have read and understood Council policies including Standing Orders	No action required as training up to date
	14.2	Damage to reputation due to Clerk acting outside of legal duties	1	M	Clerk to undertake regular training Expertise in-house as CiLCA qualified Clerk in post	CiLCA qualified Clerk and ongoing ad hoc training in year