

## Rothley Parish Council

### Risk Management

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 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

This risk assessment was approved at full council on 24<sup>th</sup> April 2017 minute reference 17/53:

<b>SUBJECT</b>	<b>RISK(S) IDENTIFIED</b>	<b>H/M/L</b>	<b>MANAGEMENT/CONTROL OF RISK</b>	<b>REVIEW/ASSESS/REVISE</b>
Business Continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	L	The Deputy Clerk is aware of the filing systems and procedures in the event of the clerk being indisposed. A copy of the computer passwords are kept in a sealed envelope in the safe.	Existing procedure adequate
Council Records - Paper	Loss through theft, fire, damage	L	Current files kept in fire proof cabinet in the council office. Archived files kept in separate office at the premises.	Archive files need removing to County Council Archives
Council Records - Electronic	Theft, fire, damage,	L	All files are backed up daily to AVG Cloud Care, an email message is received daily to say that a back up has taken place	Existing procedure adequate

	corruption of computer			
Meeting Location	Adequacy	L	Meetings are held in the Lecture Room at the Rothley Centre. The room is opened/locked by the evening caretaker. The facilities are considered to be adequate for the Clerk, Councillors and members of the public from a Health & Safety aspect.	Existing procedure adequate
Precept	Adequacy of precept  in order for the Council to carry out its Statutory duties	L	To determine the precept amount required, the Council receives detailed budget information in late autumn. The precept is derived from this, the total of which is resolved at full council to be the precept amount to be requested from Charnwood Borough Council. The figure is submitted by the Clerk in writing.  The Clerk informs the Council when the monies are received.	Existing procedure adequate.
Bank and banking	Inadequate checks  Bank mistakes  Loss of funds	L  L  L	The Council has Financial Regulations which set out banking requirements.  Monthly reconciliation carried out by the Clerk.  The bank reconciliation is checked by 2 councillors on a quarterly basis.  Bank accounts are held with national banks	Existing procedures adequate
Salaries and assoc. costs	Salary paid incorrectly.  Unpaid Tax to Inland Revenue.	L  L	Financial Controls in place to pay Salary  Financial Controls in place to pay HMRC	Existing procedure adequate.
Employees	Fraud by staff	L	Requirements of the Insurance adhered to with regards to fraud – Fidelity insurance in place. Financial auditing by external auditor.	Existing procedures adequate.

			Most payments made by on-line banking requiring authorisation by 2 members.	
Grants	Power to pay Authorisation to pay	L	All expenditure is approved at full council, listed and minuted accordingly. All S137 expenditure is posted to the appropriate budget heading.	Existing procedure adequate.
VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out the requirements. VAT claims calculated by the financial package and checked by the Clerk.	Existing procedures adequate
Reporting and auditing	Information communication	L	Financial information is a regular agenda item and approved at each meeting.	Existing procedures adequate
Insurance	Adequacy	L	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity including risks to third parties.	Existing procedure adequate.
	Cost	L	Fidelity insurance in place. Buildings and contents insurance and open spaces insurance in place. Compliance measures are in place.	Insurance reviewed annually.
	Compliance	L	Building insurance is increased annually	
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
Playground Inspections	Poor performance of assets or amenities	M	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for any repair is actioned/authorised in accordance with the correct procedures of the Parish Council. Assets are insured.	Existing procedures adequate
Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved at full Council Meetings, including reference to the power used under the Finance section of agenda and Finance report monthly.	Existing procedures adequate

Members interests	Conflict of interests  Register of members interests	L  M	Declarations of interest by members at Council meetings.  Register of member's interests forms reviewed regularly and available on the Parish Web Site.	Existing procedures adequate.  Members take responsibility to update register.
Minutes/agendas  Statutory documents	Accuracy and legality	L	Minutes are approved and signed at the next council meeting.  Agendas displayed according to legal requirement.	Existing procedures adequate
Data Protection	Policy provision	L	The council is registered with the Information commissioner	Ensure annual renewal of registration
Model Publication Scheme	Policy provision	L	The Council has a Model Publication Scheme in place.	Existing procedures adequate