

UGLEY 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.

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
- Evaluates the management and control of the risk and records findings
- Reviews, assesses and revises procedures if required.

**UGLEY PARISH COUNCIL
RISK ASSESSMENT SCHEDULE**

MANAGEMENT

Subject	Risk(s) Identified	H/M/L	Management & Control of Risk(s)	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 files. In the event of the Clerk being indisposed the Chairman will contact the Essex Association of Local Councils for advice.	Review when necessary. Ensure procedures below are undertaken.
Meeting Location	Adequacy Health and Safety	L	Meetings are held in Ugley Village Hall. All the premises and facilities are considered to be adequate for the Clerk, Councillors and the Public who attend from a health and safety and comfort aspect.	Existing procedure adequate.
Council Records (paper)	Loss through theft, fire or damage.	L	Papers, both current and archived will be held in a locked metal cabinet at the clerk's home.	Damage or theft is unlikely and so provision adequate.
Council Records (electronic)	Loss through theft, fire, damage or corruption of files on computer.	L	The Parish Council's electronic records are stored on the clerk's computer. Back-ups of the files are taken at monthly intervals on a DVD disc (or other external device/medium), which is kept in a locked metal cabinet.	Existing procedures adequate.

FINANCE

Subject	Risk(s) Identified	H/M/L	Management & Control of Risk(s)	Review / Assess / Revise
Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept. The Parish Council receives monthly budget	Existing procedure adequate

**UGLEY PARISH COUNCIL
RISK ASSESSMENT SCHEDULE**

			update information and detailed budgets in the late autumn. The precept is an agenda item at the December meeting. The Finance committee also holds regular meetings to review budget and expenditure.	
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 Regulations which set out the requirements for banking, cheques and reconciliation of accounts.	Existing procedures adequate. Review Financial Regulations as necessary.
Cash	Loss through theft or dishonesty	L	The Council has no petty float 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

**UGLEY PARISH COUNCIL
RISK ASSESSMENT SCHEDULE**

FINANCE (cont.)

Subject	Risk(s) Identified	H/M/L	Management & Control of Risk(s)	Review / Assess / Revise
Financial controls and records	Inadequate checks	L	<p>Monthly reconciliation prepared by RFO and checked by the Chair of the Parish Council. Two signatories on cheques. Internal and external audit.</p> <p>Any financial obligation must be resolved and clearly minuted before any commitment. All payments must be resolved and clearly minuted.</p> <p>Any s137 payments must be recorded at time of approval.</p>	Existing procedures adequate
Freedom of Information Act	Policy Provision	L M	<p>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.</p> <p>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.</p>	Monitor and report any impacts made under the Freedom of Information Act.

**UGLEY PARISH COUNCIL
RISK ASSESSMENT SCHEDULE**

FINANCE (cont.)

Subject	Risk(s) Identified	H/M/L	Management & Control of Risk(s)	Review / Assess / Revise
Clerk to the Council	Fraud Actions undertaken	L L	The requirements of Fidelity Guarantee insurance must be adhered to. Clerk should be provided with relevant training, reference books, access to assistance and legal advice.	Membership of EALC/NALC and/or SLCC to be maintained. Monitoring of 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. A contingency fund should be established to meet the costs.	Include in the financial statement when setting the precept.
VAT	Reclaiming/Charging	L	The Council has financial regulations which set out the requirements.	Existing procedures adequate
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

**UGLEY PARISH COUNCIL
RISK ASSESSMENT SCHEDULE**

ASSETS & PROPERTY

Subject	Risk(s) Identified	H/M/L	Management & Control of Risk(s)	Review / Assess / Revise
Assets	Loss or damage to assets. Risk/damage to third party(ies) property.	M	Annual review of the asset register and ensure that insurance is held at the appropriate level for all relevant items.	Existing procedure adequate.

**UGLEY PARISH COUNCIL
RISK ASSESSMENT SCHEDULE**

ASSETS & PROPERTY (cont.)

Subject	Risk(s) Identified	H/M/L	Management & Control of Risk(s)	Review / Assess / Revise
Street Furniture, Litter Bins, Pathway Notice Boards, etc.	Damage and injury to third parties.	M	Parish Council is responsible for various items of equipment around the village and covered by insurance. Informal programme of inspections are carried out periodically, and damage or faults when reported to the Council are dealt with.	Existing procedure adequate.

**UGLEY PARISH COUNCIL
RISK ASSESSMENT SCHEDULE**

ASSETS & PROPERTY (cont.)

Maintenance of assets	Risk to third parties.	L	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for these repairs are actioned / authorised in accordance with the correct procedures of the Parish Council. All assets are reviewed annually and insured as deemed appropriate. All public amenity land is inspected regularly by parish employees.	Existing procedure adequate. Ensure inspections carried out.
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**UGLEY PARISH COUNCIL
RISK ASSESSMENT SCHEDULE**

LIABILITY

Subject	Risk(s) Identified	H/M/L	Management & Control of Risk(s)	Review / Assess / Revise
Legal Powers	Illegal activity or payments. Working Parties taking decisions.	L L	All activity and payments made within the powers of the Parish Council (not ultra vires) and to be resolved and clearly minuted. Ensure Working Parties are established with clear terms of reference.	Existing procedure 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(ies), property or individual.	M	Insurance is in place. Risk assessment of any individual event undertaken.	Existing procedures adequate

**UGLEY PARISH COUNCIL
RISK ASSESSMENT SCHEDULE**

LIABILITY (cont.)

Subject	Risk(s) Identified	H/M/L	Management & Control of Risk(s)	Review / Assess / Revise
Employer Liability	Non-compliance with employment law	L	Undertake adequate training and seek advice from Essex/National Association of Local Councils (EALC/NALC) and/or Society of Local Council Clerks (SLCC).	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
Contractors' Liability	Contractors employed do not have necessary public liability insurance, employers' liability insurance and product liability insurance.	M	Clerk to ensure that all contractors quoting and/or employed by the Council have the necessary levels of liability insurance cover. Public Liability £5 million minimum. Employers Liability £2.5 million minimum. Product Liability £2.5 million minimum.	Undertake an annual review of contractors and their levels of liability insurance cover.

**UGLEY PARISH COUNCIL
RISK ASSESSMENT SCHEDULE**

COUNCILLORS PROPRIETY

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 form to be reviewed at least on an annual basis.	Members to take responsibility to update their register.

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RISK ASSESSMENT SCHEDULE**