

**UGBOROUGH PARISH COUNCIL
RISK MANAGEMENT SCHEDULE**

Definition of Risk Management

Risk is the threat that an event or action will adversely affect an organisation’s ability to achieve its objective management is the process by which risks are identified, evaluated and controlled. It is a key element of the 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 its them. The Council is aware that although some risks can never be eliminated fully, it has in place a strategy 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.

MANAGEMENT

Subject	Risk(s) Identified	H M L	Management/Control of Risk
Business Continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	M	All files and recent records are kept at the clerk’s clerk makes a monthly back up of files. In the ev clerk being indisposed the Chairman to contact S Secretary for advice.
Meeting location	Adequacy Health and Safety	L	Meetings are held in Ugborough Village Hall. The premises and facilities are maintained to a

Adopted 1.8.18 Minute 18.099.6. Reviewed and adopted May 2023 Minute 23.20. Reviewed and adopted July

Banking	Inadequate checks	L	The Council has Financial Regulations which set requirements for banking, cheques and reconciliation accounts
Cash	Loss through theft or dishonesty	L	The Council has no petty cash or float. Transactions made by BACS, DD or paid by cheque
Financial controls and records	Inadequate checks	L	Monthly reconciliation checked by Parish Council signatories on cheques. Internal and external audit payments must be resolved and clearly minuted
Freedom of Information Act	Policy Provision	L M	The Council has a model publication scheme for Councils in place. There have been no requests for information to date.
Clerk	Loss of qualified clerk	M	Funding for training for the CILCA qualification in place of the clerk resigning
	Fraud	L	Meet Fidelity Guarantee insurance requirements
	Actions undertaken	L	Clerk should be provided with relevant training, equipment, material, access to assistance & legal advice
	Salary paid incorrectly	L	Internal Auditor check
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 an election.
VAT	Re-claiming/charging	L	The Council has financial regulations which set out requirements
Annual return	Not submitted within time limits	L	Annual return is completed and signed by the Clerk and submitted to the Internal Auditor for completion and signing, then checked and sent on to the External Auditor

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Playground	Loss or Damage Risk/damage to third party/property	M	Parish Council play equipment is listed in the Asset Register. Review of assets undertaken periodically, but at least annually for Insurance provision and maintenance. Regular inspections undertaken by the SHDC Local Engineer with annual inspection being undertaken by Allied Building Engineering, and action taken on inspection findings. Budget allocation for repairs.
Office Equipment	Loss or Damage	L	Review of assets undertaken periodically, but at least annually for Insurance provision and maintenance. Repairs and relevant expenditure for these are approved in accordance with correct procedures

LIABILITY

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 clearly minuted. Ensure established with clear terms of reference.
	Working Parties taking decisions	L	
Minutes/ Agendas/ Statutory documents	Accuracy and legality	L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed at next meeting. Minutes are displayed according to legal requirements. Business conducted at Council meetings should be managed in accordance with the agenda.
	Non-compliance with statutory requirements	L	
Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessment of any individual event undertaken
Employer liability	Non-compliance with employment law	L	Undertake adequate training

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	<p>Loss due to fire, theft and other damage due to inadequate storage</p> <p>Loss of statutory financial information</p> <p>Loss of statutory record of council decisions</p> <p>Loss of record of assets and liabilities</p> <p>Release of personal information of Councillors, members of the public and other work associates</p> <p>Danger of legal challenge if unable to respond to FOI requests</p>		<p>The Parish Council's electronic records are stored on the Council's computer which is kept locked and has restricted access. Back-ups of the files are taken at monthly intervals and are checked to ensure readability of data. The backup is kept in a separate location to the laptop</p> <p>Important documents are held on the parish council premises</p> <p>BCC used in email correspondence to avoid sharing personal addresses</p> <p>The Parish Council is bound by and adheres to the requirements of both the Data Protection Act 2018 and the General Data Protection Regulation (GDPR). The Parish Council is registered with the Information Commissioner's Office (ICO) as a Data Controller</p>
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COUNCILLORS PROPRIETY

<p>Members Interests</p>	<p>Conflict of interest</p> <p>Register of Members Interests</p>	<p>M</p> <p>L</p>	<p>Councillors have a duty to declare any interest at the meeting</p> <p>Register of Members Interests form to be reviewed</p>
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