

<b>UGBOROUGH PARISH COUNCIL RISK MANAGEMENT SCHEDULE</b>				
<b>Definition of Risk Management</b>				
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:				
<ul style="list-style-type: none"> <li>• Identifies the key risks facing the council</li> <li>• Identifies what the risk may be</li> <li>• Identifies the level of risk</li> <li>• Evaluates the management and control of the risk and records findings</li> <li>• Reviews, assesses and revises procedures if required.</li> </ul>				
<b>MANAGEMENT</b>				
<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	M	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 to contact SLCC Secretary for advice.	Review when necessary  Ensure procedures below are undertaken
Meeting location	Adequacy Health and Safety	L	Meetings are held in Ugborough Village Hall. The premises and facilities are maintained by the Village Hall Committee	
<b>FINANCE</b>				
Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept. The Parish Council regularly receives budget update information and detailed budgets in the late autumn. The precept is an agenda item at the January meeting.	Precept Existing procedure adequate
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

Adopted 1.8.18 Minute 18.099.6. Reviewed and adopted May 2023 Minute 23.20. Reviewed and adopted July 2024 minute 2024 56

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 cash or float. Transactions are made by BACS, DD or paid by cheque	Existing procedures adequate
Financial controls and records	Inadequate checks	L	Monthly reconciliation checked by Parish Council. Three signatories on cheques. Internal and external audit. Any payments must be resolved and clearly minuted.	Existing procedures adequate
Freedom of Information Act	Policy Provision	L M	The Council has a model publication scheme for Local Councils in place. There have been no requests for information to date.	Monitor and report any impacts made under Freedom of Information Act
Clerk	Loss of qualified clerk	M	Funding for training for the CILCA qualification in the event of the clerk resigning	Include in financial statement when setting budget and precept. Maintain up to date reference material Monitor working conditions and hours of work
	Fraud	L	Meet Fidelity Guarantee insurance requirements Clerk should be provided with relevant training, reference material, access to assistance & legal advice	
	Actions undertaken	L	Internal Auditor check	
	Salary paid incorrectly	L		
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.	Include in financial statement when setting precept
VAT	Re-claiming/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
<b>ASSETS</b>				
Street Furniture & burial ground	Loss or Damage Risk/damage to third party property	L	Parish Council street furniture is listed in the Asset Register. Review of assets undertaken periodically, but at least annually for Insurance provision and maintenance. Monthly regular inspection of noticeboards when displaying Notices for meetings All repairs and relevant expenditure for these are actioned in accordance with correct procedures	Existing procedure adequate  Ensure inspections are carried out

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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 Locality Officer, with annual inspection being undertaken by Allianz Engineering, and action taken on inspection findings. Budget allocation for repairs.	Existing procedure adequate Ensure inspections are carried out.
Office Equipment	Loss or Damage	L	Review of assets undertaken periodically, but at least annually for Insurance provision and maintenance. All repairs and relevant expenditure for these are actioned in accordance with correct procedures	Existing procedure adequate
<b>LIABILITY</b>				
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 established with clear terms of reference.	Existing procedures adequate  Monitor on a monthly 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 chair	Existing procedures adequate Undertake adequate training Members to adhere to Code of Conduct
Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessment of any individual event undertaken	Existing procedures adequate
Employer liability	Non-compliance with employment law	L	Undertake adequate training	Existing procedures adequate
Legal Liability	Legality of activities Proper and timely reporting via Minutes  Proper document control	M L L	Clerk to clarify legal position on proposals and to seek advice if necessary Council always receives and approves minutes at monthly meetings Retention of document policy in place	Existing procedures adequate Existing procedures adequate Existing procedures adequate
Data/record Loss or Compromise	Entry on the national Register of Data Controllers becomes out-of-date. Risk of disclosure of personal information		Records include historical correspondences, minutes, insurance and bank records. Hard Copied Destroyed after 6years. Papers, less than 6 years old, are stored in the village hall and clerk's home. Some older records are retained at the Devon County Record store.	Damage (apart from fire) and theft is unlikely and so provision is adequate

	<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 password access. Back-ups of the files are taken at monthly intervals and are checked to ensure readability of data. The back-up is kept in a separate location to the laptop</p> <p>Important documents are held on the parish council website</p> <p>BCC used in email correspondence to avoid sharing email addresses</p> <p>The Parish Council is bound by and adheres to the legal requirements of both the Data Protection Act 2018 and General Data Protection Regulation (GDPR). The Parish Council is registered with the Information Commissioner's Office (ICO) as a Data Controller</p>	
<b>COUNCILLORS PROPRIETY</b>				
Members Interests	<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 start of the meeting</p> <p>Register of Members Interests form to be reviewed at least on an annual basis</p>	<p>Existing procedures adequate</p> <p>Members to take responsibility to update their register</p>