



OLIVER'S BATTERY PARISH COUNCIL

RISK MANAGEMENT SCHEME

Date: June 2021

Review date: to be reviewed and where necessary updated annually as part of the annual governance review as a minimum

The Council generally and members individually are responsible for risk management. To comply with Annual Governance Statement Assertion 5: Risk Management the Council needs to identify and assess the risks it faces in delivering its objectives successfully and put appropriate controls in place to manage them. This document sets out the steps in this process.

Note: risk level is before management of risk

Risk Area	Risk(s) Identified – What can go Wrong?	Level of Risk (HML)	Management of Risks – What we are Doing to Address the Risks	Review and Further Action
FINANCIAL				
Precept	Inadequate amount	L	Sound budgeting to underlie annual precept requirement. The Council receives budget information quarterly and detailed budgets in late autumn. The budget/precept is an agenda item at the November and December meetings RFO to follow up Financial reserve should be sufficient to allow the Council to operate until expected precept is received	Reviewed annually
	Not paid by WCC	M		
Insurance	Inadequate cover	M	Ensure Council's insurance requirements are at an appropriate level and have a budget for self-insurance of assets	Reviewed annually
Insurance	Lack of compliance	M	Employers Liability is a statutory requirement where a council employs staff	Reviewed annually
Banking	Inadequate checks and controls	L	The Council has Financial Regulations which set out the requirements for banking and payments	Reviewed by internal audit

Financial controls and records	Inadequate checks	L	Monthly reconciliation prepared by the clerk and checked and signed by councillors, online payments authorised by a councillor not involved in setting the payments up, all payments are clearly minuted, any Section 137 payments are recorded at time of approval and separately identified in the accounts (note S137 n/a while the Council has the General Power of Competence)	
Election Costs	Contested election	L	Consider a contingency fund to be available to meet the costs or fund from reserves	Include in financial statement when setting precept
VAT	Not reclaiming	L	The Council has Financial Regulations which set out the requirements, VAT claims to be made at least once a year	FR reviewed annually
Annual return	Not submitting within time limits	L	Annual return is completed by RFO, checked by the internal auditor, approved by the Council, signed by the Chairman and RFO, and sent on to the external auditor within the time limit	
Procurement of works, goods and services	Improper use of public funds, lack of control	L	Standing Orders and Financial Regulations deal with the awarding of contracts and placing of orders	SO and FR reviewed annually
HMRC rules	Requirements not met/wrong deductions of NI and Income Tax	L	Internal controls, including monthly checks of payments, annual audit of internal controls	Reviewed by internal audit
Awarding grants	Improper use of funds grants to local community organisations under specific powers or under Section 137/no power to pay or no evidence of agreement of Council to pay (note S137 n/a while the Council has the General Power of Competence)	L	All applications for grants are to comply with the Grants Policy. Minute Council agreement to approve and the amount	
Reserves	Inadequate level	L	Ensure adequate level at budget/precept setting	
Financial Records	Inadequate records	L	RFO check regularly	Reviewed by internal audit

Direct Costs	Invoice incorrectly calculated or recorded, amount payable is incorrect or to wrong party	L	RFO check arithmetic on invoices and perform bank reconciliations on monthly basis, two councillors to authorise online payments	
Overspending	Exceeding budgets	L	Good budgeting, project planning, monitoring of budgets	
LIABILITY				
Events	Injury to members of the public or their property	M	All events to have a risk assessment undertaken, including checking any contractors have appropriate insurance. Comply with BHIB's Special Events & Activities Guidelines	Review when the insurer's Guidelines change
Employees, councillors and volunteers	Injury or illness sustained by the clerk, councillors and volunteers whilst undertaking council business	M	Maintain Employers' Liability insurance	
Freedom of Information Act	Non-compliance with Act	L	The Council has a model publication scheme for Local Councils in place. Monitor and report any impacts made under the Act	
Data Protection Act	Breaches in the legislation and prosecution	L	The Council has Data Protection and Data Retention Policies in place. Monitor and report any impacts made under the Act	
Website Accessibility Regulations	Breaches in the legislation and prosecution	L	Continue to review and update the Accessibility Statement	
Clerk	Fraud	L	Fidelity Guarantee Insurance (part of overall insurance requirements)	Reviewed annually
Legal Powers	Illegal activity or payments	L	All activities and payments to be made within the powers conferred on parish councils, and to be resolved and minuted clearly	Internal auditor's report, review councillors training re legal powers, monitor monthly
Legal Powers	Decisions being taken by working groups (ultra vires)	L	Ensure working groups are established with clear terms of reference	As above
Employer Liability	Non-compliance with employment law	L	Keep training up-to-date	
Legal Liability	Legality of activities	L	Clerk to clarify legal position on proposals, and to seek advice if necessary	

Public Liability	Risk to third party property or individuals	M	Maintain Public Liability cover to a level of £10m.	
Recreation Ground including play equipment	See separate Risk Assessment in Policies section of website			Ensure risk assessment is reviewed at least annually following agreed actions from the annual play inspection report
Battery	See separate Risk Assessment in Policies section of website			As above
Minutes and Agendas	Inaccurate/illegal	L	Review and minute at following meeting prior to Chair signing Agendas are issued and displayed according to legal requirements	
COUNCILLORS PROPRIETY				
Libel and slander	Verbal or written comments made by councillors which a member of the public considers to be both incorrect and damaging and which causes financial loss	M	The Council has a Press and Media Policy in place. Consider adopting a social media policy to ensure all councillors are clear on what is acceptable to publish on social media platforms; maintain the Council's Libel and Slander insurance cover	Review decision annually
Members' Interests	Conflict of interest	M	Councillors have a duty to declare any interest at the start of meetings – to be minuted and any conflict addressed as appropriate	Members to take responsibility for updating their register
	Disclosable Pecuniary Interests	L	Register of members' interests form to be completed at least annually and as directed by WCC	
ASSETS				
Battery, Recreation Ground, land at the shops	Injury to people or their property (also covered by separate H&S risk assessment)	M	Public Liability cover of £10m	

Asset Register	Assets not recorded	L	Maintain Asset Register	Reviewed annually
Trees	Injury to people or their property (also covered by separate Risk Assessments for Recreation Ground and Battery)	M	Annual inspections by a professional or competent person with a working knowledge of trees; tree warden to carry out recorded regular checks with particular attention to high-risk areas (near roads, play area and open spaces) and following periods of bad weather, and keep training up-to-date	Act on the recommendations of the annual inspection
Maintenance of assets	Vandalism, accidental damage, wear and tear	M L	Provide adequate budget. Checks made weekly/regularly by groundsman/councillors/volunteers. Annual play area inspection Annual play area inspection	Ensure inspections are carried out, recorded and any actions minuted
MANAGEMENT/IT				
Clerk	Loss of key personnel - generally Loss of key personnel - CiLCA qualified Development and support	L L L	Working hours, health/stress/long term sick, early departure – monitor and manage as appropriate including appraisals Consider Key Staff insurance cover Clerk should be provided with relevant training, reference books, access to assistance and legal advice	Maintain membership of SLCC/HALC
Business Continuity	Council not able to continue its business due to an unexpected circumstance	L	In the event of the clerk being unable to work the Chairman is to contact HALC for advice	
Cyber crime	Hacking, spam, identity theft	M	Website to be backed up regularly, councillors to use oliversbattery.info email addresses only, keep Windows Defender on clerk laptop up-to-date	
Records	Loss through damage, fire, corruption of computer	L	Electronic records are stored on the clerk's laptop and OneDrive, paper records to be preserved electronically.	
Contractors employed by the Council	Health and safety and risks to third party property or individuals	M	Work not to commence until risk assessments are carried out where more than five people are employed and Method Statements may in some circumstances also be necessary; check contractors' Public Liability cover is adequate and in place annually	