

BISHOPSTEIGNTON PARISH COUNCIL

RISK MANAGEMENT SCHEDULE 2020 Adopted 01.06.20 Minute Ref: 2460.03

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. In conducting this exercise, the following plan was followed:

- Identify the areas to be reviewed
- Identify what the risk may be
- Evaluate the management and control of the risk and record all findings.
- Review, assess and revise if required.

| FINANCE/MANAGEMENT | | | | |
|----------------------|--|----------------------|--|--|
| Subject | Risk(s) Identified | H/M/L | Management/Control of Risk | Review/Assess/Revise |
| Precept | Adequacy of precept Requirements not submitted to TDC. Amount not received Lack of Finances through excess spending | L L L M | Sound budgeting to underlie the annual precept. The precept meeting is held in November. At the precept meeting the Council receives a budget update report, including actual position and projected position to the end of the financial year. With this information the Council maps out the required monies for standing costs and projects for the following year and applies specific figures to budget headings. The precept is then set based on the budget. The figure is submitted by the Clerk in writing to Teignbridge District Council. The Clerk informs Council when monies are received (April and September). Effective insurance arrangements. Control of spend with regular reporting. Seek additional income from other sources and Council owned resources. | Existing procedures adequate. |
| Financial Records | Inadequate records Financial irregularities | L L | The Council has Financial Regulations which set out the requirements. Internal and External Audit. | Existing procedure adequate. Review the Financial Regulations when necessary. |
| Bank and Banking | Inadequate checks | L | The Council has Financial Regulations which set out the requirements for banking, including internet banking, cheques and reconciliation of accounts. A schedule of payments to be made requires three signatories and details of the accounts are reported monthly on the Council meeting minutes. Bank reconciliations and a statement of reserves are also presented quarterly to the Council on meeting minutes. | Existing procedure adequate. Review the Financial Regulations and bank signatory list when necessary. Especially after an AGM and an election. |
| | Bank mistakes | L | The bank does make occasional errors in processing cheques which are discovered when the Clerk reconciles the bank accounts, these are dealt with immediately by informing the bank and awaiting their correction. | Monitor the bank statements monthly. |
| Reporting & auditing | Information miscommunication | L | The reporting of payments, bank reconciliation and reserves is produced monthly and provided to all councillors as part of the PC meeting minute. A precept budget update including spend to date and predicted spend at the end of that financial year is reviewed in an internal audit held in October (6 months). The auditor reviews the bank reconciliation, bank statements, | Existing communication procedures adequate. |

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| | | | payments and receipts, precept budget and all related electronic records. | |
| Direct costs | Goods not supplied but billed. Incorrect invoicing Cheques incorrect | L L L | The Council has Financial Regulations which set out the requirements. At each Council meeting the Council approves the schedule of payment. Three signatories are required for this schedule, which is kept as a record in the minute book. Any cheques also require three signatures and counterfoils to be initialled. | Existing procedure adequate. Review the Financial Regulations when necessary. |
| Grants and support payable | Power to pay Authorisation of Council to pay | L L | All such expenditure goes through the required Council process of approval, minuted and listed accordingly if a payment is made using the S137 power of expenditure. | Existing procedures adequate. Parish Councillors request an S137 rules if required. |
| Grants receivable | Receipt of Grant | L | The Parish Council does not presently receive any regular grants. One off grants would come with terms and conditions to be satisfied. | Procedure would need to be formed if required. |
| Best value accountability | Work awarded incorrectly Overspend on services | L M | Normal Parish Council practice would be to seek, if possible, three quotations for any substantial work required to be undertaken for goods. If a problem is encountered with a contract the Clerk or nominated Councillor would investigate the situation, check the quotation/tender, research the problem and report to the Council. | Existing procedure adequate. Include when reviewing Financial Regulations. |
| Clerk | Fraud Actions Undertaken | L L | The requirements of the Fidelity Guarantee Insurance to be adhered to Clerk should be provided with relevant training, reference books, access to assistance and legal advice. | Existing procedures adequate. Membership of DALC, NALC and SLCC. |
| Election costs | Risk of an election cost | L/M | Risk is higher in election year. When an election is due the Clerk will obtain an estimate of costs from the District Council for a full election and an uncontested election. There are no measures which can be adopted to minimise the risk of having a contested election. A contingency fund has been established to meet the costs. | Existing procedures adequate. Review contingency fund when setting precept. |
| VAT | Reclaiming | L | The Council has Financial Regulations which set out the requirements. VAT to be claimed quarterly. Clerk to monitor VAT on a regular basis. | Existing procedures adequate. |
| Annual return | Submit 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 the time limit. | Existing procedures adequate. |
| Insurance | Adequacy Cost Compliance Fidelity Guarantee | L L L M/L | An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement. | Existing procedures adequate. Review provision and compliance annually. |
| Clerk | Accident/ harm caused in | L | Personal safety alarm fitted in the office. | |

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| | the workplace | | At least one member to wait and escort off the premises after an evening meeting. Suitable Employer's liability Insurance policy in place and reviewed when necessary. | |
| Councillors | Insufficient skills within councillors to undertake effective actions | L | Widely publicise elections, engagement of the community, setting up of sub committees involving non councillors to get wider range of people involved. | |
| Community | Lack of credibility within the community | M | Action communication of information on the website, social media, and noticeboards. Prompt publication of minutes. Arrange Public meetings when necessary. | Existing procedures adequate. |
| Freedom of Information Act | Policy Provision | M M | The Council has adopted the model publication scheme for Local Councils. The Council commits to make information available to the public as part of its normal business activities. Information that is not published under this scheme may be requested under the Freedom of Information Act. | Monitor and report any impacts of requests made under the Freedom of Information Act |

LIABILITY

| Subject | Risk(s) Identified | H/M/L | Management/Control of Risk | Review/Assess/Revise |
|--|---|--------|---|--|
| Legal powers | Illegal activity or payments | L | All activity and payments within the powers of the Parish Council to be resolved at Parish Council Meetings written into BPC minutes to be approved. | Existing procedures adequate |
| Minutes/ Agendas/ Notices Statutory documents | Accuracy and legality Non-compliance with statutory requirements | L L | Minutes and Agendas are produced in the prescribed method by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Minutes and Agenda are displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair. | Existing procedures adequate. Undertake adequate training. Members to adhere to Code of Conduct. |
| Members interests | Conflict of interest Register of members interests. | M L | Councillors have a duty to declare any interest at the meeting. Register of Members interest forms to be reviewed at least on an annual basis. | Existing procedures adequate. Members take responsibility to update their register. |

PHYSICAL EQUIPMENT/ AREAS

| Subject | Risk(s) Identified | H/M/L | Management/Control of Risk | Review/Assess/Revise |
|-------------|--|-------------|--|--|
| Assets | Loss or Damage Risk/damage to third party(ies)/property Accident on Council owned land | L L M | An annual review of assets is undertaken for insurance provision, annual accounts return and maintenance provisions. Effective public liability insurance. Monitoring of condition, regular inspection of trees and land and monitoring playgrounds, sports area and any other equipment. | Existing procedures adequate Existing procedures adequate |
| Maintenance | Poor performance of | L | All assets owned by the Parish Council are regularly reviewed and maintained. | Existing procedures adequate. |

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| | assets. Risk to third parties | M | All repairs and relevant expenditure for these repairs are actioned/authorised in accordance with the correct procedures of the Parish Council. All assets are insured and reviewed annually. All public amenity land is inspected regularly. | Ensure inspections carried out. |
| Events of BPC Land organised by external bodies/commu nity. | Loss or Damage Risk/damage to third party(ies)/property Accident on Council owned land | M | Organisers of events to be held on any land/open space owned by BPC must apply in writing (completing necessary data gathering forms as requested). BPC to review each request before their permission may or may not be granted. An event cannot commence unless a suitable Risk Assessment has been conducted by the event organiser and copy provided to BPC via the Clerk. An event cannot commence unless suitable insurance cover has been arranged and documented proof provided to BPC via the Clerk. | Existing procedure adequate. Request submission forms to be created. |
| Council records - paper | Loss through theft, fire, damage | L | The Parish Council records are stored at the Parish Council Office. Records include historical correspondence, minute books, land transfers, leases for lands, burial records and records such as insurance. | Damage is unlikely so provision adequate. To be checked regularly. |
| Council records - electronic | Loss through theft, fire, damage corruption of computer | L M | The Parish Council's electronic records are stored on the Parish Council's laptop computer in the Parish Council Office. Back-ups of files are taken at regular intervals. | Back-up of electronic files produced regularly. |
| Health and Safety | Parish Council Office Parish Council Activities | L L | Premises and facilities are considered adequate by the Clerk. Meetings held in Community Centre which is considered adequate. Risk assessments to be carried out for any new BPC activities and events. Public liability Insurance held. The council to ensure that any BPC activity undertaken is covered by insurance. | Existing location adequate. Existing location adequate. Existing procedures adequate. |

The information above was agreed and approved by Bishopsteignton Parish Council and will be reviewed every 2 years to ensure content and procedures are correct.

CHAIRMAN

PROPER OFFICER/RFO

SIGNED:

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PRINT:

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DATE:

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Date adopted Minute reference Date of next review