



BISHOPSTEIGNTON PARISH COUNCIL

RISK MANAGEMENT SCHEDULE 2023-24

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	L	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.	Existing procedures adequate.
	Requirements not submitted to TDC.	L	The precept is then set based on the budget. The figure is submitted by the Clerk in writing to Teignbridge District Council.	Existing procedures adequate.
	Amount not received	L	The Clerk informs Council when monies are received (April and September).	Existing procedures adequate.
	Lack of Finances through excess spending	M	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	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.
	Financial irregularities	L	Internal and External Audit.	Existing procedure adequate. Review the Financial Regulations when necessary.

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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, reserves status and bank account statements 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 provided to all council members each quarter and included as part of the PC meeting minutes. The auditor reviews the bank reconciliation, bank statements, payments and receipts, precept budget and all related electronic records.	Existing communication procedures adequate.
Direct costs	Goods not supplied but billed.	L	The Council has Financial Regulations which set out the requirements. At each Council meeting the Council approves a schedule of payment.	Existing procedure adequate. Review the Financial Regulations when necessary.
	Incorrect invoicing	L	Chair's signature is required for this schedule which is kept as a record in the minute book.	
	Cheques incorrect	L	Although rarely used, any cheques require three signatures and counterfoils to be initialled.	
Grants and support payable	Power to pay/ Authorisation of Council to pay	L	All such expenditure goes through the required Council process of approval, with a minute taken 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. Any one-off grant will come with terms and conditions to be satisfied.	Procedure would need to be formed if required.
Best value accountability	Work awarded incorrectly	L	Normal Parish Council practice would be to seek, if possible, three quotations for any substantial work required to be undertaken or for goods: in accordance with the BPC Responsible Procurement & Purchasing policy.	Existing procedure adequate. To be included when reviewing Financial Regulations.
	Overspend on services	M	If a problem is encountered with a contract the Clerk or nominated Councillor shall investigate the situation, check the quotation/tender, research the problem and report to the full Council.	
Clerk	Fraud	L	The requirements of the Fidelity Guarantee Insurance to be adhered to	Existing procedures adequate. Membership of DALC, NALC and SLCC.
	Actions not undertaken	L	Clerk should be provided with relevant training, reference books, access to assistance and legal advice.	

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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 Governance & Accountability 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 of all insurance arrangements in place this includes a review of the Asset Register. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement.	Existing procedures adequate. Review provision and compliance annually.
Clerk	Accident/ harm caused in the workplace	L	Suitable Employer's liability Insurance policy in place and reviewed when necessary. Lone Working policy in place and regularly reviewed.	
Councillors	Insufficient skills within council membership to undertake actions effectively.	L	Widely publicise elections, engagement of the community, setting up of committees and working parties involving non councillors to get wider range of people with suitable expertise and skills 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. Regularly include an article in the Parish Chronicle.	Existing procedures adequate.
Data Protection	Breach of GDPR, Unpermitted publication of personal data	L L	Suitably secure record retention and deletion of documents in accordance with relevant policies. All councillors to be provided council specific emails and tablet for council specific business.	Existing procedures adequate. Regular review of legislation and related policy.
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 or by submitting a Subject Access Request.	Monitor and report any impacts of requests made under the Freedom of Information Act

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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 and published.	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 latest adopted Code of Conduct.
Members interests	Conflict of interest	M	Councillors have a duty to declare any interest at the meeting.	Existing procedures adequate.
	Register of members interests.	L	Register of Members interest forms to be reviewed at least on an annual basis.	Members take responsibility to update their register with the District Council.
PHYSICAL EQUIPMENT/ AREAS				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Assets	Loss or Damage	L	An annual review of assets is undertaken for insurance provision, annual accounts return and maintenance provisions. Users agreement for the issue and return of councillors tablets.	Existing procedures adequate
	Risk/damage to third party(ies)/property Accident on Council owned land	L M	Effective public liability insurance. Monitoring of condition, regular inspection of trees, land, monitoring playgrounds, sports area and any other equipment. Users Agreement policy & application form for use of BPC managed open spaces.	Existing procedures adequate
Maintenance	Poor performance of assets.	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.	Existing procedures adequate. Ensure inspections carried out.
	Risk to third parties	L	All assets are insured and reviewed annually. All public amenity land is inspected regularly.	Existing procedures adequate. Ensure inspections carried out.
Events on 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 its permission is either granted or denied. 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. Review relevant application forms when necessary.

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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. A Fire-proof, lockable safe is used for land deeds.	Damage is unlikely so provision adequate. To be checked regularly.
Council records - electronic	Loss through theft, fire, damage, corruption of computer or tablets	L M	The Parish Council's electronic records are stored on the Parish Council's laptop computer held by the proper officer. Sufficient firewall and anti-virus protection to be used. 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	Storage and working premises and facilities are considered adequate. 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 locations adequate. Existing procedures adequate.

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

CHAIRMAN

PROPER OFFICER/RFO

SIGNED: *H. Merritt*

K. Ford

PRINT: Henry Merritt

Kim Ford

DATE: 10.07.23

10.07.23

Date adopted 10.07.2023 Minute reference 2964.01 Date of next review July 2024