CAWOOD PC RISK MANAGEMENT SCHEME

ISSUE AND RISK IDENTIFIED	RISK RATING	POTENTIAL RISK IDENTIFIED	CURRENT CONTROLS	POSSIBLE FURTHER ACTION		
Financial Prudence and Probity - Potential damage to Council reputation	LOW	Parish Council/ Employees/ Parishioners	Monthly budget monitoring statements reporting year to date spend. Regular scrutiny of financial records by the appointed internal auditor. Proper arrangements for the approval of expenditure. Comply with VAT regulations. VAT payments and claims calculated by Clerk and internal and external auditor to provide double check. Internal Audit Assurance. These controls are supported in more detail in the Financial Regulations of the Parish Council.			

ISSUE AND RISK IDENTIFIED	RISK RATING	POTENTIAL RISK IDENTIFIED	CURRENT CONTROLS	POSSIBLE FURTHER ACTION
Financial Loss/ Fraudulent Activity	Medium	Parish Council/ Parishioners/ Employees	Monthly Councillor audit to check invoices against appropriate cheque stubs. Two Councillors to sign each cheque. Invoices to be checked before signing cheques and cheque stubs and invoices to be initialled. Council to ratify and authorise all payments at ordinary meetings. All financial obligations to be resolved and documented in the minutes before any commitment unless emergency spend by the Clerk in conjunction with the Chairman as set out in Financial Regulations. Direct debits / Standing Orders only approved on the bank account on instruction of the full Council. Internal Audit to check VAT entries on invoices against VAT to be claimed from Custom & Excise and amount recorded in the cashbook. Monthly bank reconciliations should be undertaken as soon as practicable following receipt of bank statements in order to maintain effective control. Back-up of all financial information held. All cash/cheques to be banked as soon as possible.	Arrangements should be made with the Council's bankers for the ability for the Clerk to view the accounts online and make payments with adequate checks and controls. The Parish Council resolved to approve the Clerk access to online and telephone banking. This should enable real-time access to view accounts.

ISSUE AND RISK IDENTIFIED	RISK RATING	POTENTIAL RISK IDENTIFIED	CURRENT CONTROLS	POSSIBLE FURTHER ACTION		
Propriety of Parish Councillors	Low	Parish Council Reputation	Members must tell the Monitoring Officer at SDC in writing within 28 days of taking office, or within 28 days of any change to the member's register of interests. A councillor shall withdraw from a meeting when it is considering a matter in which they have a disclosable pecuniary interest. If a member has a non-pecuniary interest he shall declare such interest as soon as it becomes apparent, the member may speak on the matter and not vote. Remind Councillors at each meeting of the need to consider each agenda item and decide whether to declare an interest. Remind Councillors that they need to review their Register of Interests at least annually. To provide details of receiving any gift or hospitality on the Register of Interests.	Include as an agenda item at the Annual Meeting of the Parish Council.		
Adequacy of Precept	Low	Parish Council/ Parishioners/ Employees	Ensure adequacy of annual precept through sound budget arrangements. Monthly budget updates reporting year to date spend with detailed budgets agreed by the full council annually. Budget prepared in November and reviewed by the Finance Working Party. Precept derived from budget exercise and to be considered at the December PC agenda and agreed in January.			
Insurance – Adequate for PC Risks including assets	Med	Parish Council/ Parishioners	Annual Review of the Council's insurance requirements to ensure it is at an appropriate level for all liabilities/assets. Checks made on play equipment bywardens. Asset register to be kept up to date and revised after any asset is purchased or disposed of. Insurance to be updated after any additional asset purchase.			

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Financial Regulations	Med	Parish Council/ Parishioners	Annually Review of the adequacy of the Regulations.	
Reserves	Med	Parish Council/ Parishioners	Ensure that an adequate level of reserves is maintained through the budget setting process.	
Meeting Charitable Trust Obligations			N/A	
ASSETS Maintenance of buildings and land.	Med	Parish Council/ Parishioners	A programme of annual inspections is held and maintained. Wardens to keep a "light touch" watch on assets.	Establish a planned programme of maintenance.
Protection of the Council's physical assets	Med	Parish Council/ Parishioners	Buildings insured for all risks and theft. This includes: ☒ Playing Field Pavilion/buildings. ☒ Containers ☒ OBS Street furniture insured. Office equipment insured. Street lighting NOT maintained by District Council. Regular checks of two defibrillators.	Keep adequacy of insurance cover under review annually. The PC holds buildings and contents insurance with a level of cover applicable to the total current value of all materiel assets held. CCTV installed at the playing fields.
LIABILITY				

ISSUE AND RISK IDENTIFIED	RISK RATING	POTENTIAL RISK IDENTIFIED	CURRENT CONTROLS	POSSIBLE FURTHER ACTION		
Legal liability as consequence of asset ownership Playing Field, Pavilion and Play Area including risks to users	Med	Parish Council/ Parishioners	Playing Field / play equipment, gates, fencing and surfaces are insured. Quarterly checks of play equipment are carried out by wardens. Annual independent checks made on condition/safety of all play equipment by contractors. Annual inspection of trees in PC ownership set on a three yearly rotation.			
Risks to third parties from Council assets	Med	Parish Council/ Parishioners/ Employees	Public liability insurance in place. Action taken on ad hoc basis to repair/ replace assets as required. Open spaces checked regularly and maintained by Village Handyman. Trees investigated when damage reported. Three yearly annual rotation of tree inspections. Risk assessments of individual events / activities carried out as necessary including Christmas lights and any volunteering work.	Implement annual inspection of grit bins, benches, dog bins Risk assessment before public events.		
Use of Volunteers	Med	Parish Council/ Members of the council	Public liability provided by Parish Council to cover activities by volunteers Any work undertaken by volunteers must be adequately risk assessed. A register of volunteers must be taken and retained by the Parish Council. A briefing must be given before any volunteer work is undertaken to detail the scope of the activity and any risks identified. Insurance company to be informed of any volunteer activity. PPE will be arranged as appropriate.			
EMPLOYER LIABILITY						

ISSUE AND RISK IDENTIFIED	RISK RATING	POTENTIAL RISK IDENTIFIED	CURRENT CONTROLS	POSSIBLE FURTHER ACTION		
Employer liability/ Compliance with employment law	Med	Parish Council/ Parishioners	Insurance in place. Membership of YALC/NALC. Clerk is member of SLCC. Adequate level of Fidelity insurance cover, with a minimum of £150,000. BHIB			
Safety of Staff	Med	Parish Council/ Parishioners	Clerk works from home and has a designated office space. All staff to have annual appraisals with staffing committee. H&S policy.			
LEGAL LIABILITY						
Legality of the Council's actions	Med	Parish Council/ Parishioners / Employees	Clerk clarified legal position on any new proposal. Legal advice to be sought where necessary. Membership of NALC/YALC/SLCC Professional advice when required. Appropriate training for Clerk/members.			
Proper and timely reporting via the minutes	Low	Parish Council	Council meets on a monthly basis and approves minutes of the previous meeting. Minutes are published after approval at the following month's meeting and put on the PC's website. A summary of draft minutes is put in main noticeboard before they are published on the website.			

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Proper document control	High	Parish Council / Employees	Leases and legal documents in the Clerk's possession and held in a secure cabinet. Reduce the need to keep paper records by registering ownership of land and buildings with Land Register. Other data storage to comply with the Data Protection Act and General Data Protection Regulations.	Key documents, deeds etc to be copied and originals stored in bank.		
OTHER						
Contracts – compliance with law/ensuring value for money	Low	Parish Council/ Parishioners	Standing Orders and Financial Regulations in place and reviewed annually. The Parish Council have a separate Procurement Policy for contracts and tenders. SEE FINANCE REGS			
Use of contractors various injuries, etc.	Med	Parish Council/ Parishioners & Contractors	Contractor to have public liability insurance cover of £5 million. All contractors asked for Health and Safety Policy. Evidence of registration and licence is obtained. Contractors asked by the RFO to produce risk assessments for the associated work activities. All electricians used are NICEIC registered and contractors servicing gas appliances are GASSAFE registered. Contractors handling sanitary waste, clinical waste, herbicides, pesticides etc are appropriately licensed. Work of all contractors is monitored by a nominated councillor.	Design a record for monitoring activities.		

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Use of contractors Incomplete / unsatisfactory workmanship	Med.	Parish Council	All electricians used are NICEIC registered and contractors servicing gas appliances are GASSAFE registered. Contractors handling sanitary waste, clinical waste, herbicides, pesticides etc are appropriately licensed. Evidence of registration and licence is obtained. Work of all contractors is monitored by a nominated councillor	Design a record for monitoring activities.		