

Risk Management Schedule

SOUTHWATER PARISH COUNCIL

PREVIOUSLY APPROVED: *13 MAY 2021*

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Introduction

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable Southwater Parish Council to identify any potential risks. Southwater Parish Council will take all practical and necessary steps to reduce or eliminate the risks, insofar as practically possible.



Financial, Legal & Management				
Area	Risk	Control Measures	Level of Risk	Recommendation
Precept	Adequacy of precept.	Sound budgeting and forward planning inform the precept-setting process. Monthly meetings with the Council's F&GP Committee Chairman and Vice Chairman to check income and expenditure and consider potential risks I.e., overspend or loss of the income. Budget reporting document produced monthly or on request and readily available from RBS Software.	Med	Existing procedure adequate.
Business Continuity	Council unable to operate or continue due to an unexpected or tragic circumstance.	Executive Officers have sufficient overlap in knowledge of work, duties, and capability. Staff have some and overlap of knowledge of work, duties and capability. All documents saved on a cloud which access could be gained via IT consultants. Spare keys maintained by Chairman and IT related passwords held securely by IT company.	Low	Existing procedure adequate.
Banking	Inadequate checks, mistakes, loss of signatories.	Financial Regulations are in place. Bank reconciliations checked regularly by Accounts Administrator, Executive Officers, RFO and F&GP Committee Chairman and Vice Chairman. Multiple signatories so not reliant on one individual.	Low	Existing procedure adequate. Financial Regulations reviewed annually.
Internet Banking	Unauthorised access and payments, loss of internet banking users.	Each user has their own individual security fob (dongle), username and password. Two different levels of security and user – one user type can only load payments and another user must authorise payments. Cross training and sufficient users to provide coverage.	Low	Existing procedure adequate. Financial Regulations reviewed annually.
Cash	Loss through theft or dishonesty.	Petty cash payments are checked via the accounting package, monthly spreadsheet, Accounts Administrator, Executive officers, RFO and during internal audit. Low balance of cash is held (Maximum of £250) and is locked away securely. Additional stage of authentication carried out by Executive Officer(s)/RFO to sign cash receipts and check petty cash.	Low	Existing procedure adequate.

Financial controls and records	Inadequate checks, irregularities.	Financial regulations are in place. Reviewed regularly by Executive Officer(s) and RFO, Accounts Administrator, F&GP Chairman and Vice Chairman. Meeting of F&GP Committee every two months which reviews and considers payments schedule. An appointed non-bank signatory reviews and checks bank statements and bank reconciliation.	Low	Existing procedure adequate. Financial Regulations reviewed annually.
General Reserve	Inadequate general reserve (funds) to operate.	General Reserve Policy implemented to maintain a minimum level of General Reserves exclusive of Earmarked Reserves.	Low	Existing procedure adequate. Review annually.
Insurance	Adequacy, cost, compliance, fidelity guarantee.	Annual review of insurance arrangements and schedule ahead of renewal. Administrator regularly updates and checks asset register. Employers Liability, Public Liability, Personal Accident and Fidelity Guarantee are in place.	Med	Existing procedure adequate. Review annually.
Freedom of Information Act	Policy provision. Time and costs of fulfilling FOIs.	Policy in place for responding to Freedom of Information requests. Staffing resource and budget provision in place for specialist advice.	Med	Freedom of Information Policy reviewed as required.
Executive Officer / RFO	Loss of Executive Officer / RFO.	Notice period built into contract. Council has budget provision and General Reserves Policy in place meet costs of a Locum Clerk (Executive Officer) or appropriately qualified consultant. Assistant Officer is to undertake training and work towards qualifications (within 3 years) to be appropriately placed to cover positions and work duties and responsibilities.	Med	Existing procedure adequate.
Executive Officer / RFO	Fraud.	Fidelity Guarantee insured. F&GP Chairman and Vice Chairman, Accounts Administrator, RFO (and/or Executive Officer) and F&GP Committee/Full Council regularly monitor accounts. Internal Audit carried out twice annually. External Audit carried out annually.	Low	Existing procedure adequate.
Executive Officer / RFO	Incompetence.	CiLCA course undertaken, further training as required and training budget in place. Interview process and job application to ensure sufficient experience prior to awarding job.	Low	Existing procedure adequate.

Election costs	Unbudgeted cost.	Election costs are earmarked and if there is insufficient earmarked reserves then general reserve balance held is sufficient to cover the costs and can be budgeted for accordingly the following year.	Low	Existing procedure adequate.
Council Records	Loss through theft, fire, damage, or corruption.	Confidential files are held in secure cabinets, electronic documents all backed up on cloud storage. Anti-virus software in place. Parish Council offices have processes in place to reduce risks posed by fire. Electronic files are backed up to cloud storage.	Med	Existing procedure adequate.
VAT	Charging and reclaiming.	Accounts Administrator files VAT return as required. Internal Audit ensures VAT processes followed accordingly.	Low	Existing procedure adequate.
General Power of Competence	Loss of the power available to local authorities in England to do “anything that individuals generally may do”.	Executive Officers are both CiLCA qualified and notice period built into the contract gives sufficient time to employ another Executive Officer with such qualification. <i>Assistant Officer to also undertake training to become CiLCA qualified.</i>	Med	Review as required.
Best Value Accountability	Work awarded incorrectly or overspend on services.	Council procedure requires it to seek, if practically possible, three quotations for any substantial work to be undertaken. Major contract services require a formal tendering process and where expected value exceeds £25,000 it is published via the Government Public Works Contracts Finder. Covered in Financial Regulations,	Med	Existing procedure adequate. Financial Regulations reviewed annually.
Internal Audit	Completion with time limits.	The Internal Auditor is appointed by the Council and scheduled in twice a year well in advance of planned visit. All documents provided in a timely manner.	Med	Existing procedure adequate.
Annual Governance and Accountability Return	Not submitted within time. Incorrect completion.	Prior planning and preparation in conjunction with Chairman, Vice Chairman and Accounts Administration. Timeframe chosen to coincide with the May Council meeting. Internal Auditor checks end-of-year figures and the Annual Governance and Accountability Return document.	Low	Existing procedure adequate.

Employees	Loss of staff.	Notice period built into contracts. Budget provision for Locum Clerk and a General Reserves Policy in place to cover costs of replacement or temporary staff or contractors. Personal Accident Cover included in Insurance Policy.	Med	Existing procedure adequate.
Employees	Health and Safety. Fire Safety.	All employees given training and adequate direction and safety equipment, where appropriate in order to undertake their roles safely. Refresher training to be considered as part of their annual appraisals and if appropriate to be carried out.	Med	Monitor Health and Safety and Fire Safety Policy and review the training of staff annually. Induction checklist for any new staff which requires training in Health and Fire Safety.
Emergency Events and Incidents	Not having the staff cover to work outside of contracted hours to supervise or attend issue.	Executive Officers to operate a rota and make arrangements with Councillors or Staff in order to ensure any emergency events or incidents are handled in the appropriate time frame. Communication pathways established with Officers outside of working hours.	Low	For Emergency Events and Incidents existing procedure adequate. For large scale and major incidents refer to Emergency Plan.
Tenants and Hirers of Facilities	Payment of Rents or Hiring Fees.	Signed leases or agreements are in place for all tenants. Reviewed as required. Accounts Administrator conducts financial administration, credit control and ensures payments are made as per agreements in place.	Low	Existing procedure adequate.
Legal Powers	Illegal or unauthorised actions and activity.	Decisions and payments are made within the powers of the Parish Council, resolved/approved at meetings and Minuted. Standing Orders define terms.	Low	Existing procedure adequate.
Minutes and Agendas.	Accuracy and legality.	Executive Officers are CiLCA qualified. Minutes and Agendas adhere to the legal requirements and best practice guidelines. Minutes are approved and signed at following meetings. Minutes are held on file and Agendas are displayed accordingly to the legal requirements.	Low	Existing procedure adequate. Additional training to be undertaken as required.

Reputation and Public Relations	Loss of reputation due to lack of transparency, consistency, accuracy, and clarity.	Executive Officers are CiLCA qualified. The Council has an internal audit review twice a year to ensure compliance with Local Government Transparency Code 2015.	Med	Existing procedure adequate. Additional training to be undertaken as required.
Assets, Areas and Facilities				
The Ghyll (Leisure Centre)	Public injury, damage, or loss.	Management, Building, and land Licenced to Southwater Ghyll CIO. Southwater Ghyll CIO holds Public Liability Insurance. The Council holds Public Liability and Buildings insurance in place.	Med	Existing procedure adequate. Regular review required.
Laurie Apted Building	Public injury, damage, or loss.	Management, Building, and land Licenced to Southwater Ghyll CIO. Southwater Ghyll CIO holds Public Liability Insurance. The Council holds Public Liability and Buildings insurance in place.	Med	Existing procedure adequate. Regular review required.
Beeson House	Public injury, damage, or loss.	Building, equipment, fire risk assessments carried out. Fire equipment checked weekly, emergency lighting tested monthly and inspected/maintained by a contractor every 6 months. Legionnaire's disease water checks carried out monthly. Public Liability insurance in place.	Med	Existing procedure adequate. Regular review required.
Play Areas	Public injury, damage, or loss.	Weekly checks of play equipment by trained staff. 6-month inspections carried out by Zurich (Council insurer). Public Liability insurance in place. Assets Insured accordingly.	High	Existing procedure adequate. Annual RoSPA/RPII accredited inspection to be introduced. Regular review required.
Public Open Spaces	Public injury.	High footfall areas. Contractor used to woodland management and grass cutting. Bi-annual tree survey conducted by suitably qualified external contractor and an approved tree policy. Litter wardens do weekly, and daily checks as required.	High	Existing procedure adequate. Regular review required.

Allotments	Public injury, damage or loss.	Medium footfall areas. Management outsourced and regular checks carried out on plots, fencing and water supply.	Med	Existing procedure adequate. Regular review required.
General fixed assets and equipment	Public injury, damage or loss.	Regularly reviewed, inspected and maintained as required. PAT Testing carried out to electrical equipment accordingly. Asset register updated and checked. Public Liability insurance in place. All assets are insured.	Med	Existing procedure adequate. Regular review required.
All buildings operated by SPC	Public injury, damage or loss caused by fire.	Weekly fire tests, visual inspections of firefighting equipment, monthly emergency lighting checks, 6-monthly fire evacuation testing, 6-monthly/annual servicing of fire detection, panel, equipment, and call points by external contractor. Fire Risk Assessment to be carried out every 3-years.	High	Existing procedure adequate. Regular review required.
Noticeboards	Public injury, damage or loss.	Regularly checked and maintained as required. Public Liability insurance in place. Assets Insured accordingly.	Low	Existing procedure adequate. Regular review required.
Bins (Dog and General Litter)	Public injury, damage or loss.	Regularly checked and maintained as required. Public Liability insurance in place. Assets Insured accordingly.	Low	Existing procedure adequate. Regular review required.
Bus Shelters	Public injury, damage or loss.	Regularly checked and maintained as required. Public Liability insurance in place. Assets Insured accordingly.	Low	Existing procedure adequate. Regular review required.
MUGA	Public injury, damage or loss.	Regularly checked and maintained as required. Public Liability insurance in place. Assets Insured accordingly.	Med	Existing procedure adequate. Regular review required.
Skate Parks	Public injury, damage or loss.	Regularly checked and maintained as required. Public Liability insurance in place. Assets Insured accordingly.	Med	Existing procedure adequate. Regular review required.
Football Fields	Public injury, damage or loss.	Management and maintenance outsourced to Southwater Ghyll CIO (and Southwater Royals Football Club). Risk assessments carried out and provided. Both Southwater Ghyll CIO and Southwater Royals Football Club have the adequate insurance in place.	Low	Existing procedure adequate.

Museum Items on loan from HDC Museum	Public injury, damage or loss.	Museum items are kept stored in a secure storage facility. Items are insured using the storage facility preferred insurer with an adequate level of insurance as required by the facility.	Low	Existing procedure adequate.
Other Liabilities				
Public Liability	Risk to third party, property, or individuals.	Insurance in place (£15 million indemnity). Risk assessments carried out.	Med	Review annually.
Employer Liability	Non-compliance with employment law.	Insurance in place (£10 million indemnity). Executive Officers update knowledge through training, consulting with HR Consultant and bodies NALC, SLCC, ACAS, HSE etc.	Low	Review annually.
Legal Liability	Legality of activities. Proper and timely reporting of Minutes. GDPR compliance.	Executive Officers to clarify legal position on proposals and clarify the situation if necessary. Budget provision for Legal related costs. Insurance in place. Consultant budget provision to consult with and provide training to ensure GDPR compliance if required.	Med	Review annually.
Fidelity Liability	Loss of money through fraud or dishonesty by employees or Councillors	Insurance in place (£2 million indemnity) to sufficiently cover money held across all bank accounts.	Low	Review annually.
Members Interests	Not declared pecuniary interest.	Councillors have a duty to declare interest on Agenda items if not already declared in their Members Interests and Disclosures of Interests reviewed annually.	Med	Review annually.

Risk Schedule		
Area	Frequency	Last Review
Administration: <ul style="list-style-type: none"> • Asset Register • Standing Orders • Data Back-up • Minutes numbered properly • Website 	<ul style="list-style-type: none"> • As required/as per changes • Annually • Daily and Automatic • Internal Audit / Monthly • As required 	<ul style="list-style-type: none"> • April 2022 / Ongoing • June 2021 • Ongoing • October 2021 / Ongoing • Ongoing
Assets (Assets Inspections): <ul style="list-style-type: none"> • Fire Risk Assessment of SPC operated Buildings • Play equipment • Tree Survey / Trees on SPC land • Salt Bins • Streetlights 	<ul style="list-style-type: none"> • Triennially (next due October 2024 for Beeson House) • Weekly Checks / Annual Inspection • Biyearly / Ad-hoc Checks • Annually • Annually 	<ul style="list-style-type: none"> • October 2021 • Ongoing • October 2021 / Ongoing • November 2021 • November 2021
Employer's Responsibilities: <ul style="list-style-type: none"> • Staff appraisals • Employment contracts • Training • Insurance • Health and Safety Policy • Fire Safety Policy 	<ul style="list-style-type: none"> • Annually (December/January) • Within 13 weeks of start • Budget provision (and EMR) and recorded • Mandatory and Annually • Review as required • Annually (October) 	<ul style="list-style-type: none"> • January 2022 • Ongoing • Ongoing • Ongoing • Ongoing • October 2021
Financial: <ul style="list-style-type: none"> • Banking Reconciliation • Budget Planning • Budget Agreed • Precept Requested • Salary Review • Internal Audit • External Audit 	<ul style="list-style-type: none"> • Monthly • Annually (November) • Annually (January) • Annually (January) • Annually (November) • Biannually (Mulberry & Co) • Annually 	<ul style="list-style-type: none"> • Ongoing • January 2022 • January 2022 • January 2022 • December 2021 • April 2022 / October 2021 • September 2021

<ul style="list-style-type: none"> • Internal Controls • Financial Regulations • Direct Debits • VAT 	<ul style="list-style-type: none"> • Annually • Annually • Annually (Re-approve use of Direct Debits) • Quarterly 	<ul style="list-style-type: none"> • April 2022 / October 2021 • May 2021 • November 2021 (May 2022) • Ongoing
<p>Insurance:</p> <ul style="list-style-type: none"> • Renewal of <ul style="list-style-type: none"> ○ Public Liability ○ Employers' Liability ○ Money & Fidelity ○ Assets Insurance • Changes 	<ul style="list-style-type: none"> • Annual (Review Ongoing / Renew March) • Inform Zurich of changes as required. 	<ul style="list-style-type: none"> • March 2022 • Ongoing
<p>Councillors:</p> <ul style="list-style-type: none"> • Declarations of Interest • Register of Interest • Register of Gifts 	<ul style="list-style-type: none"> • Every meeting of Council/Committee • Annually (May) / Ongoing • Annually (May) / Ongoing 	<ul style="list-style-type: none"> • Ongoing • May 2021 / Ongoing • May 2021 / Ongoing