

FRATING PARISH COUNCIL

Clerk to the Council: Mrs. Jennifer Spear

Email: fratingpc@hotmail.com

Website: www.fratingparishcouncil.org.uk

Frating Parish Council Risk Management Scheme

Adopted March 2024

Next review due March 2025

Management and Finance:

SUBJECT	RISK IDENTIFIED	H/M/L	MANAGEMENT/CONTROL	REVIEW/ASSESS/REVISE
Business Continuity	Risk of council not being able to continue its business due to an unexpected tragic circumstance	L	Hard copy records stored in a locked cabinet at the clerks home. PC hard drive backed up daily to the cloud. Documents stored in Cloud. Passwords in an envelope given to the Chair. The clerk is in the process of creating an office manual with the monthly procedures and log ins to help support this. The clerk will provide a copy to the Chair as a back up.	Review at annual meeting in May
Meeting Location	Health & Safety Accessibility Adequacy	L	Meetings are held in the Village Hall. Any Health and Safety concerns reported to the Village Hall Management Committee for action. Keys are held by the Chair	Review at annual meeting in May

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Council Records	Loss through theft, fire, damage or corruption	M	Ensure adequate backup and insurance. Ensure anti-virus software in place and enforce IT user policy	Review at annual meeting in May. Insurance reviewed and renewed annually.
Precept	Ensuring precept is adequate.	M	Sound budgeting and forward planning underlie and inform the precept-setting process, monthly bank reconciliations and bi-annually budget versus expenditure reported to the full council.	Existing procedure adequate.
Insurance	Adequacy, cost, compliance, Fidelity guarantee	M	Annual review of insurance arrangements and schedule ahead of renewal. Update fixed asset register when required. Ensure employers liability, public liability, cyber liability and Fidelity guarantee are in place.	Review at annual meeting in May and through annual review of insurance policy renewal.
Financial controls and records	Inadequate checks	L	Financial regulations are in place. payments presented monthly with accompanying documentation.	Financial Regulations reviewed at annual meeting in May
Banking	Inadequate checks/bank errors	L	Financial regulations are in place. bank reconciliations are produced monthly and checked by the Full Council.	Financial Regulations reviewed at annual meeting in May
Cash	Loss through theft or dishonesty	L	No petty cash held.	Existing procedures adequate.

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Freedom of Information Act	Policy provision	L	Policy in place and clear guidance for responding to FOI requests	FOI policy reviewed at annual meeting in May
Clerk/RFO	Loss of clerk/RFO	M	Notice period built into contract. Creation of an office Manual/ Guide	Existing procedures adequate.
	Fraud	L	Fidelity guarantee insured. Finance Committee monitors accounts.	Insurance reviewed and renewed annually in June
	Incompetence	L	CiLCA completed	Clerk fully CiLCA competent. Training policy reviewed at annual meeting in May
	Payroll	L	Outsourced to an external provider. Head of Personnel Committee checks salary breakdown and full council approval required before salary submitted to HMRC.	Existing procedures adequate
Election Costs	Unbudgeted costs	L	Ensure sufficient budgeting for election cost or earmark reserves.	Existing procedures adequate.
VAT	Charging/Re-claiming	L	The Parish Council has no services for which it must charge VAT. VAT is reclaimed from HMRC at least annually.	Existing procedures adequate. Annual check by internal auditor.
Annual Return	Ensuring submission within time frame	L	Timeframe chosen to coincide with June council meeting.	Existing procedures adequate
	Incorrect completion	L	Internal auditor and external auditor check end-of-year figures and documents.	Internal auditor appointed annually

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				External Auditor appointed externally
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Liability:

Legal Powers	Illegal activity or payments by the Council. Working groups making autonomous decisions.	L	Decisions and payments made only within the powers of the Parish Council, resolved at Parish Council meetings and minuted. Terms of reference outlined in Standing Orders.	Existing procedures adequate. Standing Orders reviewed at annual meeting in May.
Minutes/agendas	Accuracy/Legality Non-compliance	L	<p>Clerk is fully trained to produce minutes and agendas in the prescribed format which adhere to legal requirements.</p> <p>The Clerk ensures that a formal 'Minutes' book is maintained and that all minutes are signed and recorded in that book.</p> <p>Minutes are approved and signed by the Chair at the next available council meeting.</p> <p>Agendas are circulated to councillors and displayed on the noticeboards and on the website in accordance with legal requirements.</p>	<p>Existing procedures adequate</p> <p>Adequate councillor training and development</p> <p>Members adhere to Code of Conduct</p> <p>Standing Orders reviewed at annual meeting in May.</p>

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			Business at meetings conducted in accordance with Agenda and Standing Orders which are reviewed annually.	
GDPR	Storing information/risk of data breaches	L	Council has in place GDPR policy and a data audit with actions taken to protect personal data	GDPR policy reviewed at annual meeting in May
Public Liability	Risk to third party, property or individuals	M	Insurance in place (£10m indemnity), risk assessments carried out.	Insurance reviewed and renewed annually.
Employer Liability	Non-compliance with employment law	L	Insurance in place (£10m indemnity). Clerk updates knowledge through NALC, SLCC, TDALC, HMRC, HSE, etc.	Insurance reviewed and renewed annually.
Legal Liability	Legality of activities Proper and timely reporting via Minutes Proper document control	M	Clerk to clarify legal position on proposals and clarify situation if necessary Official's indemnity £500,000 Retention of Documents Policy in place	Insurance reviewed and renewed annually.

Councillor's propriety:

Members interests	Not declared/out of date	M	Councillors have a duty to declare interests on agenda items. Disclosures of interests reviewed annually.	Existing procedure adequate. Reviewed at annual meeting in May
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Assets:

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Assets Maintenance/Damage (Benches, Litter bins, finger posts, cycle racks)	Loss or Damage	L	Adequate insurance is in place and reviewed annually and an up to date register of assets is maintained which is reviewed annually.	Existing procedure adequate. Insurance reviewed and renewed annually.
Street Lights	Public injury Loss or damage	H	High footfall areas. Annual inspection carried out by qualified lighting contractor and regular visual inspections throughout the year. Public liability insurance in place.	Existing procedure adequate. Insurance reviewed and renewed annually.
Noticeboards	Public injury Loss or damage	L	Public liability insurance in place, monthly inspections carried out.	Existing procedure adequate. Insurance reviewed and renewed annually.
Village sign	Public injury Loss or damage	M	Located in areas with high footfall, public liability insurance in place.	Existing procedure adequate. Insurance reviewed and renewed annually.
Office Equipment	Staff/councillor injury Loss or damage	L	Insurance/Employer's liability in place, fixed asset register updated when required.	Existing procedure adequate. Insurance reviewed and renewed annually.

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Risk Schedule:

Item	Frequency	Last review	Comments/Actions
Asset inspection: <ul style="list-style-type: none"> • Street lights • Trees • Litter bins • Finger posts • Noticeboard • Village signs 	<ul style="list-style-type: none"> • Regular (clerk/cllrs), annually (A&J Lighting) • Regular (Cllrs) • Regular (clerk/cllrs) • Regular (clerk/cllrs/footpath Inspector) • Regular (clerk/cllrs), weekly • Regular (clerk/cllrs), quarterly 	<ul style="list-style-type: none"> • Annually 	Records kept by clerk
Parish Council insurance, including: <ul style="list-style-type: none"> • Public liability • Employer's liability • Money & Fidelity guarantee • Personal accident • Fixed assets 	Annually before renewal		Reviewed by full council in May every year prior to June renewal
Financial matters: <ul style="list-style-type: none"> • Banking arrangements • Insurance providers • VAT returns • Budget agreed • Precept requested • Bank reconciliation • Salary review • Internal audit 	<ul style="list-style-type: none"> • Annually or if change of signatories • Annually by Council • At least annually by clerk • December council meeting • Latest January by clerk • Monthly clerk • Annually within budget review or NALC guide • Annually 	<ul style="list-style-type: none"> • Dec 2023 • June 2023 • April 2023 • Dec 2023 • Dec 2023 • Feb 2024 • Dec 2023 • Apr 2023 	Existing procedure adequate

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<ul style="list-style-type: none"> External audit Internal controls Financial regulations 	<ul style="list-style-type: none"> Annually by PKF Littlejohn Annual review of finance regulations Annual review 	<ul style="list-style-type: none"> Aug 2023 TBC TBC 	
Administration: <ul style="list-style-type: none"> Minutes properly numbered Asset register available/up to date Standing Orders reviewed Computer back-up 	<ul style="list-style-type: none"> Internal audit (April) Internal audit (April) Annually Daily 	<ul style="list-style-type: none"> Apr 2023 Apr 2023 May 2023 	Existing procedure adequate
Employer's responsibilities: <ul style="list-style-type: none"> Employment contract Staff appraisals Training & development Contractor's indemnity insurance Health & safety policy/procedure Other employment policys 	<ul style="list-style-type: none"> By first start Date Annually (October) tbc Budgeted and recorded Mandatory for commission In place Personnel Committee 	<ul style="list-style-type: none"> Dec 2023 Ongoing June 2023 	Existing procedure adequate
Member's responsibilities: <ul style="list-style-type: none"> Code of Conduct adopted Registers of Interest completed and up to date Declarations of Interest minuted 	<ul style="list-style-type: none"> Annual review Annual review Agenda item at every meeting of council/committee 	<ul style="list-style-type: none"> May 2023 May 2023 Mar 2023 	Existing procedure adequate

Adopted by the Council on **to be added** . The Scheme should be reviewed annually.

SIGNED

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CLERK Mrs JA Spear

DATE: to be added