

**MEPAL PARISH COUNCIL
RISK MANAGEMENT SCHEDULE POLICY**

This Risk Management Policy was considered by the Council on 14th May 2018 and will be reviewed again in 12 months.

| <u>Area</u> | <u>Risk</u> | <u>Level</u> | <u>Control</u> | <u>Responsibility of RFO/Clerk</u> | <u>Frequency/How Risk Managed</u> |
|-------------------------|---|--------------|---|--|---|
| Finance | Banking Arrangements | M | Council funds held in Unity Trust Bank | Maintain Council accounts | Cash & cheques paid in via NatWest as soon as possible after receipt. |
| | Fraud | H | Apart from transfers between Parish Council accounts, all payments must have signatories of two councillors. Online payments must be processed by the Clerk and approved using a password protected website by two councillors. | Keep cheque book secure, cheques and stubs to be signed and on-line banking details kept confidential. | Ongoing/Insurance |
| | Risk of theft of money or goods | H | Fidelity Guarantee Insurance £27k - covers half precept plus the amount held in bank accounts as at 31 March. Important documents backed-up and taken off premises. No Petty Cash held. | Assess figures at 31 March. Report to Council if figure insufficient to cover. | Annually/Insurance |
| | Financial controls and records | M | Quarterly reconciliation prepared by RFO and checked by different councillors. Internal and external audit. | Prepare quarterly accounts reconciliation and relevant paperwork. | Quarterly/Self managed |
| | Proper use of funds granted to local community bodies under specific powers or under section 137. | H | Monitor legal powers and use of section 137 | Ensure powers are recorded in Minutes and monitor use of section 137. | As required/Self managed |
| | Keeping proper financial records in accordance with statutory requirements. | M | As per current Audit and Accounting Regulations. | Regular scrutiny of financial records and proper arrangements for the approval of expenditure. | As required/Self managed |
| | Comply with Customs and Excise Regulations | H | VAT claims calculated by Clerk and checked against Accounts Payment sheet. Internal auditor to check. | VAT recorded on payment sheets. Copies of VAT claim form held in files. | Quarterly/Self managed |
| | Sound budgeting to underlie annual precept | M | Finance Working Party prepares detailed budgets in the late autumn. Precept derived directly from this. Expenditure against budget reported quarterly. | Prepare annual budget and year end forecast. Budget forecasts issued quarterly. | Annually/Quarterly/Self managed |
| | Insurance - failure to provide adequate cover. | H | Annual review of insurance covers, including consideration of whether any new or extended covers may be needed. | Prepare annual report to the Council. Ensure that any potential claims are reported promptly to the insurers. | Annually/Insurance |
| | Comply with borrowing restrictions | L | Borrowing requests approved by full council and scrutinised by CAPALC before being sent for sanction. Included in internal and external audit checks. | Ensure loans properly administered and funds available for repayment. | Annually/Self managed |
| Public Liability | Legal liability to the public as consequence of asset ownership (equipment & street furniture) | H | Insurance in place. Risk Assessments carried out as per schedule and written records kept. | Ensure adequate liability insurance in place. Ensure that all structures belonging to the Council are inspected regularly and that inspection is recorded. | As per schedule/Insurance |
| | Legal liability to the public in relation to events organised by the Council. | H | Insurance in place. For major events, all health and safety issues to be formally considered early in the planning process and regularly reviewed. Written records to be kept. Venues to be thoroughly inspected for safety prior to public admittance. Information to be communicated to the public and suppliers on a timely basis, e.g. evacuation procedures. | Ensure controls are adhered to, and that agreed recommendations are implemented. | As required/Insurance |
| Assets | Protection of physical assets owned by the Council | M | Maintain assets register. Ensure correct insurance cover. Value increased annually by RPI. | Maintain assets register. | Annually/Insurance |
| | Play Area | M | Maintain safe equipment | Regular maintenance & safety checks and take unsafe equipment out of service until repairs are carried out. | Monthly/self managed |

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|---------------------------|--|--------------|---|---|--|
| | Allotments | L | Increase in net expenditure Constant annual increase in expenditure allied with an increase in void plots | Review allotment rents annually. Consider closing specific site | Ongoing/self managed |
| | Security of building, equipment etc | H | Pavilion - details covered within lease | Responsibility of lessee | Ongoing/self managed |
| | Office equipment | M | Filing cabinet, laptop and printer kept at Clerk's house. All other office equipment belongs to the Clerk. | Maintain office equipment. | Annually/Insurance |
| | Stocktake of assets | M | To be reviewed annually prior to insurance renewal | | Annually/Self managed |
| | Maintenance of buildings etc | L | Pavilion - details covered within service level agreement once new lessee found. | Weekly inspection from Handyman and Monthly fire alarm testing. | Annually/Insurance |
| Employer Liability | Comply with Employment Law | M | Contract of Employment and Annual Appraisal reviewed by Line Manager. Membership of various national and regional bodies. | Ensure contracts and systems of updating records for any changes in relevant legislation are in place. Ensure Council renews membership annually. | Annually/Self managed |
| | Comply with Inland Revenue requirements | M | Regular advice from Inland Revenue. Internal auditor carries out annual checks | Maintain correct Tax & NI deductions and complete relevant forms and returns to Inland Revenue. | Annually/Self managed |
| | Safety of Staff | M | Employer's Liability Insurance. H&S risk assessment check of Clerk's office annually by H&S Officer - report to Council. | To ensure sufficient cover in place and assessments carried out. | Annually/Insurance |
| Legal Liability | Ensuring activities are within legal powers | H | Clerk clarifies legal position on any new proposal. Legal advice to be sought where necessary. | Report on legal powers and seek legal advice where necessary. | As required/assistance from CPALC, NALC & SLCC |
| | Proper and timely reporting via the Minutes | M | Full Council Meeting receives and approves Minutes. Minutes available to public and press in accordance with the Freedom of Information Act. | Minutes properly numbered and paginated with a master copy kept in safekeeping. | Monthly/self managed |
| | Data Protection | L | Data protection registration to be maintained with the Information Commissioner and guidance followed in relation to all personal information. | Registration completed June 2006 and renewed annually Clerk attended course for new legislation from May 2018 | Annually/Self managed |
| | Performing rights, copyright and software licences. | M | Appropriate licences to be obtained and maintained. | Ensure licences obtained where necessary and conditions observed. | As required/Self managed |
| | Proper document control | M | All current documents and electronic records held at Clerk's Office. Archived at Mepal Village Hall and County Record Office as appropriate. Electronic records backed up monthly and stored off site | Ensure regular backup of electronic records taken. Ensure regular archiving to protect security of documents. | Annually/Daily/self managed |
| | Register of Interests and Gifts and Hospitality in place | H | Declaration of Interests Statements completed by Councillors and sent to the Monitoring Officer, East Cambridgeshire District Council. | New statements to be completed following election. Ensure each new Councillor receives one for completion. Statements are reviewed annually at the AGM. Councillors are responsible to notify any change of circumstances within 28 days. | Annually/Self managed |

Risk Management Policy Assessed by Councillor

Signature.....

Date.....