Brockworth Parish Council Risk Management Schedule

The Risk Management Schedule enables the Council to assess any risks and satisfy itself that it has taken adequate steps to minimise them, whilst recognising that not all risks can be eliminated. The Schedule should help the Council to identify and manage such risks, record findings and review or revise procedures accordingly.

Service Area		**Risk**	**Likelihood (1, low – 3, high)**	**Risk Rating H/M/L**	**Control of Risk**	**Review/actions carried out**
Insurance	1.1	Public Liability (statutory)	1	M	Continue existing cover	Reviewed annually
	1.2	Employers Liability (statutory)	1	M	Continue existing cover	Reviewed annually
	1.3	Loss of money	1	L	Continue existing cover	Reviewed annually
	1.4	Fraud/theft of money by employee	1	L	Continue existing Fidelity Guarantee cover	Reviewed annually
	1.5	Damage/loss of all property	2	M	Continue with existing cover on Community Centre, playground equipment and other assets contained within the Council's agreed Asset Register.	Reviewed annually
	1.6	Loss of revenue	1	M	Continue existing cover	Reviewed annually
	1.7	Officials Indemnity	1	M	Continue with existing cover	Reviewed annually
	1.8	Libel & Slander	1	M	Continue with existing cover	Reviewed annually
	1.9	Personal Accident	1	M	Continue existing cover (scale benefits).	Reviewed annually
	1.10	Loss of internet/email	1	L	Continue existing cover	Reviewed annually

Employment	2.1	Loss of services of employee	2	H	Immediately advertise any vacancy (if permanent loss) and consider employing a locum Clerk or temporary agency staff for cover of essential services. Ensure budget provision in place for employment of emergency temporary staff	No current need Allocated reserve for this purpose
`	2.2	Payments to employee	1	L	Ensure compliance with current NI, PAYE and pension regulations. Salary reviewed annually. Clerk to sign off staff time sheets. Member of Resources Committee to sign off Clerk's timesheet, including approval of additional hours worked Payments signed off by two councillors against information provided by external payroll provider	Assessed as part of internal audit. Reviewed in year. Additional hours approved by email. Two councillors authorise and approve salary payments
	2.3	Clerk unable to perform role through inadequate training	1	M	Ensure adequate training is provided, and reviewed during annual appraisal or when new legislation/regulations are introduced	Training as required has been carried out.
Administration	3.1	Payment arrangements	1	L	Continue with requirement to report all payments to Council for approval on a monthly basis. Continue with requirement for two signatories to sign cheques, initial cheque stubs and invoices or two councillors to approve online payments	All payments reported and checked by internal audit process. Two councillors approve and authorise all online payments/sign cheques against approved payment list and copies of invoices

	3.2	Reconciliation	1	L	Continue with bank reconciliations on all bank accounts to be carried out on the receipt of each statement and report balances monthly to Council. Continue with Councillor sign off of monthly reconciliation and report to Council	Financial reports minuted monthly A councillor has signed off all monthly reconciliations and minutes reflect this
	3.3	Loss of bank signatories	2	M	Ensure at least 4 councillors are on bank mandate and can approve payments. If a councillor resigns, a new signatory should be put in place at the earliest opportunity	4 councillors on mandate; review if councillor(s) resigns
	3.4	Agency advice	1	M	Continue with memberships of GAPTC, NALC and SLCC, NAS, GPFA and ICCM	Renewed annually.
Business Continuity	4.1	Loss of council records	1	M	Continue to store all council documents on Microsoft 365 in the Cloud and additional SaaS services provided by Edge IT Systems. On an annual basis review and transfer archive council paper records to Gloucestershire County Council. Council paper records kept in locked cabinets at Community Centre. Keys held by Clerk to filing cabinets. Use of cloud-based accounting, booking and cemetery management systems	All documents stored on One Drive/SharePoint Requires action. Records secure. Data held securely and backed up with audit trail
	4.2	Access to staff computers and passwords held by the staff	1	M	The Clerk to give a sealed envelope (signed across the seal) to the Chairman for safe keeping which contains all the passwords to access the Clerk's computer, website logins and email passwords and access to other essential services	Chairperson has copy of passwords to access Clerk's computer.

	4.3	Covid-19 pandemic Council inquorate due to councillors' illness due to Covid-19 pandemic Clerk off sick due to Covid-19 pandemic	1	M	Delegation scheme to allow the Clerk to make decisions in consultation with councillors by email if necessary Other staff available to cover urgent work. General reserves to pay for locum clerk if required.	Approved in Dec 2021 Full Council and reviewed annually. **Need to consider arrangements if whole team goes off sick**
Maintenance of Assets	5.1	Loss of use of play equipment	1	M	Continue with regular maintenance and safety checks and take unsafe equipment out of service until repairs carried out. Continue to have annual playground inspection. Handyperson trained and carries out visual playground inspection and sends report to Clerk. Ensure adequate insurance is in place	Annual inspections. Handyperson to carry out regular visual inspections fortnightly. Insurance renewed annually
	5.3	Loss or damage to Community Centre	1	H	Continue with regular monthly maintenance and safety checks to building and environs, including daily visual inspections. Regular servicing checks and maintenance of security and firm alarm systems. 5-year electrical testing undertaken, annual PAT testing and annual servicing of boilers Faults and repairs to building reported to Clerk/Building Manager and repairs initiated promptly. Ensure adequate insurance is in place.	Record of all safety, maintenance and service checks Annual programme of servicing Insurance renewed annually.

					Business continuity plan in case building and offices cannot be used	Possible for whole team to work from home with easy access to all documents through Microsoft 365
	5.3	Condition of assets such as public open space, bus shelters, benches, litter bins and noticeboards	1	M	**Carry out regular quarterly inspections of all assets and monitor for deterioration.** **Asset register list all council assets**	**Requires action.** **Asset register needs to be reviewed**
	5.4	Maintenance and management of Trees	2	H	Biennial inspection of all trees that council is responsible for by a qualified tree specialist. Undertake all works necessary as a result of inspection advice. Regular visual inspections of trees in high-risk areas and those identified to be monitored.	Council Tree Policy adopted 2021. Bi-annual tree survey undertaken in 2021. All trees mapped 2021
	5.5	Memorials in Cemetery	1	L	Clear policy for memorials managements and responsibilities of grave owners Risk assessment for cemetery in place Staff trained in how to inspect memorials which are inspected annually.	Memorial tree and benches policy reviewed 2023. Cemetery regulations reviewed 2022
Precept	6.1	Annual precept not the result of proper detailed consideration	1	M	Continue to discuss budgets with committees annually in Oct/Nov to agree budget and recommend to full council	Regular agenda item on all committees in the autumn

	6.2	Inadequate monitoring of performance	1	L	Continue to monitor budget versus actuals quarterly. **Councillor to carry out quarterly reconciliation as set out in Financial Regulations and internal audit checks**	Contained in minutes. **Requires action**
	6.3	Illegal expenditure	1	L	Continue to ensure that all expenditure is within legal powers as set out in Financial Regulations by signing of all payments and approving any contracts awarded before work takes place	All expenditure approved by Council and contained within minutes
	6.4	Council reserves	1	H	Council has in place adequate reserves and a reserves policy. Reserves are reviewed on an annual basis to ensure they are adequate. Investment policy in place to protect council's assets	Investment Policy reviewed 2023. Reviewed at budget setting and annual council meeting
Accounting	7.1	Non-standard and/or non-compliant records kept	1	L	Continue to require adequate, complete and statutory financial records and accounts. Processes are reviewed annually by Internal Auditor and, where required, subject to External Audit	Internal audit carried out in year
	7.2	Non-compliance with statutory deadlines for the completion/approval/submission of accounts and other financial returns	1	L	Continue to ensure that all accounts and returns are completed and submitted by the deadlines and AGAR approved by June each year.	AGAR deadlines met
	7.3	Non-compliance with internal audit requirements	1	L	Appoint internal auditor and continue practice of agreeing an action plan and following up at full council meeting.	Auditor appointed and action plan agreed by Council

	7.4	VAT reclaim not processed	1	L	Submit VAT reclaim on a quarterly basis. Forms part of Internal Audit checks annually	VAT returns completed quarterly
Contracts	8.1	Ensure continued value for money coupled with continuity of work	1	L	Comply with financial regulations in obtaining 3 quotations for work required for larger items. For specialist work carry out due diligence on contractor before appointing including references sought if necessary and copy of public liability insurance retained by the Clerk	Quotations obtained in accordance with Financial Regulations
Events	9.1	Loss or theft of cash	1	L	**Use a locked tin for all donations at events. 2 people to count donations after event and sign a reconciliation sheet. Tin and reconciliation to be handed to Clerk at earliest opportunity. Cash to be checked and signed for by Clerk on handover and banked.**	**Requires action and compliance**
	9.2	Public safety at events	2	M	Volunteer stewards to be present to assist members of the public in attendance. Risk assessment carried out prior to event. Risk assessments and insurance checked for all suppliers and concessions	Risk assessment in place and reviewed prior to each event. Event documentation held by Clerk
Data Protection	10.1	Inadequate protection of personal data relating to employees/members of the public	2	M	Renew ICO registration annually. Review all GDPR policies using the dates agreed by Council noted within policies	ICO registration renewed each year. Reviewed annually
	10.2	Inadequate data lifecycle management	2	H	Review storage arrangements of privileged information by past and present employees and councillors.	Information Security policy in place needs review
	10.3	CCTV	1	L	Council CCTV policy in place	Policy reviewed annually.

					Cameras checked daily to ensure that they are working appropriately. Access to system limited to named staff and authorised enforcement agencies. Information provided about how public can access system through Subject Access Request form. CCTV system registered with the ICO and Surveillance Camera Commissioner	Annual report on CCTV usage provided to annual council meeting
Freedom of Information	11.1	Information available to members of the public requesting it	1	L	Review the Publication Scheme every year to ensure compliance with legislation. FOI requests logged and reported to Council	Reviewed in year
Meetings	12.1	Inaccuracy in recording of council decisions in minutes	1	L	Draft minutes reviewed by Chairman for inaccuracies before publication. Minutes approved formally at next council meeting	Chairman reviewed and all minutes published and approved formally at meetings
	12.2	Timing of publication of minutes and agendas	1	L	Published within timeframes set out in Standing Orders and in accordance with Transparency Regulations	Agendas & minutes all published as required. Transparency Regulations checked as part of internal audit
	12.3	Adequacy of meeting location	1	L	Clerk to carry out a visual inspection prior to meeting, including any Covid-19 measures required	Clerk undertakes checks of room
	12.4	Acting outside of the legal powers of local councils	2	M	Clerk to seek legal advice if unclear through GAPTC, NALC or SLCC	Advice sought as required
	12.5	Councillors acting outside of their powers	2	M	Councillors to undertake training in accordance with the Council's Training & Development Policy	All councillors offered training in year.

Register of Members' Interests	13.1	Members' Interests not notified to Borough Council	1	L	Clerk to remind councillors at Annual Meeting although onus on councillors to declare their interests	All interests declared following election and link published on website
	13.2	Members' Interests declared at a meeting when required	2	L	Agenda item at every meeting to ask councillors if they wish to declare an interest	Contained within agendas and minutes.
Reputation	14.1	Damage to reputation due to members acting outside of their remit	2	M	All members to be offered regular training and to have read and understood Council policies including Standing Orders	No action required as training up to date. Reported to monitoring officer as necessary
	14.2	Damage to reputation due to Clerk acting outside of legal duties	1	M	Clerk to undertake regular training. Clerk to be fully qualified.	Clerk is CiLCA qualified. Ongoing ad hoc training undertaken in year as required
	14.3	Damage to council reputation because of adverse media coverage or public accusations	1	L	All official council communications are managed and overseen by the Clerk in conjunction with Chairperson. Council's official social media is managed by Council staff. Only Clerk and specifically designated Councillors are authorised to provide official statements	Media and Communications Policy in place Training available to councillors and staff regarding communications