

## Wrockwardine Parish Council Risk Management Scheme

This Risk Assessment is a systematic general examination of working conditions, workplace activities and environmental factors that should enable the Parish Council to identify any and all potential inherent risks. The Parish Council, based on a recorded assessment, will take all practical and necessary measures to reduce or eliminate the risks, insofar as is practically possible.

This document has been produced to enable the Parish Council to assess the potential risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

The RAG rating after mitigation/control is either **RED**, **AMBER**, **GREEN**

**RED** – High level risk needing immediate attention to mitigate potential risk to the Council

**AMBER** – Medium level risk that needs attention/is currently under review and poses some risk to the Council

**Green** – Current processes adequate

The assessment is split into 6 parts:

1. Finance
2. Assets
3. Operations
4. Compliance
5. Systems
6. People

## 1. FINANCE

Specific Risk	Mitigation/Control(s)	Current Status	RAG after mitigation
<b>Funds available to carry out Council objectives/duties</b>	➤ Prepare & review Annual Budget & set precept	Done annually	Green
	➤ Prepare and review a 3-year forecast	Not currently done	Amber
	➤ Maintain appropriate reserves	Reserves are maintained in accordance with the agreed Reserves Policy & reviewed annually Finance is a standing agenda item on monthly meeting & accounts are presented to Council for scrutiny	Green
	➤ Regularly monitor financial performance	Financial Regulations reviewed annually	Green
	➤ Establish, maintain & review Financial Regulations	Financial Regulations reviewed annually	Green
<b>Access to funds</b>	➤ Establish, maintain and review appropriate Financial Regulations	Financial Regulations reviewed annually	Green
<b>Maintaining financial records</b>	➤ Monthly accounting	Finance is a standing agenda item at Full Council meetings where accounts & bank reconciliations are presented to Council and approved as necessary	Green
	➤ Use of on-line accounting package	SCRIBE accounting package used for accounting purposes since April 2019	Green
<b>Bank &amp; banking</b>	➤ Establish, maintain & review appropriate Financial Regulations to set out the requirement & procedure banking	Financial Regulations reviewed annually	Green
	➤ Regularly monitor financial performance	Finance is a standing agenda item at Full Council meetings where accounts & bank reconciliations are presented to Council and approved as necessary	

<b>Protection of funds</b>	<ul style="list-style-type: none"> <li>➤ Use of more than one bank account</li> <li>➤ Regular audit of bank account details</li> <li>➤ Adequate computer virus/software protection for on-line banking</li> </ul>	<p>Additional savings account opened with Nationwide Building Society Clerk checks bank accounts monthly and as required</p> <p>Virus protection installed on Council's PC &amp; laptop alongside recommended account protector download as recommended by bank</p>	<p>Green</p> <p>Green</p> <p>Green</p>
<b>Payment of suppliers, staff &amp; others</b>	<ul style="list-style-type: none"> <li>➤ Regular auditing by councillors</li> <li>➤ Internal/External Audit</li> </ul>	<p>Finance is a standing agenda item at Full Council meetings where accounts and bank reconciliations are presented to Council. Full Council agreed that an internal financial review would also be undertaken quarterly by a non-signatory councillor.</p> <p>All accounts are subject to internal &amp; external audit at year end</p>	<p>Green</p> <p>Green</p>
<b>Fraud by suppliers, staff or others</b>	<ul style="list-style-type: none"> <li>➤ Obtain &amp; regularly review appropriate insurance</li> <li>➤ Establish, Maintain &amp; review appropriate Financial Regulations to set out procedures for dealing with fraud</li> <li>➤ Establish an appropriate policy for dealing with fraud by members of staff</li> </ul>	<p>In place &amp; reviewed annually</p> <p>Financial Regulations reviewed annually</p> <p>Disciplinary &amp; Grievance Policy sets out procedure for dealing with fraud by staff, reviewed annually</p>	<p>Green</p> <p>Green</p> <p>Green</p>
<b>Receipt of grant monies</b>	<ul style="list-style-type: none"> <li>➤ Establish, maintain &amp; review appropriate Financial Regulations to set out the requirement &amp; procedure for receiving grants</li> </ul>	<p>Financial Regulations reviewed annually</p>	<p>Green</p>
<b>Power &amp; authorisation to pay grants (Sect 137)</b>	<ul style="list-style-type: none"> <li>➤ Establish, maintain &amp; review appropriate Financial Regulations to set out the procedure for payment of grant monies</li> </ul>	<p>Financial Regulations reviewed annually. All expenditure goes through the required Council process for approval, minuted and listed accordingly if a payment is made</p>	<p>Green</p>
<b>Best value accountability</b>	<ul style="list-style-type: none"> <li>➤ Establish, maintain &amp; review appropriate Financial Regulations to set out the requirement for best value accountability</li> </ul>	<p>Financial Regulations reviewed annually</p>	<p>Green</p>

<b>Salaries and associated costs</b>	<ul style="list-style-type: none"> <li>➤ Establish, maintain &amp; review appropriate Financial Regulations setting out requirements &amp; procedures for all payments</li> </ul>	Financial Regulations reviewed annually. All salaries & associated costs are presented to Council for approval monthly and authorised by Full Council	<b>Green</b>
<b>VAT</b>	<ul style="list-style-type: none"> <li>➤ Establish, maintain &amp; review appropriate Financial Regulations to set out the requirement &amp; procedure for reclaiming VAT</li> </ul>	Financial Regulations reviewed annually	<b>Green</b>
	<ul style="list-style-type: none"> <li>➤ Control by the Clerk &amp; Responsible Finance Officer</li> </ul>	Clerk has attended relevant training with HMRC & receives necessary updates when applicable	<b>Green</b>
<b>Authorisation and control of supply of goods &amp; services to the Council</b>	<ul style="list-style-type: none"> <li>➤ Regulation by Financial Regulations &amp; Standing Orders</li> </ul>	Financial Regulations and Standing Orders reviewed annually	<b>Green</b>
	<ul style="list-style-type: none"> <li>➤ Control by the Clerk &amp; Responsible Finance Officer</li> </ul>	Clerk adheres to Standing Orders & Financial Regulations. All costs are presented to Council for approval	<b>Green</b>
	<ul style="list-style-type: none"> <li>➤ Regular audits</li> </ul>	Internal & External Audits undertaken annually	<b>Green</b>

## 2. ASSETS

Specific Risk	Mitigation/Control(s)	Current Status	RAG after mitigation
<b>Loss of assets (including inability to prove ownership)</b>	<ul style="list-style-type: none"> <li>➤ Maintain and review Asset Register</li> </ul>	Asset Register updated when necessary and reviewed annually by Full Council	<b>Green</b>
	<ul style="list-style-type: none"> <li>➤ Obtain deeds and/or Land Registry confirmation</li> </ul>	Documentation is complete	<b>Green</b>
<b>Damage to assets</b>	<ul style="list-style-type: none"> <li>➤ Obtain &amp; regularly review appropriate insurance</li> </ul>	Bus shelters & playground equipment insured for loss, destruction or unauthorised entry resulting in theft or damage of contents and all building and contents valuations adjusted annually	<b>Green</b>
	<ul style="list-style-type: none"> <li>➤ Maintain up to date Asset List</li> </ul>	Asset list up to date	<b>Green</b>
	<ul style="list-style-type: none"> <li>➤ Ensure regular inspection of 3 play-grounds &amp; outdoor gym</li> </ul>	Weekly & yearly (RoSPA) inspections in place	<b>Green</b>

	➤ Monthly inspection of bus-shelters	Clerk inspects when placing monthly notices	Green
<b>Asset deterioration</b>	➤ Regular inspections and appropriate maintenance programme	Take place as with damage to assets	Green
<b>Liability from ownership</b>	➤ Obtain & regularly review appropriate insurance	Insurance in place & reviewed annually	Green

### 3. OPERATIONS

Specific Risk	Mitigation/Control(s)	Current Status	RAG after mitigation
<b>Delivery of services or projects</b>	➤ Placing & monitoring contracts for regular services	Ongoing	Green
	➤ Maintaining & reviewing an Outstanding Actions List	Ongoing	Green
<b>Contractors/volunteers on Council activity</b>	➤ Material contracts subject to tender process as set out in Financial Regulations	Financial Regulations reviewed annually	Green
	➤ Contract performance monitored by the Clerk	Visual inspections take place by the Clerk and Councillors & issues discussed with contractor as and when required. Requires a more rigorous procedure to be introduced	Amber
	➤ Volunteer performance monitored by the Clerk	SID management currently monitored by Clerk & Responsible Finance Officer	Green
<b>Reporting of "risk events" or "near misses"</b>	➤ Establish a robust Health & Safety Policy detailing procedure & process for reporting	Health & Safety Policy in place which includes procedure	Green

#### 4. COMPLIANCE

Specific Risk	Mitigation/Control(s)	Current Status	RAG after mitigation
<b>Employment Law</b>	➤ Access to information regarding laws	Council approves the appointment, pay & terms & conditions of service for all employees and, approves any "significant" variations to the same	Green
	➤ Regular updates from relevant authorities	Advice from relevant authorities e.g. NALC/SALC/SLCC/government/local government	Green
<b>HMRC requirements</b>	➤ Establish, maintain & review appropriate Financial Regulations to set out the requirement & procedure for processing & making payments	Financial Regulations reviewed annually	Green
	➤ Clerk & Responsible Finance Officer trained in requirements	Clerk & Responsible Finance Officer has undertaken web-based training provided by HMRC on procedures	Green
<b>HSE requirements</b>	➤ Establish, maintain & review an appropriate Health & Safety Policy	Health & Safety Policy reviewed annually	Green
	➤ Provision of safety equipment	Equipment purchased & provided when necessary	Green
	➤ Provision of Risk Assessments when necessary	Risk Assessments completed when required	Green
<b>GDPR FOI Regulations</b>	➤ Establish, maintain & review policies	Policies in place	Green
<b>Use of powers</b>	➤ Training of councillors & Clerk	Councillors undertake induction training and are circulated with the SALC training programme each year. Clerk undertook ILCA training completed April 2019 Clerk is CiLCA qualified from March 2022	Green
	➤ Membership of NALC & SALC	Council has current membership	Green
	➤ Membership of SLCC for Clerk	Clerk has current membership	Green

	<ul style="list-style-type: none"> <li>➤ Compliance with model Standing Orders &amp; Financial Regulations</li> </ul>	Standing Orders & Financial Regulations reviewed annually and are based on most recent models from NALC	
<b>Conflicts of interest disclosure</b>	<ul style="list-style-type: none"> <li>➤ Training of councillors</li> </ul>	Councillors undertake induction training and are circulated with the SALC training programme each year	Green
	<ul style="list-style-type: none"> <li>➤ Maintenance of Register of Disclosable Interests</li> </ul>	Standing agenda item at monthly meeting Clerk ensures forms are completed regularly and submitted to T&W Council	Green
<b>Transparency</b>	<ul style="list-style-type: none"> <li>➤ Parish Council meetings held in public accessible locations</li> </ul>	Monthly meetings held alternately at Admaston House & Wrockwardine Parish Hall	Green
	<ul style="list-style-type: none"> <li>➤ Meetings with 3<sup>rd</sup> parties reported at Council meetings</li> </ul>	Agenda items as & when necessary	Green
	<ul style="list-style-type: none"> <li>➤ Policy on 3<sup>rd</sup> party visits &amp; meetings</li> </ul>	Not in place - under review	Amber
	<ul style="list-style-type: none"> <li>➤ Documents available on web-sites and available for public viewing if requested</li> </ul>	All documents are available on the Council's web-site including agendas, minutes, policies & procedures. Hard copies available on request. Agenda is displayed in accordance with legal requirements on the Parish notice boards	Green
<b>Behaviour by Council, Councillors, staff or volunteers</b>	<ul style="list-style-type: none"> <li>➤ Establish &amp; maintain policies governing behaviour</li> </ul>	Disciplinary & Grievance Procedure reviewed annually and Council adheres to the Code of Practice	Green
	<ul style="list-style-type: none"> <li>➤ Relevant training</li> </ul>	Councillors/staff & volunteers access training as and when necessary	Green
<b>Minutes/agendas/notices/statutory documents/business conduct</b>	<ul style="list-style-type: none"> <li>➤ All documents adhere to prescribed and legal requirements</li> </ul>	Agenda & minutes are produced in a prescribed manner by the Clerk and adhere to the legal requirements	Green
	<ul style="list-style-type: none"> <li>➤ Documents approved and signed</li> </ul>	Minutes and associated documents are approved and signed at monthly Council meetings	Green
	<ul style="list-style-type: none"> <li>➤ Follow established Standing Orders and Financial regulations</li> </ul>	Standing Orders & Financial Regulations reviewed annually and business conducted at each Council meeting is managed by the Chairman	Green

## 5. SYSTEMS

Specific Risk	Mitigation/Control(s)	Current Status	RAG after mitigation
Access to systems/records	➤ Establish, maintain and review an appropriate IT Policy	IT policies reviewed annually	Green
	➤ Key processes documented together with ability to access appropriate records and systems	Contained in the Financial Regulations reviewed annually	Green

## 6. PEOPLE

Specific Risk	Mitigation/Control(s)	Current Status	RAG after mitigation
Performance of Clerk	➤ Performance appraisal and review	In place annually	Green
	➤ Appropriate training	Clerk completed ILCA qualification April 2019; CiLCA obtained March 2022. Other SALC/SLCC training accessed when appropriate	Green
	➤ Networking with peers	Clerk attends regular Clerk Networking meetings	Green
Councillor's knowledge	➤ Appropriate councillor training	Councillors undertake induction training and are circulated with the SALC training programme each year	Green
	➤ Forwarding of relevant information pertinent to role	Clerk forwards all relevant information	Green



	<ul style="list-style-type: none"> <li>➤ Maintain records of training &amp; information provided</li> </ul>	Clerk keeps appropriate records	Green
<b>Unplanned unavailability of Clerk/service interruption due to long-term absence of the Clerk &amp; Responsible Finance Officer</b>	<ul style="list-style-type: none"> <li>➤ Financial Regulations set out procedure</li> </ul>	Financial Regulations reviewed annually	Green
	<ul style="list-style-type: none"> <li>➤ Key processes documented together with ability to access appropriate records and systems</li> </ul>	Procedure has not yet been tested but appears adequate	Green
<b>Personal safety of councillors, Clerk, contractors &amp; volunteers</b>	<ul style="list-style-type: none"> <li>➤ Compliance with appropriate HSE requirements, including Risk Assessments for activities completed as and when required</li> </ul>	Risk Assessments completed as and when required	Green
	<ul style="list-style-type: none"> <li>➤ Contractors required to complete and share risk assessments</li> </ul>	Risk is factored in agreed contracts	Green

#### Version Control

Adopted Full Council 11 <sup>th</sup> March 2020 (Minute ref: 20/40)	Revised Full Council 12 <sup>th</sup> May 2021 (Minute ref: 21/65(3))
V2 Adopted Full Council 11 <sup>th</sup> May 2022 (Minute ref: 22/68(3))	