

Upton Bishop Parish Council Risk Management Scheme

Subject	Risks identified	H/M/L	Management/control of risk	Review/assess/revise	Last reviewed
Management					
Business continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	L	All files and recent records are kept at the Clerk's home. The Clerk takes a rolling backup of files on external hard drives which are kept at Clerk's place of work. At each Council meeting, the latest back up is given to the Chairman so that one copy is kept away from the Clerk's home. In the event of the clerk being indisposed, the Chairman to contact HALC for advice. All document passwords to be kept in a 'Password Protected' document and a copy passed to the Chairman	Review when necessary Ensure procedures below are undertaken	
Meeting location	Adequacy Health and Safety	L	Meetings are held in the Millennium Hall. The premises and facilities are adequate for the Clerk, Councillors and any public. who attend from a health and safety and comfort aspect.	Existing procedure adequate	
Council records - paper	Loss through theft, fire, damage	L	Held at the clerk's home.	Provision is adequate.	
Council records -electronic	Loss through damage, fire, corruption of computer	M	The Parish Council's electronic records are stored on an external hard drive. Back-ups of the files are taken on a rolling basis on an external hard drive	Existing procedure adequate	
Finance					
Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept. The Parish Council receives budget update information at every meeting and detailed budget in October for following year to agree Precept	Existing procedure adequate	
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement	Existing procedure adequate Review provision and compliance annually	
Banking	Inadequate checks	L	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts. Incl: <ul style="list-style-type: none"> ➤ Cheques are never pre-signed, and their use actively discouraged. ➤ Payee details and amounts on the cheques are always written out prior to cheques being signed. ➤ The cheque counterfoil is always completed and countersigned. ➤ All payments are supported by an invoice or a receipt. 	Existing procedures adequate Review Financial Regulations as necessary	

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			<ul style="list-style-type: none"> ➤ Bank transactions are accurately recorded in Microsoft Excel – this is reconciled against the bank statement in all meetings. ➤ The chequebook is always held by the RFO ➤ Payments made by Direct Debit, Standing Order or monthly manual entry are subject to a two-person authorisation system online and this cannot be overridden ➤ Any changes to signatories/authorities must be made in writing in accordance with the bank's strict procedures to prevent fraud` 		
Cash	Loss through theft or dishonesty	L	The Council has no petty cash or float. Any cash transactions are made by the clerk, are fully receipted and then reimbursed monthly or paid by bank transfer on receipt of an invoice	Existing procedures adequate	
Financial controls and records	Inadequate checks	L	<p>Monthly reconciliations prepared by RFO and checked by the Chair and the Parish Council at every meeting.</p> <p>Two signatories on cheques and two authorisations for electronic payments</p> <p>Internal audit.</p> <p>Any financial obligation must be resolved and clearly minuted before any commitment.</p> <p>All payments must be resolved and clearly minuted.</p> <p>Any s137 payments must be recorded at time of approval</p> <p>Payments to be made as soon as possible after a meeting</p> <p>Financial Regulations to be reviewed annually</p>	Existing procedures adequate	
Freedom of Information Act	Policy Provision	L/M	The Council has a model publication scheme for Local Councils in place. The clerk is aware that if a substantial request arrives then this may require many hours of additional work. The Council can request a fee if the work will take over 15 hours. However, the request can be resubmitted, broken down into sections, thus negating the payment of a fee	Monitor and report any impacts made under Freedom of Information Act	
Election Costs	Risk of election cost	M	<p>Risk is higher in an election year. There are no measures, which can be adopted to minimise risk of having a contested election. An election reserve has been established to meet the costs of an unexpected bye election.</p> <p>An election reserve must be included in the Precept of every election year or allowed for on the annual contingency fund</p>	Include in financial statement when setting precept	
VAT	Re-claiming	L	The Council has financial regulations which set out the requirements	Existing procedures adequate	

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Assets					
Street Furniture and other items	Damage to benches, signs etc	L	An asset register is kept up to date and insurance is held at the appropriate level. Regular checks should be made on all equipment by members of the Parish Council	Existing procedures adequate	
Remuneration	Increase in Wages and Costs		Review Clerk Salary annually Review contractor costs annually		
Liabilities					
Legal powers and legal liability	Illegal activity or payments	M	All activity and payments made within the powers of the Parish Council (not ultra vires) are to be resolved and clearly minuted. Clerk to clarify legal position on proposals and to seek advice if necessary	Existing procedures adequate	
	Working Parties taking decisions	L	Ensure they have clear terms of reference.	Monitor	
Minutes/ Agendas/ Statutory Documents	Accuracy and legality Non-compliance with statutory requirements Proper document control	L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed at next meeting. Minutes and agendas are displayed according to legal requirements. Business conducted at Council meetings must be managed by the Chairman or Vice-Chairman in his absence Standing Orders to be reviewed annually Herefordshire Council retention schedule used, and documents archived at HC	Existing procedures adequate	
Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessment of any individual event undertaken	Existing procedures adequate	
Employees and contractors					
Clerk	Loss of clerk	M	A contingency fund should be established to enable training for the CiLCA qualification in the event of the clerk resigning	Consider when setting next precept	
	Fraud	L	The requirements of Fidelity Guarantee insurance must be adhered to		
	Actions undertaken	L	Clerk should be provided with relevant training, reference books, access to assistance and legal advice through membership of SLCC/HALC	Monitor working conditions	
	Clerk's Salary and PAYE	M	Payroll company to instruct amount of quarterly payments to HMRC as necessary and Clerk to report at next meeting for approval and payment.	Existing procedures adequate	

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Employer Liability	Non-compliance with employment law	L	Undertake adequate training and seek advice from HALC. Review Clerk's contract annually	Existing procedures adequate.	
Contractors	Non-compliance with terms of contract	L	Review contracts annually	Existing procedures adequate	
Members responsibilities					
Members Interests	Conflict of interest	M	Councillors have a duty to declare any interest at the start of the meeting Register of Members Interests form to be reviewed at least on an annual basis		
	Register of members Interests	L			

Rev. 1.0	
Last approved by the Parish Council	See Policies Index
Date for next review	As per Administration Calendar

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