

Charlton Musgrove Parish Council

Business Risk Register

MANAGEMENT				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Business Continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	L	<p>Archived files and records are kept at the Charlton Musgrove Memorial Hall, Chalford Lane. Copies of published documents are placed on the website.</p> <p>All in-use files and records are kept on the parish laptop held by the Clerk. In the event of the Clerk being indisposed a councillor will provide administrative support. The ability to work remotely is available should the need arise.</p>	<p>Annual review. Ensure procedures are followed.</p> <p>ACTION: Confirm that files are backed-up.</p>
Meeting location	Adequacy Health and Safety	L	<p>Meetings are held in the Charlton Musgrove Memorial Hall, Chalford Lane. Councillors have access to a key to the Hall via Hall Trustees. Due to Covid 19 (Coronavirus) 2020, Parish Council meetings have been held virtually using Zoom with a log-in being provided for members of the public.</p> <p>All the premises and facilities are considered to be satisfactory from a health and safety, accessibility and comfort aspect. for the Clerk, Deputy Clerk, Councillors and any Public who attend. A Health and Safety notice for the premises is provided by the Charlton Musgrove Memorial Hall Trustees.</p>	Annual review of the Risk Assessment.
Council Records hard copy	Loss through theft, fire, damage	L	Archived files and records are kept at the Charlton Musgrove Memorial Hall, Chalford Lane.	ACTION: Consider making electronic copies.
Council Records electronic	Loss through damage.	M	All in-use files and records are kept on the parish laptop held by the Clerk.	ACTION: Confirm that files are backed-up.
FINANCE				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept introduced. Scribe software adopted to manage finance and budget. Council monitors budget information and detailed budgets are prepared in the late autumn. The precept is considered by the Council in November prior to agree in January.	Existing procedure adequate. ACTION: Clerk to provide expenditure against budget at each ordinary council meeting
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L L	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 Parish Council has Financial Regulations which set out the requirements for banking, the making of payments and internal audit	Existing procedures Adequate. Annual Review of Financial Regulations
Cheques Online payments	Loss through theft or dishonesty	L	<p>Monthly bank reconciliation prepared by the Clerk and checked by the appointed member for verification purposes in accordance with Parish Council written guidelines. Internal and external audit undertaken. Clerk prepares a monthly Schedule of Payments.</p> <p>Two signatories authorise all invoices prior to online payment by the Clerk. The schedule of payments is verified by the three signatories after payment.</p> <p>All payments must be detailed in the Financial Reports presented to the Finance and Resources Committee. The Clerk has delegated authority to pay invoices up to £500 prior to meeting approval.</p>	Existing procedures Adequate. Annual review of Financial Regulations.
Petty cash	Loss through theft or dishonesty	L	<p>No petty cash. No debit/credit cards. All transactions by cheque or BACS transfer (2 signatories)</p>	
Clerk	Loss of Clerk Fraud Actions undertaken Salary paid incorrectly	M L L L	<p>In the event of the Clerk resigning, a councillor covers for the interim or the services of a Locum Clerk would be sought.</p> <p>The requirements of Fidelity Guarantee insurance must be adhered to. Internal procedures in place.</p> <p>Clerk should be provided with relevant training, reference books, access to assistance and legal advice</p> <p>Timesheets kept. Payroll is outsourced.</p>	<p>Membership of SLCC maintained. Monitor working Conditions.</p> <p>ACTION: Check insurance policy regarding Fidelity Guarantee.</p>
Payroll	Breach of employment laws including NI and tax	L	Procedures in place. Members of NALC & EALC who provide updates for review by the Personnel Committee. Payroll is outsourced to a payroll company.	Annual Audit carried out by Internal Auditor.
Safe	Loss of contents	L	The council does not have a safe, or access to a safe	
Election Costs	Risk of election cost Risk of election to fill a casual vacancy	M M	<p>Risk in an election year. There are no measures which can be adopted to minimise risk of having a contested election. Costs are met from General Reserves.</p> <p>Cost of the election would be met from general reserves</p>	Existing procedures Adequate.
VAT	Re-claiming/ charging	L	The Council has financial regulations which set out the requirements. VAT recovered annually.	Existing procedures Adequate. Review annually. ACTION: Check VAT recover annually or quarterly?
Annual Governance and Accountability Return (AGAR)	Not submitted within time limits	L	AGAR is completed and signed by the Council and the Internal Auditor. It is then checked and sent on to the External Auditor within time limit. Clerk prepares a timetable for submission.	Existing procedures adequate.

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ASSETS				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Street furniture and Office equipment	Damaged notice boards, benches, equipment etc.	L	An asset register is kept up to date and insurance is held at the appropriate level for all items. Regular checks are made on all equipment by Parish Council staff.	Existing procedures adequate. Asset Register is reviewed annually
LIABILITY				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Legal Powers	Illegal activity or payments	L	All activity and payments made within the powers of the Parish Council (not ultra vires) and to be resolved and clearly minuted.	Existing procedures Adequate.
	Working Parties taking decisions	L	Ensure clear terms of reference are in place. Financial Regulations in place.	Financial Regulations and Terms of Reference are reviewed annually
Minutes/ Agendas/ Statutory documents	Accuracy and legality Non- compliance with statutory requirements	L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed at next meeting unless there is a resolution made to defer approval until the following meeting. Minutes and agendas are displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chairman according to Standing Orders.	Existing procedures Adequate. Undertake adequate training. Members to adhere to Code of Conduct and Standing Orders. Standing Orders are reviewed annually
Public Liability	Risk to third party, property or individuals	L	Insurance is in place. Risk assessment of any individual event undertaken e.g. Senior Citizens Christmas lunch.	Existing procedures Adequate. Insurance policy is reviewed annually
Employer Liability	Non- compliance with employment law	L	Undertake ongoing training to ensure Personnel Committee are aware of current legislation. Seek advice from the Council's insurance company where required.	Existing procedures Adequate. Insurance policy is reviewed annually
Employee Liability Councillor Liability	Causing injury (damage) to employee property	L	Employer's Liability insurance in place. Insurance cover in place.	Insurance policy and Risk Assessment is reviewed annually
	Causing injury (damage to Councillors)	L	Insurance cover and risk assessment in place.	
Legal Liability	Legality of activities	L	Clerk to clarify legal position on proposals and to seek advice if necessary.	Existing procedures Adequate.
	Proper and timely reporting via Minutes	L	Council always receives and approves minutes at meetings. Where possible minutes are circulated shortly after the meeting.	Existing procedures adequate.
	Proper document control	L	Retention of document policy in place	Existing procedures Adequate.
Freedom of Information and Data Protection	Policy Provision	L-M	The Council publishes documents i.a.w. the Transparency Code for Smaller Authorities and has the following documents in place: - General Privacy Notice - Recording of Council Meetings - Record of Documents	Monitor and report any impacts made under the freedom of information and data protection. Regular policy reviews. ACTION: Consider publishing the following - Model Publication Scheme - Data Protection Policy - Document Retention Policy
COUNCILLORS PROPRIETY				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Members Interests	Conflict of interest	M	Councillors have a duty to declare any interest at the start of the meeting or when a conflict becomes apparent during a meeting.	Existing procedures Adequate.
	Register of Members Interests	L	Register of Members Interests form to be reviewed at least on an annual basis.	Members to take responsibility to update their register.
COUNCIL REPUTATION				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Councillor and staff	Bringing the Council into disrepute	M	Councillors understand and receive training on the Code of Conduct. A professional approach is undertaken on all Parish Council matters.	Not all Councillors have received training. ACTION: Members to identify any training needs.