



ALVECHURCH PARISH COUNCIL: RISK MANAGEMENT (Adopted May 2020)

(Level: L= Low Risk, M = Medium Risk, H = High Risk)

Area	Risk	Level	Controls
Assets	Protection of physical assets	M	Buildings insured. Value increased annually by RPI. Annual physical verification of assets.
	Security of buildings, equipment etc	H	Regular checks by staff/reports from public investigation PAT Testing
	Maintenance of buildings etc	M	Buildings currently leased/maintained on an ad hoc basis. Planned programme of; electrical and safety/fire inspections implemented
Finance	Banking	M	Addressed weekly or £200 trigger Cash banked locally – Lloyds TSB
	Risk of consequential loss of income	M	Insurance cover, insurance does not cover loss of income/ relocating office. - Important documents/computer records backed-up daily by ‘off-site I.T technical support.
	Loss of cash through theft or dishonesty	H	Receipts issued. Insurance provision taken ‘In-house’ internal controls implemented/6 monthly Internal Audit/External Audit annually.
	Financial controls and records	M	Monthly reconciliation Payment Schedule/Bank Statement presented to Full Council for approval. All expenditure requires two councillor and Clerks signature (cheques/Debit & Electronic payments etc). All electronic payments (including salaries via BACS) correctly approved/authorised by two signatories plus Clerk (RFO) in advance of payment being made. Half yearly and annual Internal Audit and EOY Independent External Audit.
	Comply with Customs and Excise Regulations	H	Use help line when necessary. VAT payments and claims calculated /Submitted. Internal and external auditors confirm accounting practice.
	Sound budgeting to underlie annual precept	M	All Committee’s receive detailed budgets in the late autumn. DRAFT budget presented to Full Council for approval, Precept derived directly from this information and considered/approved by Full Council. Expenditure against budget reported to Finance Committee/Council quarterly. Variances against budget reported to Council.
	Complying with borrowing restrictions	L	No new borrowing likely at present

Liability	Risk to third party, property or individuals	M	Insurance in place. Open spaces checked regularly. Trees investigated when damage reported/Tree Inspection under review (<i>Owner/Occupiers Liability Act</i>). Risk assessments of individual events such as Christmas lights/Community Day - carried out as necessary. Work Place Risk Assessments conducted as appropriate Training Matrix /refresher training provided as appropriate.
	Legal liability as consequence of asset ownership (especially burial ground, playgrounds and skateboard park)	H	Insurance in place (Reviewed at least annually) New equipment added adhoc. Weekly checks of playgrounds/open spaces and written records kept. - ROSPA also carry out Risk Assessments of playgrounds
Employer Liability	Comply with Employment Law	M	Membership of various national and regional bodies including Employees Organisation Employer/Employee updates forwarded by SLCC. Clerk is member of SLCC (Fellowship Level) and SIIRSM (NEBOSH Trained) Council Member of County Association - WALC
	Comply with Inland Revenue requirements	M	Regular advice from DCK Payroll Consultant . Internal and external auditor carries out half yearly/annual checks.
	Safety of Staff and visitors	M	Panic button Work Station Risk Assessment conducted annually H&S Policies/RAs - on-going/Reviewed at least annually Staff training in H&S (i.e Fire Marshall, First Aid, IOSH (<i>NEBOSH</i>))
Legal Liability	Ensuring activities are within legal powers	H	Clerk to clarify legal position on any new proposal. Legal advice to be sought where necessary – WALC/NALC/SLCC etc.
	Proper and timely reporting via the Minutes	M	Council meets monthly and approves previous meeting Minutes. Minutes made available to press and public and displayed via the Parish Council website.
	Proper document control	M	Originals filed/ Strong Box.
	GDPR	H	Council to ensure in remains GDPR complaint. All personal data retention to have been correctly authorised/approved or destroyed.
Councillors propriety	Registers of Interests and gifts and hospitality in place	H	Register of interest completed (as appropriate). Declaration of Interests - Agenda Item each meeting.