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Risk Management Scheme

Reviewed and adopted 20/10/2016 Minute 98/16
Next review: October 2017

Ripley Parish Council takes its responsibilities to staff and to the management of public property and finance seriously and will carry out a review of risks every November.

“Risk” is here defined as the threat that an event or action will adversely affect the council’s ability to achieve its objectives or enact its strategies.

“Risk management” is the process by which risks are identified and evaluated with a view to exercising control and mitigation. This risk management scheme therefore forms a framework by which the parish council can take steps to minimise identified risks.

Key risk management scheme objectives: 1. Identify risks facing the council. 2. Identify the level of risk. 3. Evaluate the management and control of the potential risk. 4. Assess and review the risk management scheme annually.

Management				
Subject	Risk(s) identified	H/M/L	Management/ Control	Review/ Assess/ Revise
Business continuity	Council unable to continue its business due to an unexpected or tragic circumstance	L	Hard drive backup daily Keys and passwords left in possession of the Chairperson Contact SSALC in the first instance	Review when necessary
Meeting location	Health & Safety Accessibility Adequacy	L	Meetings are held in the Parish Council Office. Clerk to arrange annual PAT testing of electrical equipment. Spare keys held by the Chairperson	
Council Records	Loss through theft, fire, damage, or corruption	M	Ensure security of Parish Council Office and mitigate risks posed by fire or flooding. Ensure adequate backups and insurance. Ensure anti-virus software in place and enforce IT user policy	Review annually

Finance				
Precept	Adequacy of precept	M	Sound budgeting and forward planning underlie and inform the precept-setting process. Quarterly meetings of the parish council's Finance Working Group check income and expenditure and consider future revenues and expenditure.	Existing procedure adequate
Insurance	Adequacy Cost Compliance Fidelity guarantee	M	Annual review of insurance arrangements and schedule ahead of renewal. Update Fixed Asset Register when required. Employers Liability, Public Liability, and Fidelity Guarantee are in place.	Review provision and compliance annually

Banking	Inadequate checks	L	Financial Regulations are in place. Bank reconciliations checked by Finance Working Group.	Financial Regulations reviewed annually
Cash	Loss through theft or dishonesty	L	Petty cash payments are checked via the accounting package and during Internal Audit. Petty cash topped up by double signed cheque.	Review annually
Financial controls and records	Inadequate checks	L	Financial Regulations are in place. Quarterly meeting of Finance Working Group checks all payments and budget spending.	Financial Regulations reviewed annually
Freedom of Information Act	Policy provision	L	Policy in place and clear guidance for responding to FoI requests	FoI Policy review
Clerk/ RFO	Loss of Clerk/ RFO Fraud Incompetence Payroll	M L L L	Notice period built into contract Fidelity Guarantee insured. Finance Working Group monitors accounts. CiLCA course undertaken and training budget allocated Outside company processes	Existing procedures adequate
Election costs	Unbudgeted cost	L	Election costs £2,000 are earmarked every year	Existing procedures adequate
VAT	Charging/ reclaiming	L	The council has no services for which it must charge VAT VAT is reclaimed from HMRC every 6 months- April and October	Existing procedures adequate

Annual Return	Not submitted within timeframe Incorrect completion	L L	Timeframe chosen to coincide with June council meeting Internal Auditor checks end-of-year figures and document	Existing procedures adequate
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Assets				
Play equipment	Public injury	H	Weekly check of play equipment Annual RoSPA accredited inspection Public Liability Insurance in place	Existing procedures adequate
The Green	Public injury	H	High footfall areas. Quarterly checks on benches, dog litter, and equipment. Tri-annual tree survey and woodland management plan.	Review procedures annually
Allotments	Public injury. Damage or loss.	M	Medium footfall area. Quarterly checks on plots, fences, and water supply.	
Burial Ground	Public injury. Damage or loss.	H	Low footfall area. Quarterly checks on memorials, benches, etc.	
Nature Reserve	Public injury. Damage or loss.	H	Medium footfall area. Quarterly checks on structures and pond. Adequate signage. [to be actioned on completion]	
Noticeboards	Public injury Loss or damage	L	Located in areas away from high passing footfall Public Liability Insurance in place	Existing procedures adequate
Village signs	Public injury Loss or damage	L	Located in areas with very low footfall Public Liability Insurance in place	Existing procedures adequate
Lock up	Public injury Loss or damage	L	Quarterly risk assessment carried out Public Liability Insurance in place	Existing procedures adequate

Office equipment	Staff/ Cllr injury Loss or damage	L	Office is secured when empty Fixed Asset Register updated when required Employers' Liability Insurance in place	Existing procedures adequate
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Liability				
Legal powers	Illegal activity/ payments Working Groups making autonomous decisions	L	Decisions and payments made only within the powers of the parish council, resolved at council meetings and Minuted. Terms of reference outlined in Standing Orders.	Existing procedures adequate
Minutes/ Agendas/ Statutory documents	Accuracy/ legality Non-compliance	L	Minutes & Agendas produced in the prescribed method and adhere to legal requirements Minutes approved and signed at next meeting Business conducted at meetings managed by the Chairperson	Existing procedures adequate Adequate Cllr training & development Members adhere to Code of Conduct
Public Liability	Risk to third party, property, or individuals	M	Insurance in place (£10m indemnity) Risk assessments carried out	Review annually Review existing
Employer Liability	Non-compliance with employment law	L	Insurance in place (£10m indemnity) Clerk updates knowledge through ACAS, NALC, SLCC, SSALC, HMRC, HSE, etc.	Review annually
Legal liability	Legality of activities Proper and timely reporting via Minutes Proper document control	M	Clerk to clarify legal position on proposals and clarify situation if necessary Official's indemnity £500,000 Retention of Documents Policy in place	Existing procedures adequate

Councillor's propriety

Members' interests	Not declared/ out of date	M	Cllrs have duty to declare interest on Agenda items Disclosures of Interest reviewed annually	Existing procedures adequate
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Risk schedule

Item	Frequency	Last review	Comments/ actions
Assets inspection: <ul style="list-style-type: none"> • Play equipment • The Green • Allotments • Burial Ground • Nature Reserve • West End Cott. track • Salt bins • Trees on RPC land 	<ul style="list-style-type: none"> • Weekly (Clerk) Annually (RoSPA accredited) • Quarterly (Clerk) • Quarterly (Clerk) • Quarterly (Clerk) • Quarterly (Clerk) • Quarterly (Clerk) • Quarterly (Clerk) • Bi-annually (Clerk) • Triennially (Harrison Advisory Service) 	<p>Every week by Clerk. RoSPA every June/ July</p> <p>Due by end 2016</p>	<p>Records kept at parish council office</p>
Parish council insurance, including: <ul style="list-style-type: none"> • Public Liability • Employers' Liability • Money & fidelity guarantee • Personal accident • Fixed assets 	<ul style="list-style-type: none"> • Annually before renewal 		<p>To be actioned at future July meetings of Finance Working Group (FWG)</p>

<p>Financial matters:</p> <ul style="list-style-type: none"> • Banking arrangements • Insurance providers • VAT returns • Budget agreed • Precept requested • Bank reconciliation • Salary review • Internal audit • External audit • Internal controls • Financial regulations 	<ul style="list-style-type: none"> • Annually or if change of signatories • Annually by FWG • Bi-annually by Clerk • January council meeting • January by Clerk • Monthly be Clerk, checked quarterly by FWG • Annually within budget review or following NALC guidelines • Bi-annually by Mulberry & co • Annually by BDO • Annual review of Finance regulations • Annual review 	<ul style="list-style-type: none"> • May 2015 • Begin July 2017 • April 2016 • Jan 2016 • Jan 2016 • Sep 2016 • July 2016 • May 2016 • June 2016 • Recent meetings • Feb 2016 	<p>Existing procedures adequate</p>
<p>Administration:</p> <ul style="list-style-type: none"> • Minutes properly numbered • Asset register available and up to date • Standing Orders reviewed • Computer back-up 	<ul style="list-style-type: none"> • Internal audit (Autumn) • Internal audit (Autumn) • Annually • Daily 	<ul style="list-style-type: none"> • May 2016 • May 2016 • Sep 2016 	<p>Existing procedures adequate</p>
<p>Employer's responsibilities:</p> <ul style="list-style-type: none"> • Employment contract • Staff appraisals • Training & development • Contractors' indemnity insurance • Health & Safety policy/ procedure 	<ul style="list-style-type: none"> • Within 13 weeks of start • Annually (July) • Budgeted and recorded • Mandatory for commission • In place 	<ul style="list-style-type: none"> • July 2016 • Ongoing • Last commission • Sep 2016 	<p>Existing procedures adequate</p>
<p>Members' responsibilities:</p> <ul style="list-style-type: none"> • Code of Conduct adopted • Registers of Interest completed and up to date • Register of gifts/ hospitality • Declarations of Interest Minuted 	<ul style="list-style-type: none"> • Annual review • Annual review • Annual review • Agenda item at every meeting of council or Committee 	<ul style="list-style-type: none"> • Oct 2012 • May 2015 • May 2015 • Sep 2016 	<p>URGENT REVIEW REQUIRED</p>

