

NEWBOTTLEPARISH COUNCIL: RISK MANAGEMENT 2020/2021

Reviewed 18 May 2020

| Area | Risk | Level | Controls | Frequency months |
|----------------|--|-------|--|------------------|
| | | | | |
| Assets | Protection of physical assets detailed on the register attached | H | Insured through Came & Co. Aviva, Policy Number 24414511 CHC 01/06/13. Expires 31 May 2021. | 12 |
| | | M | Councillors to check that policy adequately insures the assets for which they are responsible. | 12 |
| | | | RFO/Council to review adequacy of Public Liability & Trustee Indemnity Insurance for all that follows. | |
| Assets | Security of equipment detailed on the attached register etc | M | Ensure equipment is stored securely and insured adequately. | 12 |
| | | | | |
| Finance | Banking | M | Two bank accounts are with Lloyds TSB. reconciled every month by the Clerk. | 1 |
| Finance | Risk of consequential loss of income Budget not prepared or submitted Precept not paid by District Council | M | Bank account reserves of 50% of the precept. Important documents backed-up and taken off premises. | 12 |
| | | L | Full Council to approve the budget submission. | 12 |
| | | L | Precept paid 6 monthly. Clerk to check bank statements. | 6 |
| Finance | Loss of cash through theft or dishonesty | L | No Petty cash | |
| Finance | Financial controls and records | | Three signatories on cheques,(Andrea Gladden, Linda Baker and Diana Sheasby). A minimum of 3 | 12 |
| | | H | Councillors to act as signatories. | 1 |
| | | M | Internal Audit 6 monthly, external audit 12 mthly. | 1 |
| | | M | All Parish Council payments to be approved at monthly council meeting, including cross checking of | 6 |
| | | M | Invoices. | 12 |
| | | M | Audit Reports to be presented at full council meeting month after receipt. | As reqd |
| | | M | All cheques over £1000 to be signed in presence of full Parish Council. | 12 |
| | | M | All documents are backed up on a Live Drive server purchased through PC World. | 6 |
| | | M | Power to pay to be in minutes and agreement of Council also to be noted in minutes | 1 |
| | | | | |
| | | M | External audit completed annually. | 12 |
| | | H | Ensure competitive tendering process in place for all contracts in excess of £1,000 | |
| | | H | Review annually Public Liability guarantee. | |

NEWBOTTLEPARISH COUNCIL: RISK MANAGEMENT 2020/2021

Reviewed 18 May 2020

| Area | Risk | Level | Controls | Frequency months |
|-----------|---|------------------|--|---------------------|
| Finance | Comply with H.M.R.C. VAT Regulations | H H H H | Use help line when necessary. VAT payments and re claims to be calculated by Clerk. Internal and external auditor to provide double check. VAT claims to be done annually | As req'd 12 |
| Finance | Sound budgeting to underlie annual precept. Adequacy of reserves | M M M M | Council receives detailed budgets in the late autumn. Precept derived directly from this. Expenditure against budget reported to Council every month. Reserves should be a min of 3 months & a maximum of 12 months of the annual budget. Council is forbidden to spend more than the agreed annual budget. | 12 1 12 12 |
| Finance | Complying with borrowing restrictions | L | No borrowing at present but to be reviewed as required. | 12 |
| | | | | |
| Liability | Risk to third party, property or individuals | M | Insurance in place with Came & Co. Aviva, Policy Number 224414511 CHC, 01/06/13. Expires 31/05/20 Trees investigated when damage reported. Street lighting investigated when damage reported. | 12 12 12 |
| Liability | Legal liability as consequence of asset ownership especially of playgrounds managed by trustees | H | Insurance in place with Came & Co. Annual checks by ROSPA of play areas Play areas in new developments as adopted should be considered as they are managed by SNC. | 12 12 12 |
| | | | | |

NEWBOTTLEPARISH COUNCIL: RISK MANAGEMENT 2020/2021

Reviewed 18 May 2020

| Area | Risk | Level | Controls | Frequency months |
|---------------------------|---|-------|---|---|
| Employer Liability | Comply with Employment Law | H | Membership of various national and regional bodies including Employees Organisation. Clerk is member of SLCC / OALC. Ensure Parish Clerk's terms & conditions comply with employment law. Copies of Clerks Job Description, Contract of Employment, Terms & Conditions to be reviewed annually & copies kept by Chairman. Chairman to keep accurate records of Clerk's annual leave and sickness. Clerks performance to be appraised by the Chairman as required but minimum 12 monthly. Copies of appraisal document to be kept by Chairman & Clerk and signed by them plus the Vice Chair. | As req'd 12 12 12 or As req'd |
| Employer Liability | Comply with Inland Revenue requirements | M | Regular advice from IR. Internal and external auditor carry out annual checks. | As req'd 12 |
| | | | | |
| 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. No Parish Council expenditure should be allocated to organisations or activities not covered by regulations. | As req'd |
| Legal Liability | Proper and timely reporting via the Minutes | M | Council meets monthly (except in August and December) and always receives and approves Minutes of meetings held in the previous month and any meetings held in interim. Minutes made available to press and public via notice boards and the Parish Council web site. Agenda's and minutes to be displayed on Parish Council's notice board's, in accordance with Standing Orders. Keys to the notice boards to be kept by the Clerk. | 1 |
| Legal Liability | Proper document control | M | Original leases stored Clerk. | As req'd |
| | | | | |

NEWBOTTLEPARISH COUNCIL: RISK MANAGEMENT 2020/2021

Reviewed 18 May 2020

| Area | Risk | Level | Controls | Frequency months |
|-------------|---|-------|--|------------------|
| Councillors | Registers of Interests and gifts and hospitality in place | H | Register of Disclosable Pecuniary Interest, interest completed quarterly at the monthly Parish Council meetings. | 3 |
| | | M | Gifts and hospitality register is present at each Council meeting. | 1 |
| | | M | Agenda item twice a year. | 6 |
| | | M | Ensure that declaration of interest is on the agenda at every meeting. | 1 |
| | | M | Update declarations of interest by councillors annually | 12 |