*This document was approved by the Parish Council at its meeting on 24th March 2017*

Risk management is the process whereby local councils methodically address the risks associated with what they do and the services which they provide. The Parish Council should identify potential risks, then take all practical and necessary steps to reduce or eliminate the risks, as far as is practically possible.   
This document should enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Subject | Risk | Responsibility | Management & controls | Review & action required |
| FINANCIAL | |  |  |  |
| Precept & budget | Adequacy of precept          Requirements not submitted to Wiltshire Council | Councillors          Clerk | To determine the precept amount required, the Parish Council regularly receives budget update information and the precept is an agenda item at Council Meeting in November and January.    Submitted by the Clerk to WC following budget/precept approval and before end January. |  |
| Financial records & reporting | Inadequate records  Financial irregularities | Clerk/councillors | Budget update, bank balances and breakdown of receipts and payments produced and approved at each full Council meeting  The Council has Financial Regulations which set out the requirements. | Review the Financial  Regulations annually. |
| Insurance  . | Insurance not in place    Inadequacy of insurance    Cost increase | Clerk    Councillors | Process payment for annual premium promptly    Employers and Public liability insurance is a necessity.    Out of Councils control | Review insurance provision annually.    Include % increase in budget; obtain quotes at least every 3 years |
| Annual return | Inaccurate or incomplete        Submit within time limits | Clerk        Clerk/councillors | Clerk to attend training/ workshops as required Annual Return is completed and submitted to the internal auditor for completion and signing.    Meeting held to approve accounts in time for sending to Auditors | Review dates on receipt of audit pack |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Banking | Fraud      Incorrect payments & bank mistakes | Councillors  Clerk    Clerk | Two signatories required on cheques  Clerk checks bank statements monthly.    The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts. | Review bank mandate annually at Annual Meeting  and after a vacancy arises  Review the Financial  Regulations annually. |
| Best value for works  Accountability | Work awarded incorrectly  Overspend on services | Councillors | The Council has Financial Regulations which set out the requirements and values for contracting works.  Project budgets to be closely monitored | Review Financial Regulations annually |
| Election costs | Risk of an election cost | Clerk | Parish elections every four years; next in 2017. Costs only if a contested election and as such the Council should not seek to minimise these. | Include sufficient reserves in budget for each election year |
| COUNCIL MANAGEMENT | | | | |
| Councillors | Roles performed  inadequately  Conflict of interest        Failure to attract candidates for councillor vacancies | Councillors      Clerk/councillors  Councillors      Councillors | Councillors provided with adequate training, reference materials and access to assistance.  Membership of CALC  Declaring of interests and consideration of  dispensations by members at a meeting will remain on each agenda  Registers of Members Interest to be maintained and reviewed regularly by Councillors.    Actively publicise Council activities & vacancies on noticeboard, newsletters & Ashton Gifford News; seek candidates amongst friends & neighbours | Review annually and on filling  a vacancy  Annual renewal        Members take responsibility to update their Register. |
| Powers | Illegal activity or  payments | Councillors | All activity and payments within the powers of the  Parish Council to be resolved and minute at Parish Council Meetings, including a reference to the power used. |  |
| Meetings & process | Failure to achieve quorum at meetings | Councillors Clerk | Attend all meetings  Issue meeting agenda promptly |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Business conduct            Council decisions not implemented    Lack of public participation | Councillors/Chairman            Councillors/Clerk    Councillors/Clerk | Business conducted at Council meetings should be managed by the Chairman according to Standing Orders.  Chairman should be provided with training & guidance Members to adhere to Code of Conduct.    Review minutes for confirmation of action, Clerk &  Chair report at full meetings    Ensure meetings are publicised on noticeboards, community newsletters. Publish agenda and minutes on PC website. Communicate verbally with residents  Ensure public participation on all agenda & seating available | Standing Orders reviewed  annually    Issued to councillors on election/co-option |
| Statutory documents  Minutes/ Agendas/  Notices | Accuracy and legality | Clerk      Councillors/Chairman    Clerk | Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements.  Minutes are approved and signed at the next Council meeting.  Minutes and agenda are published according to the Publication Scheme. | Review Publication Scheme annually |
| Employees (clerk) | Role performed inadequately        Salaries & expenses incorrectly paid | Councillors/clerk        Clerk | Clerk has job description and Contract of Employment and provided with adequate training, reference materials and access to assistance    Clerk’s salary paid via PAYE using a payroll management contract. Expenses (following NALC guidelines where relevant) claimed on regular basis & presented with receipts to Council. | Annual review of Clerk conditions of employment |
| PHYSICAL EQUIPMENT/ AREAS | | | | |
| Assets | Damage/ injury to third party  Damage to assets | Councillors  Councillors | Public liability insurance held  Annual programme of inspection. Maintenance/ repair/ replacement requirements identified and brought to attention of the Clerk. Urgent repairs to be discussed & agreed with Chairman in accordance with Financial Regulations. Non-urgent repairs to be agreed at next meeting with updated Asset Register. | Insurance cover & asset register reviewed annually |
| Meeting location | Adequacy, Health & Safety risk | Councillors | Meetings held in Village Hall. Premises considered to be adequate for Council and public access and comfort. |  |
| Council records | Loss of paper records through theft, fire damage, etc.    Loss of electronic records through data corruption, theft etc. | Clerk        Clerk | Parish records (historic & current) stored at the home of the Clerk in filing cabinet.      Records stored on Clerks computer, backed up to ‘Dropbox’ internet storage. | Consider sending historical records (minute books etc.) to a secure archive |