

## GURNARD PARISHCOUNCIL RISK MANAGEMENT SCHEDULE

### Definition of Risk Management

Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements.

This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. The Council is aware that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic and focuses approach to managing risk, which:

- Identifies the key risks facing the council
- Identifies what the risk may be
- Identifies the level of risk
- Evaluates the management and control of the risk and records findings
- Reviews, assesses and revises procedures if required.

### 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	All files and recent records are kept at the clerk's home. The clerk makes a monthly back up of files. In the event of the clerk being indisposed the Chairman to contact Mark Pink, SLCC Secretary, for advice slccsecretaryiow@gmail.com.	Review when necessary  Ensure procedures below are undertaken
Meeting location	Adequacy Health and Safety	L	Meetings are held in the Village Hall and occasionally in the All Saints Church Garden Room. Gurnard Primary School also offers meeting facilities. The Village Hall premises and facilities are maintained by the GVHA.	GVHA regularly review as part of their management of the hall.
Council Records	Loss through theft, fire, damage	L	Some older records are retained at the Village Hall in a locked fire proof filing cabinet, everything else is stored in the clerks home	Damage or theft is unlikely and so provision adequate.
Council Records electronic	Loss through damage, fire, corruption of computer	M	The Parish Council's electronic records are stored on the parish computer. A back up is taken on a monthly basis both to and external hard drive and google drive. Back-ups of the records are checked to ensure readability of data. Virus and security scanning is in place via Windows Defender.	Hard copies of major files are also kept.

### 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. The Parish Council receives quarterly budget update information and	Existing procedure adequate

			detailed budgets in the late autumn. The precept is usually an agenda item at December's meeting, January at the latest.	
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	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 Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts	Existing procedures adequate Review Financial Regulations as necessary
Cash	Loss through theft or dishonesty	L	The Council has no petty cash or float. Transactions are made are paid by cheque or bank electronic payments	Existing procedures adequate
Financial controls and records	Inadequate checks	L	Monthly reconciliation checked by the Parish Council. Three signatories on cheques and three to authorise electronic payments. Internal and external audit. Any payments must be resolved and clearly minuted. Any s137 payments must be recorded at time of approval	Existing procedures adequate
Freedom of Information Act	Policy Provision	L	The Council has a model publication scheme for Local Councils in place. There have been no requests for information to date. The Council is able to request a fee if the work will take over 15 hours. However the request can be resubmitted, broken down into sections, thus negating the payment of a fee	Monitor and report any impacts made under Freedom of Information Act
General Data Protection Regulations	Policy Provision	L/M	The council is committed to training the clerk to keep up to date with all relevant training, the clerk will carry out a Data Audit, contacting all parties for positive consent to keep data.	Monitor and report any impacts made under the General Data Protection Regulations
Clerk	Loss of qualified clerk  Fraud  Salary paid incorrectly	M  L  L  L	A contingency fund has been established to enable training for the CiICA qualification in the event of the clerk resigning The requirements of Fidelity Guarantee insurance must be adhered to. Clerk should be provided with relevant training, reference books, access to assistance and legal advice Internal Auditor check	Include in financial statement when setting precept Purchase revised reference books Membership of SLCC Monitor working conditions and hours of work
Election Costs	Risk of election cost	M	Risk is higher in an election year. There are no measures, which can be adopted to minimise risk of having a contested election. A contingency fund is available to meet the costs.	Include in financial statement when setting precept
VAT	Re-claiming/charging	L	The Council has financial regulations which set out the requirements	Existing procedures adequate
Annual return	Not submitted within time limits	L	The Clerk is fully qualified and works to time limits which should be manageable within hours of work.	Include in financial statement when setting precept.

				Personnel working group to monitor working conditions and hours of work	
<b>ASSETS</b>					
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>	
Street Furniture/ Dog Bin/Litter Bin/ Toilet Block and Shed	Loss or Damage Risk/damage to third party(ies)/property	L	Parish Council has thirteen benches, 11 dog bins, 4 picnic tables, play equipment, a lockable notice board, horse trough and various planters, 6 litter bins, a shed and a toilet block as listed in the Asset Register All of the seats and bins are either transferred to the Highways PFI provider (as of 2013) for the 25 year life of the contract or the responsibility of Isle of Wight Council. A review of assets undertaken periodically, but at least annually for Insurance provision and maintenance All repairs and relevant expenditure for these are actioned in accordance with correct procedures	Existing procedure adequate  Ensure inspections are carried out	
Notice Board/Descriptive Panels	Loss or Damage Risk/damage to third party/parties/property	L	Parish Council has one Notice Board on Worsley Road which was replaced in 2016. Bi-monthly regular inspection when displaying Notices for meetings	Existing procedure adequate Ensure inspections are carried out	
Boundary Signs	Loss or damage Risk/damage to third/ parties/property	L	These were transferred to the Highways PFI provider in 2013, for the 25 year life of the contract.		
<b>LIABILITY</b>					
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>	
Legal Powers	Illegal activity or payments Working Parties taking decisions	L L	All activity and payments made within the powers of the Parish Council (not ultra vires) and to be resolved and clearly minuted. Ensure established with clear terms of reference. Working Group are only able to make recommendations to the Parish Council.	Existing procedures adequate  Monitor on a monthly basis	
Minutes/ Agendas/ Statutory documents	Accuracy and legality Non compliance with statutory requirements	L L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed at next meeting when notes and recordings of the meeting are deleted. Minutes and agendas are displayed according to legal requirements Business conducted at Council meetings should be managed by chair	Existing procedures adequate Undertake adequate training Members to adhere to Code of Conduct	
Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessment of any individual event undertaken	Existing procedures adequate	
Employer liability	Non compliance with employment law	L	Undertake adequate training	Existing procedures adequate	

Legal Liability	Legality of activities Proper and timely reporting via Minutes Proper document control	M L  L	Clerk to clarify legal position on proposals and to seek advice if necessary Council always receives and approves minutes at monthly meetings  Retention of document policy in place	Existing procedures adequate
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## COUNCILLORS PROPRIETY

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Members Interests	Conflict of interest Register of Members Interests	M L	Councillors have a duty to declare any interest at the start of the meeting Register of Members Interests to be reviewed at least on an annual basis	Existing procedures adequate Members to take responsibility to update their register

ITEM	FREQUENCY	LAST REVIEWED	COMMENTS / ACTIONS
<b>Assets inspection</b>	Annually	ongoing	Most street furniture included within Island Roads PFI contract. Old School Meadow and Toilet facilities regularly visited and checked by councillors. Playground under contract with the IWC.
<b>Financial Matters</b> Banking Arrangements Insurance Providers VAT return completed Budget agreed, Precept requested: To include contingency for election and clerk training Bank reconciliation overseen by Councillors Clerk's salary reviewed and documented Internal audit External audit Internal check of financial procedures	Annually Annually Annually Monthly Annually  Ongoing Monthly Six monthly Annually Six monthly	April 2020 Oct 2019 April 2020 Dec 2019 Jan 2020  Monthly Feb 2019 Oct 19 Apr 2020 July 2020 Oct 19 Apr 2020	Three year agreement to October 2022 To be undertaken at least once a year    Personnel Working Group to meet prior to October
<b>Administration</b> Minutes properly numbered Asset register available/updated Financial Regulations reviewed Standing orders reviewed Backups taken of computer records	Ongoing Ongoing Ongoing Ongoing Monthly	April 2020 April 2020 May 2019 May 2019	For review May 2020 For review May 2020
<b>Employers Responsibilities</b> Contract of employment in place Contractors Indemnity Insurance	Annually Ongoing	Feb 2019 Oct 2019	Annual Appraisal Three year agreement to October 2022
<b>Members' responsibilities</b> Code of Conduct adopted Register of Interests completed and updated Register of Gifts/Hospitality Declarations of Interests minuted	Ongoing Ongoing Ongoing Ongoing	Feb 2020 Jan 2020 Jan 2020	For Review May 2020 Six monthly review as an agenda item
<b>Date of introduction : 9 March 2017</b> <b>Minute no: 6535 (ii)</b> <b>Reviewed and amended 9 September 2020</b>			