



# Brimscombe and Thrupp Parish Council

## 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 focused 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.

### Risk Assessment

**Likelihood:** Probability of occurrence

**Impact:** If this risk occurs, what would be the effect on the Council?

### Response

**Prevention:** The risk of occurrence is eliminated

**Mitigation:** The impact of the risk is lessened

**Acceptance:** The risk may occur and the Council will adopt tactical responses if it does

**Transfer:** The risk is passed to another body (e.g. Insurance)

**Date of review/ratification:** 8<sup>th</sup> November 2024

**Minute no.:** 8.4 (a)

**Date of next review:** May 2025

## Risk Management Review Schedule

Subject	Item	Frequency	Comment
Assets	Inspect Assets	As per schedule	Clerk
Financial	Review Banking Arrangements	Annual	Clerk – Report to Council
	Review Insurance Provision	Annual	Clerk – Report to Council
	Complete VAT Return	Annual	Clerk – Report to Council
	Agree Budget	Annual	Full Council
	Request Precept	Annual	Full Council
	Reconcile Bank Account	Monthly	Clerk – Report to Council
	Review Clerks' Salary	Annual	Staffing Committee
	Internal Audit	Annual	Clerk – Report to Council
	External Audit	Annual	Clerk – Report to Council
	Internal Check Financial Procedures	Quarterly	Clerk with Councillor – Report to Council
Administration	Minutes properly numbered	Monthly	At PC meeting
	Update/Review Asset Register	Annual	Clerk – Report to Council
	Review Financial Regulations	Annual	Full Council
	Review Standing Orders	Annual	Full Council
	Backup Computer Records	Monthly	Clerk
Employer's Responsibilities	Contract of Employments in place	Annual	Staffing Committee
	Contractor's Indemnity Insurance in place	Annual	Staffing Committee
Members' Responsibilities	Code of Conduct Adopted	Annual	All Councillors
	'Register of Interest' Completed and Updated	Annual	All Councillors
	Register of Gifts/Hospitality	Ongoing	All Councillors
	Declarations of Interest Minuted	Monthly	Clerk to document on minutes

## Parish Council Management

Subject	Risk Description	Likelihood	Impact	Response	Risk Control Measures (Alleviation of Risk by Brimscombe and Thrupp PC)	Comments/review (October 2024)
Business Continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	Low	High	Mitigation	All files and recent records are kept in the office at The West Suite, Port Mill, and on the Clerk's and Assistant Clerk's laptops, both backed up by an external hard drive. The Clerks make a monthly back up of files and files are added to the Cloud where appropriate. The Clerks are in the process of moving existing files to the Cloud over time. The Clerks maintain an up-to-date task list with details of work being undertaken, outstanding work and a list of annual and ad hoc tasks. The Clerks maintain a Clerks Manual with details of important operating information (this is continually updated and an overall update check is undertaken each year in April). In the event of the Clerk being indisposed the Assistant Clerk will step in with the assistance of the Council. In the event of all staff being indisposed the Chair will contact GAPTC for advice.	October 2024 - Clerk confirmation procedures are being followed
Meeting Location	Adequacy / Health and Safety provision falls below standards required	Low	Low	Acceptance	The Council meets at The West Suite, Port Mill, Brimscombe, GL5 2QQ. In the event of this venue no longer being available or meeting the required standard, an alternative venue would be sought.	

Council Records	Loss through fire, theft, damage	Low	High	Mitigation	Council Records are held in storage in the Brimscombe Port Mill building (in an office leased by the Grace Network) and the Parish Council storage container. Both have satisfactory fire and security protection. In the event of either location no longer being available, an alternate location would be sought.	
Council Records (Electronic)	Loss through damage, fire, computer hardware failure, malware, or hacking	Medium	High	Mitigation	Back-ups of the files are taken at monthly intervals, are checked to ensure readability of data and the Clerks are in the process of moving existing files to the Cloud over time. Adequate anti-virus protection is renewed annually.	October 2024 - Clerk confirmation procedures are being followed

## Financial Risks

Subject	Risk Description	Likelihood	Impact	Response	Risk Control Measures (Alleviation of Risk by Brimscombe and Thrupp PC)	Comments/review (October 2024)
Precept	The amount of the precept may prove inadequate, meaning that the Council is unable to fulfil its function and meet its obligations	Medium	High	Prevention	Annual Precept review supported by sound budgeting. Parish Council receives budget update information monthly at meetings. A mid-term budget review is undertaken in October each year. The budget and precept setting process is begun in October each year, involving the full Council, and approved in December each year. The precept is an agenda item at the January meeting.	October 2024 - Clerk confirmation procedures are being followed
Insurance	Amount of Insurance inadequate	Low	Medium	Prevention	Annual review of all insurance arrangements in March, ready for approval in April and renewal in May.	Reviewed in March 2024 for insurance renewal
	Cost of Insurance Premium too high	Low	Medium	Prevention	Competitive quotes sought on renewal.	Next review due April 2025
	Insurance cover not compliant with requirements	Low	Medium	Prevention	Annual review of obligations.	Reviewed in March 2024 for insurance renewal
	Fidelity Guarantee Insurance not available	Medium	Medium	Prevention	Annual Review.	Reviewed in March 2024 for insurance renewal
Banking	Inadequate checks lead to financial loss	Low	High	Prevention	The Council has Financial Regulations (reviewed annually) which set out the requirements for online banking, cheques and reconciliation of accounts. Two signatories for payment of BACS.	Financial regulations due to be reviewed in November 2024. October 2024 - Clerk confirmation procedures are being followed

Cash	Loss through theft or dishonesty	Low	Low	Prevention	The Council has no petty cash or float. Transactions are made or paid by BACS or cheque and are reconciled at the monthly meeting and quarterly internal audits.	October 2024 - Clerk confirmation procedures are being followed
Financial Controls and Records	Inadequate checks lead to financial loss	Low	Medium	Prevention	Monthly reconciliation checked by Parish Council. Two signatories on cheques/BACS. Internal and external audit. Any payments must be resolved and clearly minuted.	October 2024 - Clerk confirmation procedures are being followed
Freedom of Information Act	Prosecution for failure to meet the policy provisions of the FOI Act	Low	Low	Mitigation	The Council has a model publication scheme for Local Councils in place. There have been no outstanding 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. Any requests made under FOI will trigger a review and a report to the Council.	October 2024 - Clerk confirmation procedures are being followed
Clerk	Loss of qualified Clerk	Low	High	Mitigation	A fund has been established to enable training for the Clerk qualification. Clerk is provided with relevant training, reference books, access to assistance and legal advice. Annual performance review – Staffing Committee. The Assistant Clerk will receive a three-part training course run by GAPTC.	Annual performance review needed
	Absence of Clerk	Low	High	Mitigation	The Clerks keep files up to date, both paper and electronic. The Clerks maintain an up-to-date task list with details of work being undertaken, outstanding work and a list of annual and ad hoc tasks. The Clerks maintain a Clerks Manual with details of important operating information (this is	October 2024 - Clerk confirmation procedures are being followed

					continually updated, and an overall update check is undertaken each year in April). The Clerk attends monthly meetings with the Chair and Vice Chair and keeps them informed of the work. In the event of the Clerk being indisposed the Assistant Clerk will step in with the assistance of the Council. In the event of all staff being indisposed the Chair will contact GAPTC for advice.	
	Fraud perpetrated by Clerk	Low	Medium	Transfer	The requirements of Fidelity Guarantee insurance must be adhered to.	
	Actions taken by Clerk	Low	Low	Mitigation	Staffing Committee reviews and oversees the work of the Clerk.	Annual performance review needed
	Salary paid incorrectly	Low	Low	Prevention	PATA is used for administering salary payments, which will be reviewed and signed off monthly at meetings.	October 2024 - Clerk confirmation procedures are being followed
Election Costs	Additional costs incurred due to a contested election	Medium	Medium	Tolerate	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 (allocated reserves).	October 2024 - Clerk confirmation of funds in allocated reserves
VAT	Underpayment/ Overpayment of VAT leads to investigation or possible prosecution	Low	Medium	Prevention	The Council has financial regulations (updated annually) which set out the requirements.	Financial regulations due to be reviewed in November 2024. October 2024 - Clerk confirmation procedures are being followed

Annual Return	Failure to submit within required timescales leads to additional payment being required/ prosecution	Low	Medium	Prevention	Annual return is completed and signed by the Council, submitted to the Internal Auditor for completion and signing, then checked and sent on to the External Auditor within time limit. The timetable for this schedule is documented in the task list and Clerks Manual in case of the Clerk's absence.	October 2024 - Clerk confirmation procedures are being followed
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## Asset Risks

Subject	Risk Description	Likelihood	Impact	Response	Risk Control Measures (Alleviation of Risk by Brimscombe and Thrupp PC)	Comments/review (October 2024)
Street Furniture, Dog Bins, Litter Bins, Boundary Signs	Loss of or damage to assets	Low	Low	Transfer	List of assets and maintenance status covered by Asset Register (to be inspected quarterly). Risks covered by insurance. Coverage reviewed annually. All repairs and relevant expenditure for these are actioned in accordance with correct procedures.	October 2024 - Clerk confirmation procedures are being followed
	Damage to 3rd Parties or Properties	Low	Medium	Transfer		
Notice Boards and Descriptive Panels	Loss of or damage to assets	Low	Low	Transfer	Parish Council has 9 Notice Boards outside and 1 map.	October 2024 - Clerk confirmation procedures are being followed
	Damage to 3rd Parties or Properties	Low	Medium	Transfer	Monthly regular inspections are carried out when displaying Notices for meetings	
Office Equipment	Loss of or damage to assets	Low	Low	Tolerate	Laptops, scanner/printer, mobile phone all owned by the PC. Funding set aside for replacement as and when required.	October 2024 - Clerk confirmation procedures are being followed

## Liability Risks

Subject	Risk Description	Likelihood	Impact	Response	Risk Control Measures (Alleviation of Risk by Brimscombe and Thrupp PC)	Comments/review (October 2024)
Legal Powers	Illegal activity or payments	Low	High	Prevention	All activity and payments made within the powers of the Parish Council (not ultra viries) and to be resolved and clearly minuted. Ensure established with clear terms of reference.	October 2024 - Clerk confirmation procedures are being followed
Legal Powers	Working Groups making decisions	Low	Low	Prevention	All decisions made only by Council and minuted accordingly. All spending by working groups must be agreed in advance and monitored monthly	October 2024 - Clerk confirmation procedures are being followed
Policies	Policies and standard documents are not up to date and do not meet best practice guidelines.	Low	Low	Prevention	The Clerk ensures that relevant policies are drafted and put to Council for adoption. The Council reviews all policies and documents at each Annual Meeting of the Council or when review date is due. The Clerk advises the Council as to whether proposed actions are within adopted policies. Documents are displayed on the Council's website.	October 2024 - Clerk confirmation procedures are being followed
Minutes of Meetings / Agendas / Statutory Documents	Accuracy and Legality not adequate or compliant with statutory requirements	Low	Low	Prevention	Minutes and documents are produced in accordance with statutory procedures and adhere to legal requirements. Minutes are approved and signed at next meeting Minutes and agendas are displayed according to legal requirements. Business conducted at Council meetings managed by chair in	October 2024 - Clerk confirmation procedures are being followed

					accordance with Standing Orders. Council Members adhere to adopted Code of Conduct	
Public Liability	Risk to third party, property or individuals	Low	High	Transfer	Insurance is in place. Risk assessment of any Parish Council run individual event undertaken.	October 2024 - Insurance is in place and risk assessments of events (such as Summer Party) are undertaken
Personal injury on playing field	Falls/ damaged equipment	Low	Medium	Mitigation	Playing field is formally inspected quarterly, within Asset Inspection, and report provided to council Any damage reported attended to immediately and restored.	October 2024 - Clerk confirmation procedures are being followed
Employer Liability	Failure to comply with employment law	Low	Medium	Mitigation	Ensure GAPTC training is undertaken by Clerks and Staffing Committee Training policy in place.	October 2024 - Clerk confirmation procedures are being followed
Employees/ Councillors Health & Safety	Failure to comply with health and safety legislation	Low	Medium	Mitigation	All employees/councillors to be provided with the Health & Safety Policy. Monitor health and safety requirements and insurance annually.	<a href="#">Health and safety policy needed</a>
Contractors	Lack of professionalism, lack of insurance and non-compliance with law and procedures	Low	High	Mitigation	Follow procurement procedures as set out in Financial Regulations. Request copies of contractor's insurance, risk assessment and method statement where appropriate.	October 2024 - Clerk confirmation procedures are being followed
Data Protection Policy	Failure to comply with Data Protection Legislation	Low	High	Acceptance	Have a Data Protection Policy in place. The Parish Council is registered with the Information Commissioners Office (Check registration and annual renewal)	<a href="#">Clerks to check registration</a> <a href="#">Introduce documented procedure for requests received.</a>

Transparency and Accountability	Lack of transparency and accountability	Low	Medium	Mitigation	Council to adopt and adhere to the Transparency Code for Smaller Authorities in accordance with the Local Audit and Accountability Act 2014	<a href="#">The Council need to adopt the Transparency Code for Smaller Authorities in accordance with the Local Audit and Accountability Act 2014</a>
Legal Liability	Legality of Activities	Low	Medium	Mitigation	Clerk explains legal position on proposals and seeks advice if necessary	October 2024 - Clerk confirmation procedures are being followed
	Proper and timely reporting via Minutes	Low	Low	Mitigation	Council receives, reviews, and approves minutes at monthly meetings	October 2024 - Clerk confirmation procedures are being followed
	Document Control Failure	Low	Low	Mitigation	Document control and retention procedure developed	<a href="#">Check policy when filing</a>

## Councillor's propriety

Subject	Risk Description	Likelihood	Impact	Response	Risk Control Measures (Alleviation of Risk by Brimscombe and Thrupp PC)	Comments/review (October 2024)
Member's Interests	Conflict of interest Non-compliance	Low	Medium	Mitigation	Councillors have a duty to declare any interest at the start of the meeting. Register of Members Interests form to be reviewed annually in May and maintained as a permanent public record	Register of interests' form reviewed in May 2024
Councillor skills	Lack of knowledge by Councillors on their role, responsibility and accountability	Low	Medium	Mitigation	All Councillors to have access to training (as set out in Training Policy). Councillors to attend appropriate training courses. Review councillor training annually (in May). All Councillors provided with the "Good Councillors Guide" to read. Council to consider Clerks' advice and input on legality of decisions.	Create a roles and responsibility document for councillor/ clerk/ financial controller. Check training needs of Councillors.
Meetings inquorate	Inability to meet deadlines for payment of accounts or return of documents. Unable to pass resolutions.	Low	Medium	Mitigation	Members required to advise Clerk if they are unable to attend a meeting. Additional meeting may be called if there are items on the agenda and payments to be made, according to Standing Orders.	October 2024 - Clerk confirmation procedures are being followed

Date of adoption: October 2024

Approving committee: Full Council

Date of meeting: 8th October 2024 – minute reference 8.4(b)

Date for next review: May 2025