

Smeeton Westerby Parish Council

RISK MASSESSMENT AND MANAGEMENT SCHEME

Area	Risk	Level	Control Measures
Assets	Protection of physical assets	M	Insurance reviewed and renewed annually to cover loss, destruction or damage to street furniture. Register of assets kept and assets checked annually. Maintenance arrangements for physical assets as required.
	Insurance requirements for Village Hall	M	Copy Insurance Schedule required annually from Village Hall Committee with confirmation that the current Insurance Certificate is displayed at the Hall.
	Maintenance of Village Hall	M	Responsibility of Village Hall Committee
	Health and Safety at Village Hall	M	Responsibility of Village Hall Committee. Copy fire Risk Assessment held.
	Vehicle Activated Sign	M	Sign covered under existing public liability insurance policy.
Finance	Banking	M	Bank mandate kept up-to-date. Cheques and inter-account transfers require three signatories
	Contracts	L	Contracts reviewed annually. Contractor must hold own Public Liability Insurance. Regular reporting on performance of contractors by Councillor observation, and feedback from parishioners.
	Budget Control	M	Budget for the ensuing financial year reviewed by late Autumn and Precept fixed in December. No expenditure may be incurred that will exceed the amount provided in the budget for that item. Budget statements will be issued every financial quarter for approval.
	Financial controls and records	M	Financial Regulations reviewed annually. Invoices are checked for accuracy by Clerk. All invoices are numbered to correspond with cheque stubs. List of monthly expenditure produced. Cheque stubs are initialled by signatories. A review of the effectiveness of internal control of financial systems conducted annually prior to approval of annual return. (Financial Reg. 1.4) Internal and External audit conducted annually. The effectiveness of internal audit is carried out in accordance with Annual Governance

			Statement. Financial records kept in accordance to statutory requirements. Accounts ledgers kept in office for minimum of 7 years. Ledgers then forwarded to Records Office for their safe keeping on indefinite loan. Expenditure is made within the powers of a Parish Council and all payments are approved. Bank reconciliation produced quarterly for Council approval. Receipts and payment ledger totals checked quarterly for accuracy. Computer records backed up weekly on USB stick and stored at a separate location.
	Comply with VAT Regulations	M	VAT items entered on VAT spreadsheet and correspond to Receipts and Payments ledger. VAT refund request submitted at least annually to HM Revenue and Customs.
Public Liability	Risk to third party, property or individuals	M	Insurance in place. Open spaces checked regularly and all obvious risks mitigated. Professional tree survey every 5 years. Annual visual inspection of the allotments. Street furniture checked annually.
	Risk to volunteers and Councillors when using and installing Vehicle Activated Sign	M	Operating instructions made available at all times. Lamp posts safety tested separately by LCC. Separate Risk Assessment in place for use and installation to be adopted by the Parish Council in October 2016.
Employer Liability	Comply with Employment Law and HMRC requirements	M	Regular advice from HMRC. Internal and external auditor carry out annual checks. Membership of SLCC and LRALC maintained. High Visibility jackets to be worn and a minimum of two people to be involved at all times. Contracts of employment to be in compliance with NALC guidance.
Legal Liability	Ensuring activities are within legal powers	M	Clerk to be professionally trained. All payments to be made within the framework of the approved budget unless approved and minuted by the Council. Legal advice to be sought where necessary. Legal updates received from NALC, LRALC and SLCC.
	Use of home as public office	L	Insurance cover provided for people entering the house on Council business.
	Compliance with statutory requirements in relation to agendas and minutes.	M	Agendas are issued in prescribed form and within the required time and signed by the Clerk. Council meets five times a year and receives and approves Minutes of meetings held in interim. Minutes made available to public via the noticeboard and web site.

	Proper document control	L	<p>Leases and legal documents to be locked in secure filing cabinet. Original leases stored at solicitors. Copies held in office. Filing cabinets locked.</p> <p>Minutes properly numbered and paginated with a master copy kept in safekeeping. Minutes signed and loose leaf pages initialled. Minutes forwarded to Records Office for their safe retention on indefinite loan. Kept in office for two years prior.</p> <p>Documented procedure for Planning Application receipt, circulation, response, handling and filing.</p>
Councillor propriety	Registers of Interests	L	<p>Register of interest completed by each Councillor and submitted to Monitoring Officer at Harborough District Council. Councillors are responsible for notifying any changes to their interests within 28 days. Annual agenda item to ensure register complete, accurate and up to date. Code of Conduct adopted. Declaration of personal or prejudicial interest in items on the agenda to be declared at the beginning of each meeting or when the member becomes aware of an interest. Register of Declarations kept by Clerk.</p>

Approved by Smeeton Westerby Parish Council on 10th May 2017

Signed:

Dated: