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Greenham Parish Council Risk Management

1. Greenham Parish Council is committed to ensuring that all risks are properly assessed and that appropriate measures are in place to meet them.
2. The Clerk to the Council will prepare a list annually of all known and anticipated risks and the measures in place to counteract them.
3. The list will be debated by full Council and the outcome provided to the External Auditor as part of the annual audit.

P Harper

Clerk to the Council



Greenham Parish Council

Corporate Risk Review

Drafted May 2017

Adopted January 2018

Greenham Parish Council

Corporate Risk Review

The greatest risk facing a local authority is not being able to deliver the activity or services expected of the Council.

Overview

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the employer to identify any and all potential risks inherent in the place or practices. Based on a recorded assessment the employer should then take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible. Making sure that all employees and councillors are made aware of the results of the risk assessment.

This document has been produced to enable Greenham Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

In conducting this assessment, the following methodology was followed:

- **Identify** the areas to be reviewed.
- **Identify** what the risk may be.
- **Evaluate** the management and control of the risk and record all findings.
- **Review, assess and revise procedures** if required.

Since the last formally recorded review of risk was in 2013, this risk assessment has re-examined the previous risk register (at appendix 1) and reviewed the continued relevance of the risk and the activity required to mitigate that risk. Moreover, this assessment has considered a broader scope of risk than previous assessments have, and it has done so using a more systematic approach. Both probability and impact of risk are considered, and mitigation is applied to reduce either or both of these factors. The residual risk is noted and, importantly, outstanding activity to realise the reduced residual risk is highlighted.

The context of Greenham Parish Council's Risk profile has also very much changed since the earlier assessment. In 2014, the Council bought the old Greenham Common Airfield control tower with a view to refurbish it to become a visitor's centre. This has proved a large and complex project and is deserving of a risk register in its own right. This is included as part of the council's overall risk assessment and is regularly reviewed by the Council's Control Tower Committee as part of routine project oversight.

This Risk Assessment was approved by Council on 10th January 2018, for further review in May 2018.

Philippa Harper
Clerk to the Council
May 2017

Risk	Probability	Impact	Risk Management / Mitigation	Residual Risk Review / Assess / Revise Any outstanding actions in red highlight
Financial <ul style="list-style-type: none"> - Allocation and Receipt of Precept - Financial Record Holding - Banking procedures and checks - Fraud - Personnel - Inadequate insurance 				
Inadequacy of precept	LOW	MED	To determine the precept amount required, the Parish Council regularly receives budget update information and the precept is an agenda item at full Council. At the Precept meeting Council receives a budget update report, including actual position and projected position to end the year and indicative figures or costings obtained by the Clerk.	<p style="text-align: center;">LOW</p>
Precept requirements not submitted to District Council	LOW	MED	With the above information the Council maps out the required monies for standing costs and projects for the following year and applies specific figures to budget headings, the total of which is resolved to be the precept amount to be requested from the District Council. This figure is submitted by the Clerk in writing to the District Council.	Existing procedures adequate – review annually

Precept not received by District Council	LOW	HIGH	The Clerk informs Council when the monies are received (approx. April and Sept).	
Inadequate records / Financial irregularities	LOW	MED	Established recording process in accordance with 'Governance and accountability for Smaller Authorities' guidelines published by SLCC June 2016. The records are subject to both internal and external audit. Money can only be withdrawn from the bank account under signature of two councillors, who are independent of the financial record keeping and RFO.	LOW Existing procedures adequate – review annually
Inadequate banking checks / reconciliation	LOW	LOW	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts.	LOW Existing procedure adequate. Review the Financial Regulations when necessary and bank signatory list when necessary, especially after an AGM and an election. Monitor the bank statements monthly.
Banking errors (caused by bank)	LOW	LOW	If the bank makes errors in processing cheques this would be discovered when the Clerk reconciles the bank accounts once a month when the statements arrive. Errors would be dealt with immediately by informing the bank and awaiting their correction.	
Fraudulent / Incorrect payment of invoices	LOW	MED	The Council has Financial Regulations, which set out the requirements for invoice payment. At each Council meeting the list of invoices paid is distributed to Councillors, and considered. Each Councillor who signs the cheque also checks each invoice against the cheque book and associated paperwork and initials the chq stub as evidence of this. Each authorised payment is minuted, the invoice number and cheque stub number noted for audit.	LOW Existing procedure adequate. Review the Financial Regulations when necessary.
Fraudulent / incorrect payment of Grants and Support (Payable)	LOW	MED	All such expenditure goes through the required Council process of approval, minutes and listed accordingly. The council has the general power of competence and thus does not need to rely upon S137 LGA1972 powers.	LOW

				Existing procedure adequate.
Fraudulent / mismanagement of grants (receivable)	LOW	HIGH	Regular management updates to awarding authorities, e.g. control tower monthly reports forwarded to awarding authority Partnership: co-option of members of awarding authorities onto council working groups and committees.	LOW / MED Review engagement with awarding authorities at monthly Council meetings.
Failure to achieve Value for Money: contracts awarded incorrectly, and /or overspend on services	MED	MED	Standard Parish Council practice is to seek, if possible, more than one quotation for any substantial work required to be undertaken or goods. For major contract services (above £10,000), formal competitive tenders would be sought using the .gov Contracts Finder website. This process would be administered independently by the Clerk. If a problem were encountered with a contract the Clerk would investigate the situation, check the quotation/tender, research the problem and report to Council.	LOW Existing procedure adequate. Include when reviewing Financial Regulations.
Salary paid incorrectly / Wrong deductions of NI or Tax / Unpaid Tax & NI contributions to HMRC	MED	LOW	The Parish Council authorises the appointment of all employees. Salary rates are assessed annually by the Council and applied on 1 July each year. Salary and payments to the HMRC are made monthly and reported at main Council meetings. The Tax and NI is worked out using SAGE Pay. All Tax and NI payments are submitted in the HMRC via Real Time Information system and the annual declaration. All is subject to the internal audit.	LOW Existing appointment and payment system is adequate.
Loss of key personnel (Clerk to the Council)	MED	HIGH	Address turnover rate – improve conditions of work. The Clerk's role would be advertised and another appointment made. In the meantime the assistance of neighbouring parish clerks would be sought. Alternatively, a parish councillor would be seconded into the Clerk's role (unpaid). Where the chairman undertook	MED A well practiced procedure!

			<p>Responsible Financial Officer role a second councillor would be nominated as PO to ensure separation of powers.</p> <p>Consider recruitment of deputy clerk to revert turnover rate.</p> <p>Approach BALC for locum / advertising.</p>	
Financial fraud by staff	LOW	MED	<p>Sufficient fidelity guarantee (no less than £250k) in insurance cover</p> <p>Annual insurance review by clerk</p>	<p>LOW</p> <p>Revised Apr 2017</p> <p>(insurance renewal Jun 17)</p>
Loss to 3 rd party following Actions /advice provided by cllrs and/or staff	LOW	HIGH	<p>Sufficient councillors / Staff indemnity included in insurance cover</p> <p>The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role. Membership of Berkshire ALC and Society of Local Councils</p> <p>Cllrs Should received induction training in accordance with BALC guidance</p> <p>Annual insurance review by clerk</p>	<p>LOW</p> <p>Revised Apr 2017</p> <p>(insurance renewal Jun 17)</p> <p>Clerk SLCC membership renewed Apr 2017.</p> <p>Cllr Induction process to be reviewed</p>
Loss to 3 rd Party / employees on council property / in execution of council business	LOW	HIGH	<p>Sufficient Public Liability indemnity (no less than £12Mil) included in insurance cover</p> <p>Annual insurance review by clerk</p>	<p>LOW</p> <p>Revised Apr 2017</p> <p>(insurance renewal Jun 17)</p>

Risk	Probability	Impact	Risk Management / Mitigation	Residual Risk Review / Assess / Revise Any outstanding actions in red highlight
Constitutional / Operating Risk <ul style="list-style-type: none"> - Election Costs - Administration - Conflicts of Interest - Business Continuity Risks 				
Unexpected Parish Council Election	LOW	LOW/ MED	Accept risk - hold reserves to cover the likely cost based upon the estimated cost supplied by the district council from time to time.	LOW Existing procedure adequate
Inadequate / inaccurate Minutes/Agendas/Notices Statutory Documents	LOW	LOW	<p>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 displayed according to the legal requirements.</p> <p>Business conducted at Council meetings managed by the Chair in accordance with council standing orders.</p>	LOW Existing procedure adequate Standing order review scheduled June 2017
Councillors' conflict of interests	MED	LOW	<p>Declaration of Interests standing agenda item in all council/committee meetings.</p> <p>Register of Member's Interest forms reviewed annually by Councillors.</p>	LOW ROI scheduled for review in June 2017
Damage to assets / items under the Council's care, e.g notice boards, bus shelters etc.	MED	MED	<p>Annual review of asset register (Clerk)</p> <p>Periodic inspections of notice boards and bus shelters instigated (Clerk)</p>	LOW Asset register scheduled for review in June 2017
Business Continuity	LOW	HIGH	Currently, all electronic files in process of migration to Dropbox. Clerk procuring dedicated council laptop for hard-disc storage.	LOW

Loss of council Files (electronic)			All emails retained for rebuttal.	Council Computer procured May 2017 and file migration complete by Jun 2107. Review storage requirement annually
Business Continuity Loss of council Files (hard copy)	LOW	HIGH	Hard Copy Minute books maintained. All invoices and bank statements held on paper file stored in metal cabinets in Council's offices.	LOW Existing procedure adequate

Risk	Probability	Impact	Risk Management / Mitigation	Residual Risk Review / Assess / Revise Any outstanding actions in red highlight
Control Tower Risk				

GREENHAM PARISH COUNCIL CORPORATE RISK REGISTER



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14 November 2013

CORPORATE RISK ASSESSMENT

Extract from Minutes of Full Council meeting of 13th November 2013

18. Annual Risk Assessment. It was necessary to undertake the annual risk assessment. Risks fall in to 3 categories as shown below

Areas where Insurance may minimize risk

Risk	Level of Risk	Notes
3rd Party liability	Low	Insurance cover
Consequential Loss	Low	Insurance cover
Fidelity Guarantee	Low	Insurance cover
Public Liability	Low	Insurance cover
Damage to Assets	Medium	Insurance cover, regular checks of bus shelters

Robustness of insurance provider and evaluation of premiums are carried out annually

Areas with scope to manage risk by co-ordination

Applies to items such as building security, vehicle hire, trading units etc. Not applicable to Greenham

Areas with a possible need for risk self-management

Risk	Action
Keeping of proper financial records in accordance with statutory requirements	Kept as Required
Ensure all business activities are within legal requirements	No business activities
Comply with restrictions on borrowing	No monies borrowed

APPENDIX 1 to,

GREENHAM PARISH COUNCIL CORPORATE RISK REGISTER

Ensure all HM Revenue & Customs requirements are met	Tax/NI rates assessed independently
Ensure adequacy of annual precept within sound budgeting arrangements	Assessed by Finance Working Group and ratified by full Council.
Internal controls	Budget compared to actual expenditure
Proper timely and accurate publication of Minutes	Draft Minutes raised day following meeting when possible and published on website. Approved at next Council meeting.
Response to electors exercising right of inspection	All necessary public notices posted
Meeting laid down timetables for consultation	Notified to Councillors, listed in Minutes and monitored by Clerk
Loss of electronic data	Saved automatically by subscribed McAfee service. Also backed up on external hard drive.
Security of bus shelters	Regular checks made by Newbury Wardens and graffiti cleaned, rubbish collected etc.
Absence of Chairman/Clerk	Emails/post redirected as necessary.
Incapacity of Clerk	Sum for employment of locum within reserves
Registers of Members Interests and Gifts & Hospitality in place and up to date	Confirmed.
It was proposed by Mr Hale, seconded by Mrs Huxtable and carried unanimously that the Annual Risk Assessment be accepted.	