

STAVERTON PARISH COUNCIL RISK MANAGEMENT SCHEDULE

Adopted by Council 08.08.23 Minute Ref **08.08.23.10a**

Reviewed: 22 May 2025

Next Scheduled Review: May 2026

Financial				
Subject	Risk Identified	Risk Level H/M/L	Management of Risk	Review
Financial Controls	Non- compliance with Financial Regulations and consequent inadequate protection of public funds	M	Adopt and regularly review Financial Regulations	Annually in May by Full Council.
Legal Powers	Council making payments without legal power to spend	L	Clerk/RFO is trained and receives advice/support from GAPTC/SLCC  Council is eligible to use the General Power of Competence and eligibility is reviewed annually	Ongoing  Ongoing
RFO not completing statutory tasks	Council operating outside legal framework	H	Accounts and bank reconciliation reviewed Quarterly by Full Council.  Internal and external audit reports (if applicable) submitted to Full Council  Training given to RFO, as appropriate	Ongoing  Ongoing  Ongoing
Annual Return	Not submitted in time	L	Council is exempt and annual submission of notice of exemption reported to Full Council and minuted.	Annually

Precept	Not requested	L	Council minute. Precept request prompted by Borough Council	Annually
	Not received	L	Diarised by RFO. Sufficient reserves held to continue operation if precept is delayed	Annually
	Inadequate to meet expenditure needs of council	L	Precept based on detailed budget report which is considered and approved by Full Council, which also receives Quarterly comparisons of expenditure against budget.  Precept is open to scrutiny by electorate.	Annually Quarterly Ongoing
Borrowing	Insufficient funds to meet loan repayments	L	Not applicable – no borrowing	Annually
Banking	Cash and cheques not banked	L	Bank reconciliations circulated to Full Council Quarterly.	Ongoing
	Misappropriation of funds / fraud	M	All payments made by are authorised by 2 signatories.	Ongoing, and annually via Financial Regulations
Staff competence	Absence of appropriate skills in staff and councillor	L	RFO has appropriate financial skills, which are kept up to date, by CPD training and NALC/SLCC updates	Ongoing
Financial Records	Loss/destruction of records	M	Bank statements available online.	Ongoing

			Paper Copies of Invoices kept behind locked doors.	Ongoing
Payroll	Incorrect payment of staff salaries or NI, pension contributions.	L	Use of payroll bureau for salaries.	Annually
	Non-compliance with auto-enrolment procedures	M	Pensions status of all staff reviewed Annually	
VAT	VAT not reclaimed	L	Claims made annually. Picked up by internal control and internal audit checks.	Annually
Insurance	Adequacy	M	Clerk reviews when asset register updated	Bi- Annually

MANAGEMENT				
Subject	Risk Identified	Risk Level H/M/L	Management of Risk	Review
Continuity of staff	Absence of Clerk – resignation / long term illness	M	Use of locums via GAPTC where possible	Ongoing
Loss of records	Loss of paper records	M	All key paper documents have electronic versions which are accessible on website	Annually
Health and Safety of staff	Injury to staff while at work	L	Clerk operates in accordance with Health and Safety procedures Clerk alerts councillors to potential risks Employers' Liability Insurance in place	Ongoing

Health and Safety of volunteers	Injury to volunteers when carrying out Community Speedwatch activities / Litter collection	L	Volunteers have received training specific to this activity Hi-vis jackets are worn Employers' Liability insurance is in place (though injury caused by a third party would be covered by the driver's insurance policy)	Ongoing
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PROCEDURAL				
Subject	Risk Identified	Risk Level H/M/L	Management of Risk	Review
Legal Powers	Council acting outside its powers	L	Clerk is CiLCA trained and undertakes Continuous Professional Development through GAPTC and SLCC All activities to be approved by council resolution and minuted Councillors to receive training on appointment and updated as necessary	Ongoing
Documents	Accuracy of records	L	All agendas are checked by Chair of Council. All minutes are approved by Full Council at subsequent meeting	Quarterly
	Non-compliance of minutes and agendas with statutory regulations	L	Clerk is CiLCA qualified and Council operates within standing orders and financial regulations based on NALC model	Ongoing

General Data Protection Regulation	Non-compliance with Regulation	L	Councillors received training before introduction of regulations and Clerk works with relevant parties to ensure that breaches do not occur	Ongoing
Public liability	Failure to provide duty of care to the public	M	Public Liability Insurance held to cover claims for death to others caused by Council's staff or products	Annually

ASSETS				
Subject	Risk Identified	Risk Level H/M/L	Management of Risk	Review
Asset Register	Non- recording of assets	L	Clerk maintains asset register which is checked as part of internal audit process. Total asset figure is shown on annual return which is approved by Full Council.	Annually
	Assets not insured or under insured	M	Insurance cover reviewed by Clerk on acquisition of new assets. Cover also reviewed annually at renewal date.	Ongoing
Contractors	Damage to assets through bad workmanship	L	Use of trusted contractors with adequate public liability insurance	As needed

COUNCILLOR CONDUCT				
Subject	Risk Identified	Risk Level H/M/L	Management of Risk	Review

Code of Conduct	Non-compliance	M	Councillors sign undertaking to comply. New councillors attend training. Chair will, on advice of Clerk, raise incidents of noncompliance with councillors.	Ongoing
Register of Members' Interests	Non-disclosure of interests	L	Clerk receives declaration forms from councillors on appointment and lodges with borough solicitor. Forms updated, as appropriate. Agenda item at each meeting of Full Council requesting declaration of interests pertinent to the agenda	Annually  Quarterly