

**NEWPORT & CARISBROOKE COMMUNITY COUNCIL
RISK ASSESSMENT 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.

Audit Commission – Worth the Risk: Improving Risk Management in Local Government (2001:5)

This document has been produced to enable the Community 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 subject
- 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 office at the Guildhall. The clerk makes a monthly back up of files. In the event of the clerk being indisposed the Chairman to contact the IW Clerks Society (via the Secretary Val Taylor) for advice.	Review when necessary Ensure procedures below are undertaken
Meeting location	Adequacy Health and Safety	L	Meetings are held in a number of different venues around the wards. All the premises and facilities are considered to be adequate for the Clerk, Councillors and any Public who attend from a health and safety and comfort aspect and all risk assessments checked.	Existing procedure adequate
Council Records	Loss through theft, fire, damage	L	Papers, both current and archived will be held in locked metal cabinets at the office at the Guildhall.	Damage or theft is unlikely and so provision adequate.
Council Records electronic	Loss through damage, fire, corruption of computer	M	The Community Council's electronic records are stored on the clerk's computer. Back-ups of the files are taken at weekly intervals on an external hard drive, which is kept in a locked metal cabinet. A separate monthly back up is held by the Chair	Existing procedure adequate.

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 Community Council receives monthly budget update information and detailed budgets in the late autumn. The precept is an agenda item at the December meeting.	Existing procedure adequate
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. Any cash transactions are made by the clerk, are fully receipted and then reimbursed monthly or paid by cheque on receipt of an invoice	Existing procedures adequate
Financial controls and records	Inadequate checks	L	Monthly reconciliation prepared by RFO and checked by the Lead Finance member of the Community Council. Two signatories and the Clerk on cheques and electronic transfers. Internal and external audit. Electronic transfers are only carried out by the Clerk and checked against the bank statements by the Lead Finance Member Any financial obligation must be resolved and clearly minuted before any commitment. All 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 M	The Council has a model publication scheme for Local Councils in place. The clerk is aware that if a substantial request arrives then this may require many hours of additional work. 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
Clerk	Loss of clerk Fraud	M L	A contingency fund should be established to enable training for the CiLCA qualification in the event of the clerk resigning The requirements of Fidelity Guarantee insurance must be	Include in financial statement when setting precept

	Actions undertaken	L	adhered to Clerk should be provided with relevant training, reference books, access to assistance and legal advice	Membership of SLCC maintained Monitor working conditions
	Salary paid incorrectly	L	Community Action IW has been appointed to undertake payment of clerk and staff monthly salary	Monitor provision every 6 months
Payroll	Underpayment to HMRC	L	Receipt of monies paid to HMRC is provided following collection of funds from Community Council	Monitor provision every 6 months
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 has been established to meet the costs.	Existing procedures adequate
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	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	Existing procedures adequate

ASSETS

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Xmas Lights	Damage whilst in storage or in situ	L	The lights are stored at the Blachere yard and are insured accordingly	Existing procedures adequate
Hanging Baskets	Damage whilst in storage or in situ	L	The baskets are stored by Haylands Farm and are insured accordingly	Existing procedures adequate
Laptops	Damage whilst in situ or in transit	L	The laptops are insured accordingly and protective bags are used for transportation.	Existing procedures adequate
Notice Boards	Damage through vandalism	L	The notice board in St James Square is aluminium and has vandal proof glass. The notice boards on Carisbrooke Road and at Gunville are wooden but have vandal proof glass. They will be checked regularly and maintained.	Existing procedures adequate
Allotments	Damage to public areas, fences etc unkempt plots	L	A maintenance person has been employed to regularly patrol the sites and report any unusual activity. Any necessary repairs will be made as soon as possible.	Existing procedures adequate
Victoria Recreation Ground and play area	Damage to Pavilion, graffiti etc. Damage to play equipment due to vandalism	M	CCTV and security lighting installed, regular patrols and inspection of equipment by Environment Officer	Review procedures every 6 months
Clatterford Recreation Ground	Damage to play equipment through vandalism. Damage to pitch or fencing through vandalism	L	Regular patrols by EO and regular pitch maintenance by maintenance man	Review procedures every 6 months

Toilets	Damage to hardware, windows and doors	M	Regular patrols by EO and regular maintenance by maintenance man	Review procedures every 6 months
LIABILITY				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Legal Powers	Illegal activity or payments	L	All activity and payments made within the powers of the Community Council (not ultra vires) are to be resolved and clearly minuted.	Existing procedures adequate
	Working Parties taking decisions	L	Ensure established with clear terms of reference.	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 Minutes and agendas are displayed according to legal requirements Business conducted at Council meetings should be managed by the Chairman	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 and seek advice from insurance company	Updated procedures adequate
Legal Liability	Legality of activities	M	Clerk to clarify legal position on proposals and to seek advice if necessary	Existing procedures adequate
	Proper and timely reporting via Minutes	L	Council always receives and approves minutes at monthly meetings	Existing procedures adequate
	Proper document control	L	Retention of document policy in place	Existing procedures adequate
COUNCILLORS PROPRIETY				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Members Interests	Conflict of interest	M	Councillors have a duty to declare any interest at the start of the meeting	Existing procedures adequate
	Register of Members Interests	L	Register of Members Interests form to be reviewed at least on an annual basis	Members to take responsibility to update their register

NEWPORT & CARISBROOKE COMMUNITY COUNCIL RISK ASSESSMENT SCHEDULE

ITEM	FREQUENCY	LAST REVIEWED	COMMENTS/ACTIONS
Communit Council Insurance Including Public and Employers Liability Money and Fidelity Guarantee Personal Accident	Annually	July 2018	
Assets inspection	Annually	July 2018	
Financial Matters Banking Arrangements Insurance Providers VAT return completed Budget agreed, monitored and reported Precept requested: Payments approval procedure Bank reconciliation overseen by Chair Clerk's salary reviewed and documented Internal audit External audit Internal check of financial procedures	Annually Annually Quarterly Monthly Annually Monthly Ongoing Annually Annually Annually Annually	July 2018	
Administration Minutes properly numbered Asset register available/updated Financial Regulations reviewed Standing orders reviewed Backups taken of computer records	Ongoing Ongoing Annually Annually Weekly	July 2018	
Employers Responsibilities Contract of employment in place Contractors Indemnity Insurance Written arrangements with contractors	Annually Ongoing Ongoing	July 2018	
Members' responsibilities Code of Conduct adopted Register of Interests completed and updated Register of Gifts/Hospitality Declarations of Interests minuted	Ongoing Ongoing Ongoing Ongoing	July 2018	

The information given above was agreed at the audit review meeting and will be agreed at the next full council meeting of Newport & Carisbrooke Community Council as being a correct record.

Signed
Chairman

Dated

Clerk

Dated