

BLOXHAM PARISH COUNCIL: RISK MANAGEMENT

(reviewed & updated Augst 2018)

| Area | Risk | Level | Controls | Frequency months |
|----------------|--|-----------------|---|-------------------|
| Assets | Protection of physical assets detailed on the register attached | H | Insured through Came & Co. Policy Number SC0119736, Expires 5th June 2019. | 12 |
| | | M | Leases with Aplins solicitors, copies with Clerk. Councillors to check that policy adequately insures the assets for which they are responsible. | 12 |
| | | | RFO/Council to review adequacy of Public Liability & Trustee Indemnity Insurance for all that follows. | |
| Assets | Security of equipment detailed on the attached register etc | M | Ensure equipment is stored securely and insured adequately.(clerk to attach register) | 12 |
| Finance | Banking | M | Two bank accounts are with Bank of Ireland. Reconciled every month by the Clerk and every 3 months by the Resources Committee. Sort code: 30-11-54 Account number 2 (current account) – 19143722 Account number 5 - 65549459 | 2 6 |
| Finance | Risk of consequential loss of income Budget not prepared or submitted Precept not paid by District Council | M L L | Bank account reserves of 50% of the precept. Important documents backed-up and taken off premises. Resources Committees to recommend to the Full Parish Council to approve the budget submission. Precept paid 6 monthly. Clerk to check bank statements and make available to Resources Committee, upon request. | 12 12 6 |
| Finance | Loss of cash through theft or dishonesty | L | No Petty cash | |

BLOXHAM PARISH COUNCIL: RISK MANAGEMENT

(reviewed & updated Augst 2018)

| Area | Risk | Level | Controls | Frequency months |
|---------|---|-------|---|------------------|
| Finance | Financial controls and records | H | Two signatories on cheques,(The Chairman, Vice-Chairman and two councillors). A minimum of 4 Councillors to act as signatories. | 12 |
| | | M | Internal Audit 6 monthly, external audit 12 mthly. | |
| | | M | All Parish Council payments to be approved at monthly council meeting, including cross checking of Invoices. | 12 |
| | | M | Audit Reports to be presented at full council meeting month after receipt. | As reqd |
| | | M | All cheques over £1000 to be signed in presence of full Parish Council. | 12 |
| | | M | All documents are backed up on a Live Drive server | Daily |
| | | M | Power to pay to be in minutes and agreement of Council also to be noted in minutes | |
| | | M | Internal audit completed by finance committee every 3 months. | |
| | | M | External audit completed annually, Finance Committee to meet with internal auditor 6 monthly. | |
| | | H | Ensure competitive tendering process in place for all contracts in excess of £1,000 | |
| | | H | Review annually Public Liability guarantee. | |
| | | M | All invoices (paid) bank statements to be stored at Ellen Hinde annually | |
| | | M | Reconciliation of accounts to be carried out by the RFO and checked quarterly by the Resources Cttee | 4 |
| Finance | Comply with H.M.R.C. VAT Regulations | H | Use help line when necessary. | As req'd 12 |
| | | H | VAT payments and re claims to be calculated by Clerk. | |
| | | H | Internal and external auditor to provide double check. | |
| | | H | VAT claims to be completed at least annually and shown on the minutes. | |
| Finance | Sound budgeting to underlie annual precept. Adequacy of reserves | M | Council receives detailed budgets in the late autumn. Precept derived directly from this. | 12 |
| | | M | Expenditure against budget reported to Council every month. | 1 |
| | | M | Reserves should be a min of 3 months & a maximum of 12 months of the annual budget. | 12 |
| | | M | Council is forbidden to spend more than the agreed annual budget. | 12 |
| Finance | Complying with borrowing restrictions | L | No new borrowing likely at present but to be reviewed at each annual budget. | 12 |
| | | | | |

BLOXHAM PARISH COUNCIL: RISK MANAGEMENT

(reviewed & updated Augst 2018)

| Area | Risk | Level | Controls | Frequency months |
|---------------------------|---|-------|---|---|
| Liability | Risk to third party, property or individuals | M | Insured through Came & Co. Policy Number SC0119736, Expires 5th June 2019. Open spaces checked regularly. (Play areas checked by Recreation Ground Trustees and JPMC, reported to PC monthly) Trees investigated when damage reported. Written report commissioned in 2016 from Tree Specialist (repeat every 3 years) Parish Council Environment Committee to produce written report in intervening years Risk assessments of individual events such as Christmas lights, carried out by a qualified person. Risk assessments for the Slade including work parties and young persons events carried out by the Warden and Assistant Warden. Insurance Company made aware of young persons attending learning events at the Slade. DBS checks complied with for the Warden and Assistant Warden. Individual councillors complete audit of roads, paths, kerbs, street lighting, litter & dog bins, benches to be completed annually, and to include risk of flooding | 12 Weekly 12 12 12 12 |
| Liability | Legal liability as consequence of asset ownership especially of playgrounds managed by trustees | H | Insurance in place with Came & Co. Annual checks by John Hicks of Jubilee Park and Wicksteed at Bloxham Recreation Ground Parish Council representative on JPMC to ensure that the terms of the lease are met. Checks carried out by the PC to ensure new Play Equipment at the Recreation Ground and Jubilee Park are included on the insurance of those organisations. | 12 12 As req'd 12 |
| Employer Liability | Comply with Employment Law | H | Membership of various national and regional bodies including Employees Organisation. Clerk is member of SLCC / OALC. Ensure Parish Clerk's and Admin Assistant's terms & conditions comply with employment law. Copies of Clerks and Admin Assistant's Job Description, Contract of Employment, Terms & Conditions to be reviewed annually & copies kept by Chairman. Chairman to keep accurate records of Clerk's and Admin Assistant's annual leave and sickness. Clerks Admin Assistant's performance to be appraised by the Chairman of the Staffing Committee and Clerk as required but minimum 12 monthly. Copies of appraisal document to be kept by Chairman of the Staffing Committee & Clerk & Admin Assistant and signed by them. | As req'd 12 12 12 or As req'd 12 |
| Employer Liability | Comply with Inland Revenue requirements | M | Regular advice from OALC. Internal and external auditor carry out annual checks. Tax returns managed by TaxAssist | As req'd 12 |

BLOXHAM PARISH COUNCIL: RISK MANAGEMENT

(reviewed & updated Augst 2018)

| Area | Risk | Level | Controls | Frequency months |
|------------------------|---|-----------------------|---|-------------------------|
| Legal Liability | Ensuring activities are within legal powers | H | Clerk to clarify legal position on any new proposal. Legal advice to be sought where necessary. No Parish Council expenditure should be allocated to organisations or activities not covered by regulations, however the PC has the General Power of Competence. | As req'd |
| Legal Liability | Proper and timely reporting via the Minutes | M | Council meets monthly and always receives and approves Minutes of meetings held in the previous month and any meetings held in interim. Minutes made available to press and public via notice boards, Broadsheet and the Parish Council web site. See standing orders for timings. Agenda's and minutes to be displayed on Parish Council's notice board's, in accordance with Standing Orders. Keys to the notice boards to be kept by the Clerk, Chairman 7 Vice-Chairman of the Parish Council | 12 12 12 |
| Legal Liability | Proper document control | M | Original leases stored with Aplin's solicitors Banbury. Copies kept by Clerk, and stored at Ellen Hinde. | As req'd |
| | | | | |
| Councillors | Registers of Interests and gifts and hospitality in place | H M M M M | Register of Members' Interests completed annually at Parish Council meetings. Gifts and hospitality register is present at each Council meeting. Agenda item once a year. Ensure that declaration of interest is on the agenda at every meeting. Update declarations of interest by councillors annually | 1 12 1 12 1 |