

Queen's Park Community Council Risk Management Policy	Revised March 2020
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Definition of Risk Management

Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives or to execute its strategies successfully. Risk Management is the process by which risks are identified and evaluated then avoided, mitigated or controlled.

Purpose of Document

This document has been produced to enable the 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 a strategy that provides a structured, systematic and focused approach to managing risk, which:

- Identifies the key risks facing the council
- Evaluates the level of risk
- Assigns the management and control of the risk and records findings
- Reviews, assesses and revises procedures where required.

The details of these are contained in the Schedule to this document which categorises them into Management; Finance; Information and Data; Liability; Council Reputation, Propriety; and Assets.

The Council does not operate a separate Business Continuity / Disaster Recovery Plan but addresses these issues in this document.

Responsibility

Queen's Park Community Council is committed to identifying and managing risks. The Council will carry out any appropriate action necessary to reduce or eliminate risks.

The Chief Officer and Forward Planning Group will review risks on a regular basis, including any newly identified risks, and report findings to the Council. The review will include identification of any unacceptable levels of risk.

Councillors are ultimately responsible and should therefore:

- a) take steps to identify key risks facing the Council;
- b) evaluate the potential consequences to the Council if an event identified as a risk takes place;
- c) decide upon appropriate measures to avoid, reduce or control the risk or its consequences.

1 Management				
Subject	Risk(s) Identified	High/ Medium/ Low	Management/Control of Risk	Review/ Assess/ Revise
1.1 Business continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	L/M	The Council uses a hosted service and all computer files are backed up on an ongoing basis onto Citrix. List of passwords and access procedures stored securely, the process for recovery being known to the officers, Chair and Vice-Chair. In the event of the CO being indisposed the Chair can contact SSALC and NALC for advice and support. Loss of Key Staff insurance and Business Continuity insurance is in place.	Review annually Assess ongoing to improve procedures. Dependent on other procedures being followed
1.2 Meeting location	Adequacy Health and Safety	L	Meetings are held in Beethoven Centre which has available wheelchair access. If required meetings can be re-located to a larger room. Health & Safety is considered to be adequate.	Review bi-annually
1.3 Council records - paper	Loss through theft, fire, flood or other damage	L	Important documents are scanned and held electronically	Likelihood is low Review bi-annually
1.4 Council records – electronic	Loss through damage, fire, flood, corruption of data	L	Remote secure back up through Microshade/Vision ICT.	Review annually
1.5 Staff	Loss of key staff Fraud Actions carried out Emergency response	H L L L	Systems are in place to provide cover for staff absence using our network to provide cover so that legal requirements and basic services can be met. Fidelity guarantee in place via insurance. Councillors carry out regular review of bank reconciliation. Regular reporting of actions completed and outstanding via meetings with Chair and reports to Council. Officers' 'next of kin' contact details held by Chair, Vice-Chair, and Beethoven Centre reception.	Maintain annually Regular review Procedures regularly review with auditor. Finance report and Officers' report are standing agenda items. Annual appraisal process in place.
1.6 Volunteers	Safeguarding	M	A Safeguarding Policy is being put in place and an individual assessment will be made before volunteers are deployed to any event or activity.	To be reviewed after one year in the light of use.

	Accident	L	A task-specific Risk Assessment will be undertaken before any new activity is undertaken, or reviewed before any repeated activity, to ensure that safe practices are followed.	To be reviewed for each activity.
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2 Finance				
Subject	Risk(s) Identified	High/ Medium/ Low	Management/Control of Risk	Review/ Assess/ Revise
2.1 Precept	Adequacy	L	Sound budgeting to underlie annual precept. Council receives regular budget updates. Precept is agenda item at January meeting. Reviewed by Internal audit.	Existing procedure adequate. Annual review of financial regulations.
2.2 Insurance	Adequacy Cost Compliance Fidelity Guarantee	L	Cost reviewed and cover assessed annually at renewal date and checked for every major event. No additional measures required.	Reviewed annually
2.3 Banking	Inadequate procedures	L	Control identified in a Financial Regulations, process via sign off by councillors, review by internal audit and internal controls.	Review via Financial Regulations annually
2.4 Cash	Loss via theft or dishonesty	L	Limited cash transactions and petty cash system discontinued. Income receipted and banked in accordance with Financial Regulations.	Review via Financial Regulations annually
2.5 Financial controls and records	Inadequate checks	L	Reconciliation to be checked by council and minuted. Councillor authorisation of bank payments after set up by CO, copied to all signatories. Internal and external audit. All receipts and payments presented to council approved and minuted. Any s137 payments recorded.	Review via Financial Regulations and internal controls annually
2.6 Salaries	Incorrect payment or process	L	Payroll specialist at PTD used and figures checked monthly. Payroll records prepared for sign-off by councillors. Reviewed by Internal audit.	Review as part of Financial Regulations.
2.7 VAT	Reclaim not processed	L	The Council is now enrolled in 'Making Tax Digital' whereby returns are submitted automatically by the RBS system. Reviewed by Internal audit.	Review as part of Financial Regulations.
2.8 Annual Return	Not submitted in time	L	Council aware of timing process by 30 th June. Monitored through internal audit who are booked for early June. Annual return completed and signed by the council, submitted to the	Existing procedures adequate

			internal auditor for section completion. Checked and sent on to external auditor.	
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3 Information and Data				
Subject	Risk(s) Identified	High/ Medium/ Low	Management/Control of Risk	Review/ Assess/ Revise
3.1 Freedom of information	Non-compliance with act	L	Documented procedure for dealing with requests approved in May 2016. Occasional requests received and answered promptly.	Review annually. Monitor impact of requests made and if significant and report to Forward Planning Group
3.2 Data protection	Non-compliance with act	L L	Registration made April 2018 No requests to date GDPR documented procedures May 2018	Review annually. Monitor and report impact of requests made if significant

4 Liability				
Subject	Risk(s) Identified	High/ Medium/ Low	Management/Control of Risk	Review/ Assess/ Revise
4.1 Legal powers	Illegal activity or payments. Working Groups taking decisions.	L L	All activities and payments made within the powers of the council, resolved and clearly minuted. Group coordinators clearly briefed., reporting regularly to CO and council.	Ongoing review Ongoing review
4.2 Minutes, agendas and standing documents	Accuracy and legality Non-compliance with statutory requirements	L L	Minutes and agendas are produced in prescribed method; approved and signed off at next meeting; and published according to legal requirements. Business conducted at council is managed by the Chair with advice from Chief Officer. Standing Orders & Financial Regulations based on NALC models.	Review on regular basis Chair's and clerk's training Annual review
4.3 Public liability	Risk to third party property or individuals	M/L	Insurance is in place, risk assessments of individual events to be undertaken, monitored by WCC.	Written risk assessments for major public events.

4.4 Employers' liability	Non-compliance with legal requirements	L	Insurance in place. Ensure adequate training & procedures for councillors and CO.	Employment law training to be considered.
4.5 Legal liability	Legality of activities	L	CO has access to advice via SSALC and SLCC membership.	Maintain membership of SSALC/NALC and SLCC

5 Council Reputation

Subject	Risk(s) Identified	High/ Medium/ Low	Management/Control of Risk	Review/ Assess/ Revise
5.1 Code of conduct	Non-compliance	M	Code adopted 2016. CO to give informal advice, support if necessary from WCC legal team. Consider training for councillors.	Review annually
5.2 Members' interests	Conflict of interest. Failure to register interests.	L L	Agenda item on every meeting. Updated register of interests reviewed as part of audit process. Register updated annually. CO to give informal advice.	Monitored by internal auditor. Review annually
5.3 Elector Challenge	Council tax-payers petitions for the Council to be abolished.	M	Contiguous promotion of the good work undertaken by the Council, and the development of partnerships with other stakeholder organisations working in the area.	Monitored generally and reviewed annually.

6 Assets

Subject	Risk(s) Identified	High/ Medium/ Low	Management/Control of Risk	Review/ Assess/ Revise
6.1 Asset Register	Assets not recorded	L	Council has agreed a <i>de minimus</i> threshold of £1,000 so the only assets is the printer / scanner / copier purchased for £1,500.	Entered first in 2020, to be updated annually.

First draft prepared November 2016
Revised March 2020

Approved: 24 March by Proper Officer, endorsed by Council 22 April 2020

Next Review: March 2021