

RISK MANAGEMENT POLICY / REGISTER

Risk is an uncertain event or condition that, if it occurs, will have an effect on the achievement of the Parish councils objectives . Risk management is the process whereby the Parish Council will methodically address the risks associated with what they do and the services which they provide. The focus of risk management is to identify what can go wrong and take proportionate steps to avoid this or successfully manage the consequences. This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. In conducting this exercise, the following plan was followed:

- Identify the risks.
- Assess the risk
- Address the risk.
- Review and report

Risk Status Indications

The adopted risk management methodology uses an indication against each risk item to confirm its current status.

The coding is defined as follows:-

- L Low** This identified risk is being effectively managed with adequate reviews, processes and/or documentation as appropriate.
- M Medium** This identified risk is being g managed. However there are aspects of risk management, which ought to be improved to achieve a low status. It is recognised that sometimes improvements may be difficult to achieve and remedial work may take time (e.g. a need for Councillor training).
- Or**
- This identified risk is not under adequate management. However, if this risk arises, it will have a minimal impact upon the Council. Whilst attempts can be made over time to improve the management of this risk, there may be occasions where the cost of mitigation is not warranted (e.g. holding spare parts or equipment).
- H High** This identified risk, which has a serious potential impact upon the Council is not under adequate management. This represents a key risk, which will be highlighted to meetings of the Council until such time that it is adequately managed or mitigated. Certain key risks with a low probability may be entirely beyond the management control capability of the Council – such risks may retain a high status upon the agreement of Council

Subject	Risk(s) Identified	H/M/L	Control of Risk	Review/Assess/Revise	Responsible
Business Continuity	Risk of 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 Clerk's home. The Clerk makes regular back-ups of files to Microsoft Cloud back up service. Chairman has passwords for access. Business Continuity Plan available. In the event of the Clerk being indisposed the Chairman to contact LALC for advice.	Existing procedures adequate. Review annually	Clerk /Chair
Precept	Adequacy of precept Requirements not submitted to WLDC Amount not received by WLDC	L L L	The Council reviews the Precept requirement annually at the December meeting, reviews the presented budget update information including actual position and projected position to year end and estimated figures for the next financial year. With this information the Council then agrees the amounts set for the specific budget headings for the following year, the total of which is resolved to be the precept amount to be requested from WLDC. This figure is submitted by the Clerk in writing to WLDC and informs Council and confirms receipt when the monies are received (normally April and October).	Existing procedure adequate.	Clerk/Council
Annual Governance and Accountability Return (AGAR)	Not submitted within time limits	L	AGAR is completed and signed by the Chair and the Internal Auditor. It is then checked and sent on to the External Auditor within time limit. Clerk prepares a timetable for submission to be presented at the April meeting.	Existing procedures adequate.	Clerk/Chair
Financial records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations that set out the requirements	Existing procedure adequate. Review the Financial Regulations annually	Clerk/Council
Bank and banking	Inadequate checks Bank mistakes Loss Charges	L L L	The Council has Financial Regulations that set out the requirements for banking, cheques and reconciliation of accounts. The Clerk reviews the Councils banking arrangements regularly	Existing procedure adequate. Review the Financial Regulations annually and bank signatory list annually especially after an AGM and an election. Monitor the bank statements Monthly.	Clerk
Cash	Loss through theft or dishonesty	L	The Council has Financial Regulations that set out the requirements. Cash received is banked within 5 banking days. The Council's insurance policy has a Fidelity Guarantee.	Existing procedure adequate. Review the Financial Regulations annually. Ensure Fidelity Insurance is adequate.	Clerk/Council

Subject	Risk(s) Identified	H/M/L	Control of Risk	Review/Assess/Revise	Responsible
Reporting and Auditing	Information communication compliance	L M	A budget monitoring statement is produced before each Council meeting with the agenda and discussed and approved at the meeting. A full list of payments made, receipts and payments to be made is provided at the meeting and the financial records including a breakdown of receipts and payments balanced against the bank statement are presented and checked by a Councillor at each meeting. Council should regularly audit internal control systems	Existing communication and reporting procedures adequate. Council annually to appoint 2 Councillors to check internal controls and financial records	Clerk/Council
Direct costs Overhead expenses Debts	Goods not supplied but billed Incorrect invoicing Incorrect payments Unpaid invoices	L L L L L	The Council has Financial Regulations that set out the requirements. Prior to each Council meeting the list of invoices awaiting approval is sent electronically to Councillors, Council then approves the list of requests for payment. . Unpaid invoices to the Council are pursued and where possible payment is obtained in advance.	Existing procedure adequate. Review the Financial Regulations when necessary	Clerk/Council
Best value accountability	Work awarded incorrectly Overspend on services	L M	As per Financial Regulations normal Parish Council practice would be to seek, if possible, more than one quotation for any substantial work required to be undertaken or goods. For major contract services, formal competitive tenders would be sought. If a problem is encountered with a contract the Clerk would investigate the situation, check the quotation/tender, research the problem and report to Council.	Existing procedure adequate. Review Financial Regulations regularly.	Clerk/Council
Salaries and associated costs	Salary paid incorrectly Wrong hours paid Wrong rate paid Wrong deductions of NI or Tax Unpaid Tax & NI contributions to the Inland Revenue	L L L L L L	The Parish Council authorises the appointment of all employees at Council meetings. Salary rates are assessed annually by the Council and applied on 1st April each year. Salary is paid monthly by BACS. The Tax and NI contributions are calculated by approved payroll software.. All Tax and NI payments are submitted to HMRC using the RTI system.	Existing appointment and payment system is adequate.	Clerk/Council

Subject	Risk(s) Identified	H/M/L	Control of Risk	Review/Assess/Revise	Responsible
Clerk/Other workers (voluntary/casual)	Loss of Clerk Fraud	L L	The Parish Council has sufficient reserves to enable training for the CiLCA qualification in the event of the Clerk resigning. The requirements of the Fidelity Guarantee insurance to be adhered to with regards to Fraud. The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role.	Include in financial statement when setting precept. Existing procedure adequate. Purchase reference books where necessary. Membership of the SLCC. Monitor working conditions, safety requirements and insurance regularly.	Clerk/Council
Legal powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved and minuted at Full Parish Council Meetings.	All activities and payments minuted.	Clerk/Council
Council records - paper	Loss through: theft fire damage	L M	The Parish Council records are stored at the home of the Clerk. Records include historical correspondence, minute books and copies, documents for ownership of property, records such as personnel, insurance, salaries etc. Electronic copies of all correspondence is kept.	Damage (apart from fire) and theft is unlikely and so provision adequate. Deeds/leases copied and deposited off- site	Clerk
Council records - electronic	Loss through: Theft, fire, damage Corruption of computer	L M	The Parish Council's electronic records are stored on a computer at the Clerk's home. Files are reconciled on a live basis to a Microsoft Cloud backup service. The Chairman has passwords for access.	Existing procedure adequate.	Clerk
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Employers and Employee liability insurance is a necessity and must be paid for. Ensure compliance measures are in place. Ensure Fidelity checks are in place.	Existing procedure adequate. Review insurance provision annually. Review of compliance.	Clerk
Data protection	Policy Provision	L	The Council is registered with the Information Commissioner's Office and complies with GDPR regulations. Only personal data for lawful purposes is stored.	Ensure annual renewal of registration and data protection policy.	Clerk
Freedom of Information Act	Policy Provision	L	The Council has a model publication scheme for Local Councils in place. The Council is able to request a fee for any information requested to cover the cost of consumables and the clerk's time.	Monitor and report any impacts of requests made under the FOI Act.	Clerk/Council
Meeting location	Adequacy	L	The Parish Council Meetings are held at the village hall.	Existing Health & Safety Policy, Parish	Clerk/Council

Subject	Risk(s) Identified	H/M/L	Control of Risk	Review/Assess/Revise	Responsible
	Health & Safety	M	The premises and the facilities are considered to be adequate for the Clerk, Councillors and Public who attend from Health & Safety and comfort aspects.	Hall Risk Assessment and Fire Safety Assessment are reviewed annually. Weekly risk assessment is undertaken by the Clerk.	
Noticeboards	Risk/damage/injury to third parties Road side safety	L L	Parish Council has one notice board sited in the parish. All locations have approval by relevant parties, insurance cover, inspected regularly by the Clerk - any repairs/maintenance requirements brought to the attention of the Parish Council.	Existing procedure adequate.	Clerk
Minutes, Agendas, Notices, Statutory Documents	Accuracy and legality Business conduct	L L	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. Business conducted at Council meetings should be managed by the Chair.	Existing procedure adequate. Guidance/training to Chair should be given (if required). Members to adhere to Code of Conduct	Clerk/Council
Members interests	Conflict of interest Register of Members interests	M M	Councillors have a duty to declare any interests at the start of the meeting. Register of Members Interest forms to be reviewed annually by Councillors.	Existing procedure adequate. Members to take responsibility to update the Register.	Clerk/Council
Councillor and staff	Bringing the Council into disrepute	M	Councillors understand and receive training on the Code of Conduct. A professional approach is undertaken on all Parish Council matters.	Existing procedure adequate.	Clerk/Council
Risk Assessment & Risk Register	Failure to assess new risks or re-assess risk register	M	The Risk Register will be a minuted annually and any new procedure / activity will go through the risk assessment process and then added to the risk register	Existing procedure adequate.	Clerk/Council
Compliance with legislation, Standing Orders, Financial Regulations	Lack of knowledge of rules and regulations	L	Councillors have access to Standing Orders and Financial Regulations and a copy of The Good Councillors Guide and The Good Councillors Guide on Finance & Transparency	Standing Orders and Financial Regulations are reviewed annually	Clerk/Council

Subject	Risk(s) Identified	H/M/L	Control of Risk	Review/Assess/Revise	Responsible
VAT	Failure to claim correct amount of VAT	L	VAT analysis is carried out by the Clerk on all purchases and contracts, a six monthly claim is made by the Clerk to HMRC for VAT recovery. The Clerk will also present a quarterly VAT report to the Council	Existing procedure adequate.	Clerk
Play Areas Parks	Damage Health & Safety Clean, Tidy & Respectful	L	Clerk undertakes health & safety walk through monthly. Monthly checks on play equipment, gates and fencing Annual inspections are performed by an approved inspection company.	Existing procedure adequate.	Clerk
Burial Records	Loss of records Incorrect records	L	Records kept in fire proof bag Recent records kept electronically. Records updated within 24 hours of an interment	Existing procedure adequate.	Clerk
Burials Memorials	Incorrect grave	L	All interments must give 7 days notice Clerk checks plans against computer records upon receipt of interment request. Clerk re-checks plan 48 hrs prior to interment to mark grave. Grave marked with spray paint including the plot number. Photo of marked grave sent to funeral director Clerk endeavours to make himself available on day of interment and checks grave on the morning. Clerk checks grave after interment.	Existing procedure adequate.	Clerk
Cemetery	Damage Health & Safety Clean, Tidy & Respectful	L	Clerk undertakes health & safety walk through monthly. Clerk checks all graves for damage and kept in accordance with cemetery rules.	Existing procedure adequate.	Clerk

Relevant Documentation

- Standing Orders
- Financial Regulations
- Code of Conduct
- Equality Act 2010
- Employments Rights Act 1996
- Data Protection Act 2018
- Local Government Act 1972
- Local Government Act 2000
- Audit Commission Act 1998
- Local Government & Rating Act 1997
- Local Government Act 2003
- Local Audit and Accountability Act 2014
- Localism Act 2011

BUSINESS CONTINUITY PLAN

It's vital important that in the sudden incapacity of the Clerk that business can continue without hinderance. In addition, it's important that any new Clerk should be able to step into the role and take over pretty much instantly.

The Council Handbook should also be referred to.

This document should be reviewed on a regular basis and forms part of the Risk Management / Register.

Administration

Paper files are kept for the following:-

- Minutes
- Sales & purchase invoices
- Deeds / Assets
- Annual audit paperwork
- Register of Interests
- Acceptance of Office Declarations
- Dispensations

In addition, the above paper files and all other documentation is stored electronically in a real time triple backup system:-

- Clerks Laptop Computer (real time)
- Microsoft Onedrive cloud system (real time)
- Clerks backup laptop computer (real time)

In the event of the Clerks immediate inability to work:-

- Laptop files can be transferred from the Clerks own laptop to an alternative one.
- Any Councillor can access the cloud directory on OneDrive using the log in provided to the Chairman.

Agenda, minutes and tracking information are administered using a computerised system. This system is available on the Councils laptop computer and a user manual can be created and stored in the Councils folder on Onedrive/Procedural/Councilmate Handbook. Agenda, minutes and tracking systems can quickly be converted back to a manual system.

Accounts

The Council's accounts are administered using a computerised system called CouncilMate written by the Clerk. This system can be accessed via the cloud system or the Council's laptop or dongle. A user guide is available.

The data can easily be exported into a spreadsheet so anybody could access on a spreadsheet if preferred.

In the event of the Clerk's immediate inability to work:-

- CouncilMate can be accessed from the cloud or laptop computer.
- The spreadsheet can be accessed on the cloud system or laptop computer.

Banking

There are presently five signatories on the account:-

- Adrian Robinson
- Mary Williams
- Phil Jackson
- Carl Thomas

At present the following have access to online banking:-

- Mary Williams
- Carl Thomas

In the event of the Clerk's immediate inability to work:-

- Either could access online banking.

Website Administration

The clerk has access to the website administration console.

In the event of the Clerk's immediate inability to work:-

- Anybody can access the administration console using the username/password provided to the Chairman.
- Alternatively contact Lincolnshire County Council for advice. Alison Hickie, Information Officer T: 01522 553406 alison.hickie@lincolnshire.gov.uk

Email

The Council's email is clerk.northkelseyparish@gmail.com.

In the event of the Clerk's immediate inability to work:-

- Anybody can access the email system by using the log in and password provided to the Chairman.

Notice Boards

Cllr Adrian Jackson has the notice board key.

Monthly Safety Checks

Visual and tests are completed monthly as follows:-

Notice Boards Secure and no damage

Play Areas Risk assessments undertaken (within Risk Assessment folder)

Cemetery Risk assessments undertaken (within Risk Assessment folder)

Cemetery

All cemetery records are stored by the Clerk at his home.

A computerised system is operated together with a manual backup.

There is also a Cemetery Procedure Manual within the Councillors Handbook.