Belton Parish Council

Risk Management

| ĺ | Item | Hazard | Probability | Outcome | Management | By Whom | Frequency |
|---|------|--------|-------------|---------|------------|---------|-----------|
| | | H/M/L | H/M/L | | | | 1 |

Management

| Councillors | Losing Members or having 8 vacancies at any one time | L | Н | The Legal process is followed when there is a vacancy. If the Council is inquorate N Lincs Council will provide a process to follow to appoint members to ensure that the council can function. | Clerk | As required |
|------------------------|--|---|---|---|----------------|-------------|
| Business Continuity | The Council not being able to continue due to unexpected or tragic circumstances | L | H | Councillors – see above If Clerk incapacitated all documents and electronic equipment held at home address. Passwords are on a spreadsheet and all documents are backed up to a memory stick held securely. | Clerk/Chairman | As required |
| Litigation | Risk of action being taken against the Council | L | Н | Public Liability insurance covers general personal injury claims. Sufficient reserves to be considered by Councillors. | Clerk/Council | As required |
| Employees | Loss of Key Personnel/Actions by Staff | L | M | The Clerk's contract allows for 1 month's notice. The Clerk will be provided with relevant training, reference books and legal advice as required to undertake the role. | Council/Clerk | As required |

Financial

| Budget | Not Set | L | Н | Automatic Agenda Item in November with the potential to have this in December and January if required. | Clerk Internal Audit | Annual |
|---------|---------------|---|---|--|---------------------------------|--------|
| Precept | Not requested | L | Н | Automatically agenda item in January. Sufficient reserves to cover this eventuality | Clerk/Council Internal Audit | Annual |

| Precept | Not received | L | Н | Clerk to contact N Lincs Council. Sufficient reserves to cover until received | Clerk/Council | Annual |
|-------------------|----------------------------------|---|---|--|--|-----------------------------|
| VAT | Not reclaimed | L | L | System in place to claim at least 3 times per year. | Clerk | 3 times per year |
| Interest | Competitive rate | Н | L | Review but with the base rate low the time and effort to changing accounts will not be financially productive | Clerk/Council | As required |
| Other Income | Not received | L | L | Land rent invoices sent out at the start of the financial year. Bank accounts monitored by Clerk and rents followed up if necessary | Clerk | As required |
| Payroll | PAYE/NI | L | Н | Monthly use of Sage One payroll. PAYE submitted each month and submissions to HMRC each month. | Clerk | Monthly |
| Payments | Not made | L | Н | All payments authorised by council and minuted. | Council | Monthly |
| Payments | Not authorised | L | Н | All payments authorised by council, 2 signatories required. Bank reconciliation, invoices and bank statement sample checked 3 times per year and signed. | Councillor who is not a signatory | 3 times per year |
| Payments | Invoice and payment do not match | L | L | Unlikely. Clerk checks payments, Chair signs invoices and checks against payments, 2 signatories check payments | Clerk, Chq signatories and Chair Internal Audit | Monthly and Annual Audit |
| Payments | Not paid | L | М | Unlikely. Clerk monitors funds available | Clerk | Monthly |
| Payments | Not received | L | М | Bank Statements checked and cancel cheque if necessary | Clerk | As required |
| Cheque Book | Loss/theft | L | L | Cheque book kept securely. 2 signatories required | Clerk | On going |
| Paying in Book | Loss/theft | L | L | Stored securely | Clerk | On going |
| Security of Funds | Theft/Fraud | L | Н | No petty cash held. Reconciliation checked along with invoices and bank statements. Bank statements signed by Chair monthly. 2 signatories required. | Clerk/Council | Monthly/3 times per year |
| Internal Audit | Not carried out | L | M | Written report from Internal Auditor a standard item on May or June agenda. | Clerk | Annually |
| External Audit | Not carried out | L | M | External auditor contacts Clerk then Chair. | Ext Auditor/Clerk/Chair | Annually |

| Contracts | Poorly specified | M | M | Eg Contract to specify exactly when and where to cut grass. All contractor orders to be made in writing. | Clerk/Council | As required |
|-------------------------|--------------------------------------|---|---|---|--------------------------------------|------------------|
| Contracts | Not adequately carried out | М | М | Work to be inspected. | Clerk/Council | As required |
| Contracts | Not competitively tendered | M | М | Council to consider quotes/tenders in line with Standing Orders and Financial Regulations | Clerk/Council | As required |
| Banking Arrangements | Not able to issue cheques | L | Н | Annual review of banking arrangements | Clerk/Council | As required |
| Reserves General | Adequate | М | Н | Budget including reserves monitored. 3 month's running costs kept in reserve | Clerk/Council | 3 times per year |
| Insurance Provider | No insurance held | L | Н | Annual review of insurance at renewal to ensure sufficient. Reminder automatically sent by current provider. | Clerk/Council | Annually |
| Assets | Not Aware of Assets | L | L | Annual review of assets undertaken including assets checked to ensure they remain in good condition and list kept tup to date. | Clerk/Council | Annually |
| Assets | Theft or Loss | L | L | Office equipment at Clerk's home and kept securely. Copies of deeds with solicitor and Clerk. | Solicitor/Clerk | On going |
| Assets | Poor performance of assets | L | М | All assets owned by the Parish Council are regularly reviewed and maintained. | Clerk/Council | As required |
| | Risk to 3 rd parties | L | M | Insurance cover and land regularly inspected. | Clerk/Council | As required |
| Salary Review | Underpaid Clerk | М | M | Clerk ensures nationally agreed pay awards are shared with full council. Annual Appraisal review conducted by the Clerk for staff or a member of the Personnel Committee for the Clerk and salary review conducted as part of the process. | Clerk/Personnel Committee/Council | Annually |
| Staff Hours | Insufficient hours for staff members | L | Н | Annual appraisal review conducted and hours reviewed. | Clerk/Personnel Committee | Annually |

Record Keeping

| Documents | Loss/Theft | L | M | Storage at Clerk's home | Clerk | On going |
|--------------------------|------------------------------|---|---|---|---------------|----------|
| Computer Records | Loss | M | М | One Drive back up storage and memory stick. Documentation available on the council's website. | Clerk | On going |
| Asset Register | Lack of awareness | L | М | Asset list to be checked and updated annually and assets checked and updated on insurance policy. | Clerk/Council | On going |
| Financial Regulations | Working outside of agreement | L | Н | Clerk to ensure the council is working to the current version. Reviewed annually in May as part of annual agenda. | Clerk/Council | Annually |
| Standing Orders | Working outside of agreement | L | Н | Clerk to ensure the council is working to the current version. Reviewed annually in May as part of annual agenda. | Clerk/Council | Annually |
| Memorial Safety Tests | Injury | L | М | Memorials to be checked every 5 years and report actioned. | Clerk/Council | On going |

Employees and Contractors

| Contractor's Liability Insurance | Uninsured | L | Н | Council to keep a copy of contractor's liability insurance. | Clerk | As required |
|---------------------------------------|-----------------------------------|---|---|---|-------------------|-------------|
| Written Arrangements with Contractors | Contract Fails | L | Н | All contracts set out work required. | Clerk | As required |
| Safety of Staff | Attack on Clerk | L | Н | Clerk not to meet members of the public alone in remote places or at home. | Clerk | On going |
| Councillor Behaviour | Affect on members of staff health | L | Н | Dignity at Work policy adopted. Civility and Respect Pledged Signed. Code of Conduct. | Clerk/Councillors | Annually |

Members Responsibilities

| Code of Conduct | Working outside | L | M | Clerk ensures that new Councillors are | Clerk/Councillors | On going |
|-----------------|-----------------|---|---|--|-------------------|----------|
| | of guidelines | | | given a copy of the Code of Conduct. | | |
| | | | | Ensure the latest version of the Code of | | |
| | | | | Conduct is adopted by council. Any | | |
| | | | | breaches of the Code of Conduct will be | | |

| | | | | reported to N Lincs Council's Monitoring Officer. | | |
|----------------------------------|---------------------------------------|---|---|---|-------------|----------|
| Register of Interests | Perceived/actual conflict of interest | L | Н | Councillors to advise Clerk of any changes to circumstances immediately and complete a change of interest's form. | Councillors | On going |
| | | | | Annual review undertaken at annual meeting in May. | Clerk | Annually |
| Register of Gifts/Hospitality | Perceived/actual conflict of interest | L | M | Councillors to advise Clerk of any gifts or hospitality received to enter into the Gifts and Hospitality record. | Councillors | On going |
| Declaration of Interest | Received/actual conflict of interest | L | M | Councillors to ensure they advise of any declaration of interest and what type so it can be minuted. Councillors to fill in the attendance record including declaration of interests. | Councillors | On going |