

Belton Parish Council

Risk Management

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

Management

Councillors	Losing Members or having 8 vacancies at any one time	L	H	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	H	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	H	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	H	Automatically agenda item in January. Sufficient reserves to cover this eventuality	Clerk/Council Internal Audit	Annual

Precept	Not received	L	H	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	H	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	H	Monthly use of Sage One payroll. PAYE submitted each month and submissions to HMRC each month.	Clerk	Monthly
Payments	Not made	L	H	All payments authorised by council and minuted.	Council	Monthly
Payments	Not authorised	L	H	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	M	Unlikely. Clerk monitors funds available	Clerk	Monthly
Payments	Not received	L	M	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	H	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	M	M	Work to be inspected.	Clerk/Council	As required
Contracts	Not competitively tendered	M	M	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	H	Annual review of banking arrangements	Clerk/Council	As required
Reserves General	Adequate	M	H	Budget including reserves monitored. 3 month's running costs kept in reserve	Clerk/Council	3 times per year
Insurance Provider	No insurance held	L	H	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 up 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	M	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	M	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	H	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	M	One Drive back up storage and memory stick. Documentation available on the council's website.	Clerk	On going
Asset Register	Lack of awareness	L	M	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	H	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	H	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	M	Memorials to be checked every 5 years and report actioned.	Clerk/Council	On going

Employees and Contractors

Contractor's Liability Insurance	Uninsured	L	H	Council to keep a copy of contractor's liability insurance.	Clerk	As required
Written Arrangements with Contractors	Contract Fails	L	H	All contracts set out work required.	Clerk	As required
Safety of Staff	Attack on Clerk	L	H	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	H	Dignity at Work policy adopted. Civility and Respect Pledged Signed. Code of Conduct.	Clerk/Councillors	Annually

Members Responsibilities

Code of Conduct	Working outside of guidelines	L	M	Clerk ensures that new Councillors are 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	Clerk/Councillors	On going
-----------------	-------------------------------	---	---	---	-------------------	----------

				reported to N Lincs Council's Monitoring Officer.		
Register of Interests	Perceived/actual conflict of interest	L	H	Councillors to advise Clerk of any changes to circumstances immediately and complete a change of interest's form. Annual review undertaken at annual meeting in May.	Councillors Clerk	On going 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