

Stanion Parish Council

Risk Register

RISK MANAGEMENT

Risk management is the process whereby local councils methodically address the risks associated with what they do and the services that they provide. The Parish Council should identify potential risks, then take practical steps to reduce or eliminate the risks as far as is reasonably practicable.

Subject	Risk	H/M/L	Control Measures	Action
FINANCE				
Precept	<ol style="list-style-type: none"> Not adequate Request not submitted on time 	L	<ol style="list-style-type: none"> Estimates produced for discussion at Sept meeting of the Council, based on previous year costs plus a small contingency percentage increase to cover a rise in costed services Precept submission date verified, entered in diary and noted in Minutes. Request submitted following resolution at the November meeting of the Council 	Annual post planning review to be undertaken at the January meeting of the full Council and noted in the Minutes
Budget	Estimates presented late	L	Reminder of submission date at November meeting. Extraordinary meeting called if Budget & Precept request is not available for review at November meeting	Agenda item on November meeting of the full Council
Financial Records/ Financial Reporting	Incomplete records/non-compliant with Audit requirements. Financial irregularities	L	Financial specialist (RFO) engaged. Actual v Predicted Spend report received and scrutinised at each meeting of the full Council. Bank balance(s) and breakdown of receipts and payments produced and approved at each meeting of the full Council. Expenditure quotes legal powers/nominal codes. Financial Regulations in place set out procedures to be followed. Periodic inspections of expenditure/income to establish audit trail undertaken by an appointed Councillor. Electronic records maintained by the RFO in the 'e' file store, with back-up copies of critical documents filed in hard copy. Accounts audited by an Internal Auditor annually.	Financial Regulations reviewed annually and amended as required to ensure practices remain compliant with changes in legislation

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Signed:

Date:

Annual Return	Inaccurate or not completed	L	Financial specialist (RFO) and Clerk trained in the appropriate process to be undertaken. Meeting held to review submission and approve accounts, sufficiently in advance of submission deadline to enable any required additional work to be undertaken and meet the submission deadline date	Check all dates on receipt of Audit Pack. Build in lag time. RFO/Clerk to note 'critical dates' in the activities calendar
Banking	<ol style="list-style-type: none"> 1. Fraud 2. Incorrect payments/banking errors 3. Cash 	L	<ol style="list-style-type: none"> 1. Two signatories required on cheques. One Member signatory to authorise electronic payments. Electronic payments posted on Unity Bank by the Clerk or RFO. NOTE: Cheque signatories are separate from the person raising the cheque. 2. Bank statements reconciled monthly by RFO. Irregularities or mistakes reported immediately to the Bank by the RFO, with correspondence copied to the Chairman. Error report to full Council covering all instances. Financial Regulations in place and followed to ensure compliance with the legislation 3. No petty cash fund or float is operated by the Council. Minimal cash is received 	Financial Regulations reviewed annually
VAT	Not tracked / not reclaimed	L	Recovery schedule established for quarterly submission. Recovery report provided to the full council each quarter. All purchases assessed by RFO for VAT recovery and those qualifying tracked and reclaimed quarterly or sooner if recovery amount is substantial	
Illegal Expenditure	Procurement without legal power to spend	L	No procurement without first verifying legal power to spend with the Clerk/RFO. Purchase Orders/Official Letters, where required, raised by RFO/Clerk. Legal power referenced against all expenditure and shown in all reports	
Insurance	Inadequate cover	M	Annual review of cover requirements undertaken prior to the policy renewal date. Review of requirement for cover during assessment stage of any new project	Insurance review undertaken annually at minimum
Contracts/ Accountability	<ol style="list-style-type: none"> 1. Work awarded incorrectly 2. Funding not available 3. Incorrect invoicing/goods not received 	L	1. Financial Regulations with regard to Contracts to be followed at all times. Projects pre-planned with a formal Statement of Requirements established as a pre-requisite. Minimum number of quotes obtained. Cost benefit analysis undertaken by the Clerk, to compare all aspects of service for short-listed suppliers,	

	4. Depletion of Reserves		<p>before quotations are presented to the full Council for consideration.</p> <p>2. Funding allocated against nominal codes verified before expenditure is approved. Requirements for virement action discussed first with RFO/Clerk and risks analysed prior to proposing virement and moving funds</p> <p>3. Financial Regulations set out requirement for RFO to check invoiced amounts against order or quote before processing the payment. Clerk to verify that the goods/services have been received in line with that ordered and advise the RFO accordingly</p> <p>4. RFO/Clerk to raise awareness of any issues in the monthly reports and advise on any questions regarding appropriate use of Reserves</p>	
Salary, Pension, & Income Tax	Salary, pension contributions and tax not paid on time or incorrect amounts paid	L	Professional accountancy payroll service engaged (SK Accountancy). Salary, income tax, and pension contributions (<i>if required</i>) reported and agreed at each meeting of the full Council	No current employees
Election Costs	Risk of an election cost	L	Known elections are budgeted for through the Reserves	
Commitments	Commitment to provide financial assistance for the maintenance of the Village Hall (as outlined in the Lease & Trust Deed 1990) not met	L	Provision made in the Budget each year and unspent amounts transferred to the earmarked reserves to fund maintenance and improvement costs	Amount considered as part of the budget development process and PC advised of predicted future requirements and costs by the Chairman of SVHMA
OPERATION AND GOVERNANCE				
Councillors	<ol style="list-style-type: none"> 1. Lack of knowledge 2. Conflict of Interest 3. Failure to attract candidates for Councillor vacancies 	<p>M</p> <p>L</p> <p>H</p>	<p>1. Experienced Councillors available to provide guidance. Opportunities for in-house training/webinars/on-line training exist. Induction offered by Chairman. Electronic and hard copy information/training publications available. Clerk/RFO may provide specialist topic advice. Any mandatory training to be offered in first six months. Any necessary or approved specialist training provided ASAP</p> <p>2. Declaring of personal/prejudicial and pecuniary interests at each meeting is a standing item on the Agenda. Register of Members Interests maintained on file and held by the Principal Authority and published</p>	

			on both websites. Reminder to review and update the form is a standing item on the May Agenda. 3. Vacancies published on PC website and notice board and in each edition of the Parish Council News. Word of mouth advertising by Councillors	
Members Interests	Not declared or updated	L	Register of Members Interest form completed at time of co-option as a Councillor. Annual request for Councillors to review their forms is a standing item on the May meeting Agenda	Standing item for inclusion on the May meeting Agenda
Meetings	<ol style="list-style-type: none"> 1. Failure to achieve a quorum 2. Conducting business 3. Council decisions not implemented 4. Lack of public participation 	<p>H</p> <p>L</p> <p>L</p> <p>L</p>	<p>1. Councillors requested to attend all meetings of the full Council. Agenda is issued promptly. If absence notice is provided in advance of the meeting date, support may be forthcoming from the Principal Authority. If without notice on the night, meeting will be rescheduled.</p> <p>2. Business conducted in accordance with Standing Orders and Financial Regulations. Members to adhere to the Code of Conduct</p> <p>3. Minutes reviewed by Clerk for list of actions and Actions Report as a standing item on the Agenda. Financial report provided by the RFO for each meeting. Clerk, Councillors' and Chairman's report delivered at each meeting</p> <p>4. All meeting dates for the year are published and meetings advertised well in advance of the meeting date. Agenda and Minutes published on the website and the notice board in accordance with statutory requirements. Public participation is a standing item on the Agenda</p>	<p><i>(Currently 2 Councillors from CBC provide support at meetings until Councillor numbers increase.)</i></p> <p><i>(Historically, there has been low attendance at meetings by members of the public, unless there is a contentious planning application, which generates general concern across the Parish)</i></p>
Powers/ Grants	Illegal activity	L	Clerk/RFO advise on legal power for items on the Agenda. All actions resolved and minuted. Grants awarded under s137 monitored by the Clerk/RFO and reported separately in the meeting reports	List of Duties and Responsibilities to be held on display in the Parish Council office
Statutory Documents	Accuracy and legality/publishing of information	L	Clerk ensures that Minutes and Agenda are produced in the prescribed manner and conform to the legal requirements. Draft Minutes are approved and signed at the next meeting of the full Council. Minutes and Agenda are available on the website.	Review Publication Scheme annually

			All statutory information is published on the Parish Council website. If the website fails, statutory information will be published temporarily on the Principal Authority's website. Statutory information is posted on Village notice board and meets the dates for displaying such. Information is available via the Publication Scheme and advertised on the website	
PHYSICAL ASSETS				
Fixed Assets	Damage to fixed assets	M	Fixed Asset Register established and reviewed annually. Annual programme of inspection of fixed assets undertaken by the Clerk in March. Maintenance, repair, write-off or replacement requirements are identified and brought to the attention of the Council by the Clerk. Urgent repairs are discussed and agreed with the Chairman in accordance with operating policies. Non-urgent repairs discussed and agreed upon at the next scheduled meeting of the full Council. No writ-offs without full Council approval and details recorded in the Minutes	Fixed Assets inspected each March
Personnel	Injury to Members, staff, volunteers and others	L	Public liability insurance in place. Staff and volunteers briefed on H&S, and in particular, safe working practices	
Records	Loss of hard copy records	L	Hard copy files are stored in the locked secure filing cabinet in the Parish Council office in the Village Hall. Access is restricted to the Clerk and Chairman. Facility is alarmed, and office door locked when Village Hall is open to the public. Financial records are held in secure storage by the RFO and day-to-day working documents are retained in a fireproof safe managed by the Clerk	
Information	Electronic information not safe or adequately security marked	L	All electronic transmissions are stored on the Clerk's computer and routinely backed up at regular intervals. Financial 'e' files are backed-up routinely by the RFO. All documents, both soft and hard copy, are considered for the assignment of a protective marking prior to distribution and are only distributed to those who have a "need to know and need to hold"	
FOIA & DPA, & GDPR	Practices not compliant with the Acts and Regulations	L	Policies outlining required practices are in place. New Publication Scheme is in place. Specialist training is available to those with FOIA/DPA/GDPR	Review all policies annually

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			responsibilities/monitoring. DPO on board with further support and guidance available from LCPAS	
Website	Not accessible or unavailable	L	The new Parish Council website has been designed to meet latest accessibility guidelines. If service fails, as a temporary measure, all statutory information will be published on the Principal Authority's website. All statutory information is posted on Village notice board	
Meeting Room/ Office	Adequacy	L	Meetings are held in the Village Hall main meeting room. This room is deemed to be adequate for numbers attending and safe for public access and comfort. If required, meetings could be held in the main hall to house a much larger gathering. Parish Council office in Village Hall is adequate for small numbers at any one time. Room is secure and conforms to H&S requirements	
STAFF AND VOLUNTEERS				
Staff	Clerk/RFO untrained for role/ standard of output fails to meet minimum for the role	L	Full training provided if required. Achievement of CiLCA for Clerk is required/encouraged, and funding will be considered. Post Profiles covering both roles in place and Contract of Employment issued to employed staff. Probationary period established, with performance appraisal at end of that time and annually thereafter. Employee policies in place with copies issued to staff. Councillors supported in staff management and reporting training if required	Annual Performance Review to be undertaken No staff currently employed
Training Costs	High cost training courses funded without realising any return on investment	L	Training Costs Agreement to be signed by employee prior to committing expenditure on high cost training courses. Term included in Contract of Employment	Training Costs Agreement form completed as required
Pension Scheme	Parish Council joins a high cost Scheme	L	Professional IFA pensions specialist guidance sought before any commitment is made or contract entered into. Workplace Pension Policy in place	No staff currently employed
Business Continuity	Staff resign without notice/short notice	L	Vacancy advertisement issued as quickly and promoted as widely as possible. Councillor or volunteer undertake the role of Clerk or RFO unpaid until a suitable replacement can be found. RFO locum may be engaged from LGRC until a suitable replacement can be found. If the above measures fail, the Principal Authority will be asked to assist in both roles for the short-term	No staff currently employed

Health & Safety & Equal Opportunities	Dangerous/careless work practices/ Lack of knowledge regarding diversity and discrimination	L	All Councillors, staff and volunteers to be made aware of H&S and Equal Opportunities requirements and training opportunities on initial engagement and offered refresher training annually thereafter	
Volunteers	Unsuitable candidates/Untrained in safe working practices	L	Formal application process in place. Applications considered and voted on by the full Council. Volunteers included in the Parish Council's insurance cover. Induction training provided. H&S and Equal Ops training provided and refreshed annually. Clerk monitors project issues and reports back to the full Council	Any concerns raised are investigated and monitored. Annual refresher training offered/provided depending on issues raised