

Risk Management Scheme for Notton Parish Council – September 2022, reviewed October 2024

Subject	Risk identified	H/M/L	Management/Control of risk [Title]	Review/assess/revise	Notes
			Member responsibilities		
Member Interests	Conflict of interest Register of members interests	M L	Councillors have a duty to declare any interest at the start of the meeting Register of Members Interests to be kept up to date by members	Monthly or as required Annually	
			Management		
Business continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	M	All files and recent records are kept at the Clerk's home. Most information is shared by e-mail with Councillors. All files with GDPR implications are held on the Clerks Computer at home. A paper copy is also held in files at the Clerks home.	Very few documents and files have not been backed up or shared with Councillors so a near complete record can be produced using these sources. The effect on Council Business would be marginal	
Meeting location	Adequacy-Health and Safety	L	Meetings are held in the Village Hall, the premises and facilities are adequate for the Clerk, Councillors and any public. who attend from a health and safety and comfort aspect. The Premises are held on lease by a Charitable organisation. They hold liability for the premises and risks related thereto, so we are partners in risk management.	Existing procedure adequate reviewed annually as part of the Councils Scheme of policy and procedure review.	
Council records - paper	Loss through theft, fire, damage	L	Held at the clerk's office in locked filing cabinet. Legal papers held in a lockable filing cabinet in Village Hall.	Copies of legal documents need to be made and held at a second location or preferably electronically.	

Council records – paper (Archive)	Loss through theft, fire, damage	L	Extensive achieve (Dating from 1895 to 2015) now held by West Yorkshire Archives for safe keeping and public access.	The Council has made provision for the oldest records, the more recent records have been assessed and adequacy filed or disposed of.	Ongoing work
Council records - electronic	Loss through damage, fire, corruption of computer	M	The Parish Council's electronic records are stored across two of the Clerk's desktop computers which are protected from viruses, malware ,etc by firewall software. Back-ups of the files are taken regularly.	Very few Council records exist in one format or in one location.	
			Finance		
Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept. The Parish Council receives budget update information at every meeting and detailed budget in January	Existing procedure adequate	
Banking	Inadequate checks	L	<p>The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts.</p> <p>Cheques are rarely used and never pre-signed</p> <p>Payee details and amounts on the cheques are always written out prior to cheques being signed.</p> <p>The cheque counterfoil is always completed and countersigned.</p> <p>All payments are supported by an invoice or a receipt.</p> <p>Bank transactions are accurately recorded in the Cash Book (Accounts) which is reconciled against</p>	<p>Existing procedures adequate</p> <p>Review Financial Regulations annually</p>	

			the bank statement monthly (with the exception of August). The chequebook is held at all times by the RFO (Clerk)		
Cash	Loss through theft or dishonesty	L	The Council has no petty cash or float. Any cash transactions are made by the clerk or the Chair, are fully receipted and then reimbursed monthly by Bank transfer.	Existing procedures adequate	
Financial controls and records	Inadequate checks	L	Quarterly reconciliations prepared by RFO and checked by all members before the appropriate meeting. Two signatories on cheques. Internal audit. Any financial obligation must be resolved and clearly minuted before any commitment. All payments must be resolved and clearly minuted. Any s137 payments must be recorded at time of approval.	Existing procedures adequate	
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement	Existing procedure adequate Review provision and compliance annually	September
Election Costs	Risk of election cost	M	Risk is higher in an election year. There are no measures, which can be adopted to minimise risk of having a contested election. An election reserve has been established to meet the costs of an unexpected bye election	Include in financial statement when setting precept	
VAT	Re-claiming	L	The Council has financial regulations which set out the requirements	Existing procedures adequate	
			Assets		

Village Green	Damage to benches, signs etc	L	An asset register is kept up to date and insurance is held at the appropriate level. Regular checks should be made on all property by members of the Parish Council	Existing procedures adequate Reviewed annually in May	
Village Green	Damage to trees (From Late 2022)	M	Regular checks should be made on all property by members of the Parish Council	Existing procedures adequate Reviewed annually in May	
Village Pond	Danger of open water	M	Regular checks should be made on all property by members of the Parish Council	Existing procedures adequate Reviewed annually in May	
Street Furniture	Damage to benches, signs etc	M	An asset register is kept up to date and insurance is held at the appropriate level. Regular checks should be made on all property by members of the Parish Council	Existing procedures adequate Reviewed annually in May	
Play Equipment	Damage to equipment and related area	M	Annual safety checks, an asset register is kept up to date and insurance is held at the appropriate level. Regular checks should be made on all property by members of the Parish Council	Existing procedures adequate Reviewed annually in October	
Allotments	Damage to gates and fences	L	An asset register is kept up to date and insurance is held at the appropriate level. Regular checks should be made on all property by members of the Parish Council	Existing procedures adequate Reviewed annually in May	
			Liabilities		
Legal powers and legal liability	Illegal activity or payments	M	All activity and payments made within the powers of the Parish Council (not ultra vires) are to be resolved and clearly minuted. Clerk to clarify legal position on proposals and to seek advice if necessary	Existing procedures adequate	
		L	Ensure they have clear terms of reference.	Monitor	

	Working Parties taking decisions				
Minutes/ Agendas/ Statutory Documents	Accuracy and legality Non-compliance with statutory requirements	L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed at next meeting. Minutes and agendas are displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair Standing Orders to be reviewed annually	Existing procedures adequate	
	Proper document control	M	The Council has identified a document retention issue. This has now been resolved.	This issue has currently been flagged to the Council. The situation is historic, and a resolve found.	
Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessment of any individual event undertaken	Existing procedures adequate	
			Employees, volunteers and contractors		
Clerk, RFO & Proper Officer	Loss of clerk	M	A contingency fund should be established to enable training for the CiLCA qualification in the event of the clerk resigning The requirements of Fidelity Guarantee insurance must be adhered to Clerk should be provided with relevant training, reference books, access to assistance and legal advice through membership of SLCC/HALC Clerk as RFO to make monthly payments to HMRC as necessary and report at next meeting	Consider when setting next precept	
	Fraud	L			
	Actions undertaken	L		Monitor working conditions	
	Clerk's Salary and PAYE	M		Existing procedures adequate	
Employer Liability	Non-compliance with employment law	L	Undertake adequate training and seek advice from HALC.	Existing procedures adequate	

			Review Clerk's contract annually		
Contractors	Non-compliance with terms of contract	L	Review contracts annually, bi-annually or tri-annually as required.	Existing procedures adequate	
Other Risks such as community events	Required to have a risk assessment of their own	L	Ensure all partners are aware of this requirement by asking for and checking risk assessments	Existing procedures adequate	

Reviewed by full Council October 2022- Next review October 2024

Last update Andrew Woodhead 27th Sept 2024