

## SOUTH KELSEY AND MOORTOWN PARISH COUNCIL

### RISK MANAGEMENT SCHEME/RISK SCHEDULE

Date policy approved and adopted: 4 March 2024

Date of review: 9 May 2025 (AMPC)

Date of next review: May 2026 (AMPC)

This risk management scheme offers a systematic general examination of working conditions, workplace activities and environmental factors that will enable South Kelsey and Moortown Parish Council to identify all potential risks it may face and offers all practical steps to reduce or eliminate the risks, insofar as is practically possible, whilst accepting that some risks can never be fully eliminated.

This Risk Management Scheme will be re-adopted annually and is subject to change.

FINANCE				
Subject	Risk(s) identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Precept	Adequacy of precept for the Council to carry out its Statutory duties	L	Careful financial planning and forward planning steer the precept-setting process.  Councillors receive quarterly budget updates to check income and expenditure.  Draft precept considered in December and confirmed at January meeting when Council receives from the Clerk current budget position, projected forecast to year end and indicative costings for next year. The resolved precept amount to be requested from WLDC.	Existing procedure adequate.

Insurance	Adequacy	L	Updated asset register is kept and available on Parish Council website.	Existing procedure adequate.
	Cost Compliance	L L	An annual review is undertaken of all insurance arrangements.	Insurance reviewed annually.
	Fidelity Guarantee	M	Employers and Employee liabilities a necessity and within policies. Ensure compliance measures are in place. Fidelity checks in place.	
Best Value Accountability	Work awarded incorrectly	L	Recorded at a full council meeting who has been awarded work.	Existing procedures adequate
	Overspending on services	M	For major work, competitive tenders are produced by the Clerk.	

Bank and banking	Inadequate checks	L	The Council has Financial Regulations which set out banking requirements	Existing procedure adequate
	Banks mistakes	L	Monthly reconciliation completed by clerk/RFO.	
	Banking Loss of signatories	L	Four signatories are currently held to ensure that 2 signatories are always available	
Financial Records	Inadequate records	L	The Council has Financial Regulations which sets out the requirements.	Existing procedure adequate
	Financial irregularities	L	Councillors check all payments and budget spending and resolve to adopt the monthly financial statement	Regular review of Financial Regulations

Reporting and auditing	Information communication	L	Financial information is a regular agenda item (Finance Report as well as quarterly budget monitoring sheets) and discussed/reviewed and approved at each meeting.	Existing procedures adequate.
Grants	Receipt of grant	L	Clerk informs the Council when the monies are received.	Existing procedures adequate
	Power to pay Authorisation of Council to pay	L	Council has adopted Grants and Donations policy, complimented by an application process. All expenditure will go through the required Council process of approval, minuted and listed accordingly if a payment is made using S137 powers of expenditure.	
Charges-rents receivable	Payment of rents	L	The Parish Council collects allotment rents in April each year. Allotment holders have signed agreements in place.	Existing procedure adequate
Salaries and assoc. costs	Salary paid incorrectly.	L	Clerks' hours and expenses check monthly by councillors before payment.	Existing procedure adequate.
	Unpaid Tax to Inland Revenue.	L	Threshold currently not met.	
VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out the requirements.	Existing procedures adequate
Annual Return	Submit within time limits	L	Employers Annual Return is completed and submitted online within the prescribed timeframe by the Clerk. Annual Return completed and signed by the Council, submitted to internal auditor for completion. Council currently exempt from external audit.	Existing procedures adequate.

Best value accountability	Work awarded Incorrectly.	L	A procurement policy has been adopted to specify procurement process. Normal Parish Council practice would be to seek more than one quotation for substantial work to be undertaken.	Existing procedure adequate.
	Overspend on services.	M	Clerk would investigate any problems with contracts and report back to the Council.	Include when reviewing financial regulations.

ASSETS				
Subject	Risk(s) identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Park Play equipment Bench Bin Gates	Public Injury Damage Loss	M M	Park/furniture and Play equipment inspected monthly by parish councillor. Yearly independent inspection of play equipment Trees independently inspected once every 3 years. Covered by public liability insurance.	Current procedure in place adequate. Appropriate signage to be put in place when park refurbished.
Parish council noticeboard	Injury Damage Loss	L	Located to the side of public paths Public Liability Insurance in place	Existing procedures adequate
Office equipment	Staff injury Damage Loss	L	Fixed Asset Register updated as required Adequate security at Clerks home Employers' Liability Insurance in place	Existing procedures adequate
Moortown village Sign	Injury Damage Loss	L	Public liability insurance in place	Existing procedures adequate
Bus shelter	Injury Damage Loss	L	Public liability insurance in place	Existing procedures adequate
Benches	Injury Damage	M	Public liability insurance in place	Existing procedures adequate

	Loss			
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MANAGEMENT AND LIABILITY				
Subject	Risk(s) Identified	H/M/L	Management / Control	Review / Assess / Revise
Meeting location	Adequacy  Health & Safety	L  L	The Parish Council meeting is held in a venue considered to have appropriate facilities for the Clerk, Council members and the public.	Existing procedures adequate
Public Liability	Public Liability Risk to third party, property, or individuals	M	Suitable insurance in place. Risk assessments carried out for all Council activities	Review annually
Employer Liability	Non-compliance with employment law	L	Suitable Insurance in place. Clerk to undertake relevant training to keep knowledge up to date	Review annually
Legal liability	Legality of activities Proper and timely reporting via minutes Proper document control	M	Clerk to clarify legal position on proposals and clarify situation if necessary. Suitable Insurance in place. Retention of Documents Policy in place	Existing procedure adequate

Employees	Fraud by staff	L	Requirements of Fidelity Guarantee insurance adhered to with regards to fraud.	Existing procedures adequate.
	Health and safety	L	All employees to be provided adequate direction and safety equipment needed to undertake their roles.	Monitor H&S requirements and insurance annually.
	Absence of staff & inability to conduct council business	M	Details of passwords left in the possession of Chair. Use of NALC for support and to source Locum Clerk.	
Councillors	Having more than 3 vacancies at any one time and being inquorate	H	When a vacancy arises follow correct legal processes. Ensure appropriate action is taken to try and co-opt members onto the Council.	Annually
Freedom of Information	Policy	L	The Council has a Model Publication scheme in place. To date there has been no recent requests under FOI.	Monitor any requests made under FOI
	Provision	M	The Parish Council is aware that if a substantial request came in it could create many additional hours work. The Parish Council will request a fee to supplement the extra hours.	Existing procedure adequate
Data protection	Policy provision	L	The Parish Council is registered with the Information Commissioner's Office to comply with GDPR.	Ensure annual renewal of registration
Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved at full Council Meetings, including reference to the power used under the Finance section of Agenda and Finance report monthly.	Existing procedures adequate

Minutes/Agendas/ Notices Statutory Documents`	Accuracy and legality	L	Minutes and Agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting.	Existing procedures adequate.
	Business conduct	L	Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair.	Members adhere to Code of Conduct
Members interests	Conflict of interests	L	Declarations of interest by members at Council meetings as a standing order on the agenda.	Existing procedures adequate.
	Register of members interests	L	Register of members interest's forms reviewed regularly. Register of members interest's form available on Parish Council website.	Members take responsibility to update register.
Maintenance	Inferior performance of assets or amenities	L	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for any repair is actioned/authorised in accordance with the correct procedures of the Parish Council. Assets are insured.	Existing procedures adequate  Current playground equipment taken out of service as unsafe. Awaiting outcome of grant application
Election Costs	The need to pay for an election when seats are contested	L	Council has adequate reserves to cover the cost of an election. A budget item will be allocated each election year	Review When Necessary

Keeping Council records - Paper	Loss through theft, fire or damage	L	The Parish Council records are stored at the home of the Clerk. Records include historical correspondences, minutes, insurance, bank records. The documents are stored in a locked office	Damage (apart from fire) and theft is unlikely and so provision is adequate.
Keeping Council records - Electronic	Loss through theft, fire or damage or corruption of computer	L	The Parish Council's electronic records are stored on the Council laptop held with the Clerk at his home, on Cloud  Backups of electronic data are made at regular intervals.	Existing procedures considered adequate  Fire proof bag to be purchased

RISK SCHEDULE				
ITEM	FREQUENCY	LAST REVIEW	NEXT REVIEW	COMMENTS / ACTIONS
Asset Inspection: Park including furniture, gates and play equipment	Monthly by a Councillor.			Records kept securely at Clerks Address          Information left with equipment any issues reported to WLDC with whom contract is held.
Allotment Noticeboards	Yearly (Clerk)			
Benches/ village sign/bus stop/grit bin	Monthly by Councillor. Quarterly (Clerk)			
Parish Owned Trees	Included in park check			
Defibrillators	Monthly by councillors			



Parish Council Insurance including:  Public Liability Employers Liability Fidelity Guarantee Personal Accident Fixed Assets	Annual Annual Annual Annual Annual			
Financial Matters  Banking Arrangements Insurance Providers VAT Returns Budget Agreed Precept Requested Bank Reconciliation Budget Monitoring Salary Review Internal Audit Internal Controls Financial Regulations	Annually Annually Annually Annually Annually Monthly Monthly Annually Annually Annually Annually			

This policy will be reviewed annually.

ADOPTED: 4 March 2024

DATE OF REVIEW: May 2025