

Laceby Parish Council



Laceby Parish Council Risk Management Policy / Register V3 – 1st March 2023

This document has been produced to enable the Parish Council to assess the risks it faces by examining working conditions, workplace activities and environmental factors and to ensure that steps that it has taken to reduce or eliminate risks are adequate and practical.

Financial and Management				
Item	Risk	Risk Rating – H/M/L	Safe working practices & management / control of risk	Review / Assess / Revise
Business Continuity	<ul style="list-style-type: none"> The ability of the council to be able to continue business due to an unexpected or tragic circumstance 	Low	<ul style="list-style-type: none"> Business Continuity Plan in place. All key information held both electronically and in paper. Guide to – prepared by clerk regarding different processes and procedures to enable relief / alternate cover of role. H&S Risk Assessment in place. 	Current processes in place.
Precept	<ul style="list-style-type: none"> Adequacy of Precept amount Requirements of Parish Council to maintain services Expected amount not received by Parish Council. 	Low	<ul style="list-style-type: none"> The Parish Council regularly reviews its budget plan and updates information regarding precept. The Parish Council receive budgetary details from the Clerk/RFO every quarter, and this then forms the actual position v projected position for the end of the year. Data is collated by the Clerk regarding economic effects, the stance of the LA, the value of property to determine expected income. The Parish Council then generate a projection of financial income and expenditure for the next 3 years, and this is presented to the Parish Council for discussion. 	Existing procedures are adequate

			<ul style="list-style-type: none"> • The Precept is discussed as an agenda item in December and January to determine the level to be set for the new year. • The Precept is submitted to the LA (Local Authority) in writing after the budget is approved at the January meeting as required by the LA. • Precept income is paid to the Parish Council on the 1st April and 1st October each year, and this is notified by the Clerk to the Parish Council members. 	
Financial Records	<ul style="list-style-type: none"> • Inadequate records, • Financial irregularities 	Low	<ul style="list-style-type: none"> • Laceby Parish Council follow the requisite Financial Regulations as required. • Financial Regulations are reviewed annually. • All financial records are audited annually by both an internal and external auditor. 	<ul style="list-style-type: none"> • Current procedures are adequate.
Bank and Banking	<ul style="list-style-type: none"> • Inadequate checks • Bank errors • Loss • Charges 	Low	<ul style="list-style-type: none"> • Laceby Parish Council follow the requisite Financial Regulations as required. • Financial Regulations are reviewed annually. • All financial records are audited annually by both an internal and external auditor. • The Parish Council Bank Accounts are checked and reconciled monthly. Any anomalies are dealt with immediately and reported to the Chair. • 3 authorised signatories are required before payments can be made, or spending approved. 	<ul style="list-style-type: none"> • Current procedures are adequate. • Review of authorised signatories following resignation or election of PC members.
Cash	<ul style="list-style-type: none"> • Dishonesty • Theft 	Low	<ul style="list-style-type: none"> • Laceby Parish Council follow the requisite Financial Regulations as required. • Financial Regulations are reviewed annually. • All financial records are audited annually by both an internal and external auditor. 	<ul style="list-style-type: none"> • Current procedures are adequate.

			<ul style="list-style-type: none"> • The Parish Council Bank Accounts are checked and reconciled monthly. Any anomalies are dealt with immediately and reported to the Chair. • 3 authorised signatories are required before payments can be made, or spending approved. • Petty cash is held by the groundskeeper and reconciled monthly. • Payments are requested either via bacs or cheque to limit the risk of cash handling. 	
Financial Reporting and Audit	<ul style="list-style-type: none"> • Incorrect financial reporting • Failure of compliance 	Low	<ul style="list-style-type: none"> • Laceby Parish Council follow the requisite Financial Regulations as required. • Financial Regulations are reviewed annually. • All financial records are audited annually by both an independent internal auditor and external auditor in line with requirements of the AGAR. • The Parish Council Bank Accounts are checked and reconciled monthly. Any anomalies are dealt with immediately and reported to the Chair. • All payments are authorised at Full Council, and approved payments signed by the Chair and 3 Parish Councillors. • The Clerk reports to the Parish Council quarterly regarding reconciliation of accounts and budget. • 3 authorised signatories are required before payments can be made, or spending approved. 	<ul style="list-style-type: none"> • Current procedures are adequate.
Costs, overheads, expenses and debts	<ul style="list-style-type: none"> • Goods invoiced but not received • Incorrect invoicing • Payment incorrect • Loss of equipment / stock • Unpaid invoices & debt 	Low	<ul style="list-style-type: none"> • Laceby Parish Council follow the requisite Financial Regulations as required. • Financial Regulations are reviewed annually. • Invoices are recorded and presented to the Full Council meeting for checking and authorisation. • One councillor double checks the invoices to the payment sheet. 	<ul style="list-style-type: none"> • Current procedures are adequate.

			<ul style="list-style-type: none"> Unpaid invoices are pursued and where possible, payment is sought in advance 	
Grants – received and payable	<ul style="list-style-type: none"> Power to pay & authorisation Receipt of grants 	Low	<ul style="list-style-type: none"> All expenditure goes through the required process of approval, and is recorded on the minutes, and listed accordingly on the payments list. Payments recorded using the S137 power of expenditure. Grants received are recorded in the minutes and listed within the income streams of the Parish Council. The Parish Council ensures the terms and conditions of grants are satisfied. 	<ul style="list-style-type: none"> Current procedures are adequate.
Rental & income	<ul style="list-style-type: none"> Income received Recording of income Insurance 	Low	<ul style="list-style-type: none"> All payments are requested to be made via BACs or Cheque, with cash as last alternative. Cemetery – interment and memorial forms must be completed, and all burials must be in line with the Cemetery Regulations and subsequent pandemic guidelines. All income recorded accordingly, and income must be received prior to the burials / memorials taking place. Allotments – all holders subject to tenancy agreement and fees paid annually in advance. All allotment holders are required to meet the details if the tenancy agreement and also to purchase insurance through the Allotment Association annually. The Parish Council holds its own public and employer liability insurance along with insurance cover for equipment and goods that may incur damage or vandalism. 	<ul style="list-style-type: none"> Current procedures are adequate.
Best Value &	<ul style="list-style-type: none"> Work awarded incorrectly Overspend on services 	Low	<ul style="list-style-type: none"> Laceby Parish Council follow the requisite Financial Regulations as required. 	<ul style="list-style-type: none"> Current procedures are adequate.

Award of contracts for works			<ul style="list-style-type: none"> • Financial Regulations are reviewed annually. • Standing Orders provide the details for appointing and contracting for services. • Standing Orders are reviewed annually. • Laceby Parish Council acknowledge that the best value may not be the cheapest option, and that other factors such as quality may be more important. • Any variations in regards to quotes / contracts and final invoicing are queried by the Clerk and discussed at Full Council Meeting. All contractors are required to update where costs will be above the quote. 	
Employees and Salaries	<ul style="list-style-type: none"> • Employee wrongly paid – hours, salary • Incorrect deductions of Tax and NI • Unpaid contributions to HMRC • Fraud • Health and Safety 	Low	<ul style="list-style-type: none"> • The payroll function is managed by independent accountant who are responsible for the reporting to HMRC and the Annual Return. • All staff work within the NJC pay scale, and scale points are reviewed annually. • All staff receive payslip each month, and P60 at the end of the financial year. • All salaries are approved at the Full Council meeting and approved on the payments list before being paid; salary is paid as per payslip, and HMRC payments paid as per form P32. • Each employee has a contract of employment and Job Description, and this is held by the Clerk. All contracts hold a section regarding overpayment and deductions from salary. 	<ul style="list-style-type: none"> • Current procedures are adequate.
VAT	<ul style="list-style-type: none"> • Reclaiming 	Low	<ul style="list-style-type: none"> • Laceby Parish Council follow the requisite Financial Regulations as required. • Financial Regulations are reviewed annually. 	<ul style="list-style-type: none"> • Current procedures are adequate.

			<ul style="list-style-type: none"> VAT can be reclaimed via the gov.uk portal on an annual basis when requirements are met. 	
Minutes, agendas, notices, statutory documents	<ul style="list-style-type: none"> Accuracy and legality Business as conducted 	Low	<ul style="list-style-type: none"> Agenda and minutes are recorded and issued in accordance to the legal requirements. All documents are kept for audit requirements. Minutes and associated documents are approved at the following meeting by a proposer and seconder and signed off by the Clerk. All documents available for request by public via FOI request for information. Requisite documents held on Laceby Parish Council website for all the see. 	<ul style="list-style-type: none"> Current procedures are adequate.
Meeting Location	<ul style="list-style-type: none"> Adequacy Health and Safety 	Low	<ul style="list-style-type: none"> All council meetings are held at the Stanford Centre. Premises and facilities are considered adequate for those who attend. Premises comply with all requirements of H&S. 	<ul style="list-style-type: none"> Existing procedure adequate
Members interests	<ul style="list-style-type: none"> Register of Members Interests Conflict of Interest 	Low	<ul style="list-style-type: none"> All members declare interests and dispensations at the start of the meeting and these are recorded by the Clerk within the minutes. Register of Members Interests are reviewed annually by Councillors and recorded within the minutes at the Full Planning and Finance meeting. Copies are shared with the LA for recording. 	<ul style="list-style-type: none"> Current procedures are adequate.
Councillor and Staff	<ul style="list-style-type: none"> Bringing the Council into disrepute 	Low	<ul style="list-style-type: none"> Councillors understand the required Code of Conduct. All Councillors employ a professional approach on all Parish Council matters. 	<ul style="list-style-type: none"> Existing procedures adequate
Compliance with legislation, standing orders	<ul style="list-style-type: none"> Lack of knowledge of rules and regulations 	Low	<ul style="list-style-type: none"> Councillors have access to Standing Orders, Financial Regulations and a copy of the The Good Councillors Guide. 	<ul style="list-style-type: none"> Standing Orders and Financial Regulations reviewed annually.

and financial regulations				
Insurance	<ul style="list-style-type: none"> • Adequate to cover requirements of Parish Council • Cost of insurance 	Low	<ul style="list-style-type: none"> • Employer liability insurance, public liability insurance and cover for equipment and assets are purchased and reviewed annually. • Clerk ensures quotes are sought and insurance checked for accuracy at renewal. 	<ul style="list-style-type: none"> • Current procedures are adequate.
General Data Protection, security and confidentiality of data, and Freedom of Information.	<ul style="list-style-type: none"> • Policy • Provision • Breaches 	Low	<ul style="list-style-type: none"> • ICO registration is in place and renewed annually during March. • Data Protection Policy, Confidentiality Policy, FOI Policy, Charges and Publication Scheme and Subject Access Request forms in place and available to view on website; copies are available from the Clerk. These are reviewed as required. 	<ul style="list-style-type: none"> • Current procedures are adequate.
Equipment and Assets				
Assets	<ul style="list-style-type: none"> • Loss or damage • Loss or damage to third party property • Theft 	Low	<ul style="list-style-type: none"> • Annual review of assets carried out for insurance purposes. • All assets recorded within the Asset Register. • Annual review of assets recorded in compliance with external audit reporting. • All damages and loss reported to police. 	<ul style="list-style-type: none"> • Current procedures are adequate.
Maintenance	<ul style="list-style-type: none"> • Poor performance of assets • Loss of income • Risk to third parties 	Low	<ul style="list-style-type: none"> • All assets owned by Laceby Parish Council are recorded in the asset register and maintained as required. • All repairs and expenditure are actioned and authorised in accordance with the Standing Orders and procedures of Laceby Parish Council. • St Francis Grove Play Area – The play area is checked by the Parish Council weekly, and requisite repairs made to ensure safety of all using the play area. Repairs can be made within the delegated powers of the Chair of up to £1000. 	<ul style="list-style-type: none"> • Current procedures are adequate • Consider the requirement for ROSPA Annual Inspection and report regarding the condition of the play area.

			<ul style="list-style-type: none"> Cemetery – The groundskeeper is responsible for the day-to-day operation of the Cemetery and in ensuring it is safe for access and egress. Tree survey is conducted annually, and report held by the Clerk. All remedial work is costed and approved as per the requirements of the Standing Orders. 	
Noticeboards & Information boards	<ul style="list-style-type: none"> Damage to equipment Damage or injury to third party 	Low	<ul style="list-style-type: none"> The Parish Council has one noticeboard situated in The Square. Keys held by the Clerk and Chair. Information boards were installed by Laceby In Bloom and gifted to the Parish Council. All information boards are insured. 	<ul style="list-style-type: none"> Current procedures are adequate.
Street Furniture	<ul style="list-style-type: none"> Damage or injury to third party 	Low	<ul style="list-style-type: none"> The Parish Council has a number of seats situated across the village and within the Cemetery. All benches are insured. All benches are inspected regularly to ensure safe to use and not damaged. 	<ul style="list-style-type: none"> Current procedures are adequate.
Meeting Location	<ul style="list-style-type: none"> Adequate and fit for use Health and Safety 	Low	<ul style="list-style-type: none"> Parish Council meetings are held at the Stanford Centre in the main hall. The premises and facilities meet the requirement for H&S and considered adequate for a meeting space which is attended by the public. 	<ul style="list-style-type: none"> Current procedures are adequate.
Records, Data and storage	<ul style="list-style-type: none"> Loss through fire, theft, damage and flooding. Loss through corruption of computer 	Medium	<ul style="list-style-type: none"> Parish Council records are stored at the Stanford Centre and the Clerks home address. Records include historical correspondence, planning applications, minutes, leases for land / property, records such as HR, payroll and insurance. Records are held within locked cabinets ensuring security and confidentiality of data. Documents and records of historical interest may also be held at NELC Archives. 	<ul style="list-style-type: none"> Damage to records, data and storage is identified as low, and the provisions are adequate. To establish cloud-based storage for holding documentation.

			<ul style="list-style-type: none"> • Cabinets are not fire secure and the Clerk is working on trying to put all documents into Microsoft Office and then holding this data within the cloud. • The council's electronic records are held on the Clerks Laptop; backups are regularly taken and held on external drive. 	
Events	<ul style="list-style-type: none"> • Injury or damage to third party / facilities 	Low	<ul style="list-style-type: none"> • Remembrance Parade – Risk Assessment and planning held separately. 	<ul style="list-style-type: none"> • Current procedures are adequate.