

Wistow Parish Council
Risk Management Policy and Risk Assessment

Policy Aim

The aim of this policy is to help Wistow Parish Council to identify, evaluate and control risk.

Definition of Risk Management

Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled.

Policy Statement

Wistow Parish Council recognises that it has a responsibility to manage risks effectively in order to protect its Councillors, employees, assets, liabilities and the community against potential losses, to minimise uncertainty in achieving its goals and objectives and to maximise its opportunities to achieve its vision.

Wistow Parish Council is aware that some risks can never be eliminated fully, and it has in place a risk management strategy that provides a structured, systematic and focused approach to managing risk.

The objectives of the Council's risk management strategy are to:

- Integrate risk management into the culture of the Council.
- Manage risk in accordance with best practice.
- Anticipate and respond to changing social, environmental and legislative requirements within Wistow Parish Council's Risk Management Policy.
- Prevent loss, disruption, damage and injury and reduce the cost of risk, thereby maximising resources.
- Inform policy and operational decisions by identifying Risks and their likely impact.
- Raise awareness of the need for risk management.

Implementation

The objectives of the Council's risk management strategy will be achieved by:

- Establishing clear roles, responsibilities and reporting lines within the Council for risk management.
- Providing opportunities for shared learning on risk management across the Council.
- Providing risk management training and awareness sessions where required.
- Incorporating risk management considerations into the Council's management processes e.g. project management, consideration of reports.
- Effective communication with and the active involvement of employees.
- Monitoring arrangements on an on-going basis.
- Maintenance of a strategic and operation risk register

Monitoring

Wistow Parish Council recognises that it is the responsibility of all Councillors and the clerk as an employee to have regard for risk in carrying out their duties. If uncontrolled, risk can result in a drain on resources that could better be directed to front line service provision, and to the meeting of the Council's objectives and community needs.

This policy has the full support of the Council which recognises that any reduction in injury, illness, loss or damage benefits the whole community. The co-operation and commitment of all employees is required to ensure that Council resources are not squandered as a result of uncontrolled risk.

Risk management will be reviewed regularly by the Parish Clerk who will make recommendations and report to the Council who will have responsibility for approving the actions necessary to control risk.

Policy Approval

TBC

Policy Review Due

TBC

RISK ASSESSMENT/MANAGEMENT DOCUMENT 2023/24

The risk assessment document is used to identify and record risks. It assesses the impact and the control measures felt appropriate to be put in place to mitigate an individual risk.

Wistow Parish Council's approach to risk management is that it should take all practical and reasonable steps to reduce or eliminate the risks identified.

Ref	AREA	RISK	LEVEL OF RISK	MANAGEMENT / CONTROLS	REVIEW / ASSESS / REVISE
<u>FINANCIAL</u>					
1	Precept	Adequacy of precept in order for Council to carry out Statutory duties	L	<ul style="list-style-type: none"> Annual budget produced The Council receives monthly budget report. Monthly information and budget monitoring allows Council to estimate standing costs and costs of projects for the subsequent years. 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
2	Financial Records	Inadequate records leading to financial irregularities	L	<ul style="list-style-type: none"> Financial Regulations sets out requirement for production of records at meetings. 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
3	Bank and banking	Inadequate checks/ bank mistakes	L	<ul style="list-style-type: none"> Financial Regulations set out setting out banking requirements and controls in place for electronic banking. Monthly bank reconciliation statement 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
4	Reporting and Auditing	Communication of information	L	<ul style="list-style-type: none"> Financial matters are a regular item on the Agenda of the Council monthly 	<ul style="list-style-type: none"> No action required.

				<ul style="list-style-type: none"> meeting. Monthly checks by Councillors 	<ul style="list-style-type: none"> Existing procedure adequate
5	Wages and associated costs	Salaries paid incorrectly Incorrect HMRC NI and PAYE payments	L	<ul style="list-style-type: none"> Salary payments included in monthly invoices listed for payment checked by designated Councillor. HMRC quarterly payments included in monthly invoices listed for payment checked by designated Councillor. 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
6	Best Value Accountability	Work awarded incorrectly. Overspend on services	L	<ul style="list-style-type: none"> Parish Council procedure (as per Financial Regulations) to seek 3 quotes for all work estimated to cost over £100. For major projects, competitive tendering process would be initiated (as per Financial Regulations) 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
7	<u>VAT</u>	Unclaimed VAT refunds	L	<ul style="list-style-type: none"> Refunds from HMRC for reclaimed VAT noted in lists of monthly income. VAT incurred displayed in separate column in cash book. 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
8	Annual Return (HMRC)	Submission within time limits to avoid financial penalties	L	<ul style="list-style-type: none"> Employers Annual Return to HMRC completed and submitted online within the required time frame by Clerk 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
9	Annual Return (To External Auditors)	Submission within time limits to avoid financial penalties	L	<ul style="list-style-type: none"> Figures for Annual return presented to Council for approval and signing Subsequently sent to internal auditor for completion and signing before being sent for External Audit. 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
10	Day to day purchases.	Purchases from members private accounts.	L	<ul style="list-style-type: none"> All purchases through Clerk. Clerk to have debit card. 	<ul style="list-style-type: none"> No action required.
<u>EMPLOYMENT ISSUES</u>					

11	Working hours	Over payment of wages for hours worked	L	<ul style="list-style-type: none"> • Council has responsibility for monitoring of hours worked for all employees. • Time sheets submitted to clerk • Wage cost submitted on a monthly basis as invoices to be presented for payment 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
12	Working conditions	Council non-compliant with contractual obligations; leading to discontented workforce.	M	<ul style="list-style-type: none"> • Regular reviews of staff performance and working relationship with the Council 	<ul style="list-style-type: none"> • Ensure all staff have access to reviews, etc
13	Health and Safety	Injury to staff in the working environment	M	<ul style="list-style-type: none"> • Provision of regular reviews of staff working procedures, risks involved and adequate direction on the safe use of any equipment required to undertake roles. 	<ul style="list-style-type: none"> • Provide extensive health and safety guidance to all staff on a regular basis in conjunction with regular reviews of working practices and risk assessments.
14	Fraud	Fraud by employees	L	<ul style="list-style-type: none"> • Requirements of Fidelity Guarantee within insurance provision. • Regular checks and internal controls on financial activity 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
15	Clerks Absence or Illness	Unable to contact Clerk	L	<ul style="list-style-type: none"> • Phone voicemail message. • Email out of office, emergency contact. • Clerks next of kin to provide periodic updates. 	<ul style="list-style-type: none"> • No action required.
16	Continuous Professional Development (CPD)	Clerk / Councillors inexperienced on a particular issue.	L	<ul style="list-style-type: none"> • Regular reviews of staff performance and working relationship with the Council • Clerk and members undertaken training 	<ul style="list-style-type: none"> • No action required.
<u>INSURANCE PROVISION</u>					
17	Adequacy	Insurance provision inadequate for the risk identified	L	<ul style="list-style-type: none"> • Annual review is undertaken of all insurance arrangements 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate

18	Cost	Best value practice not undertaken	L	<ul style="list-style-type: none"> • Cost of insurance provision and service provided by said provider reviewed annually. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
<u>LEGAL</u>					
19	<u>Freedom Of Information Provision</u>	Non-compliance with Freedom of Information Act statutory requirements	L	<ul style="list-style-type: none"> • Council has Model Publication scheme available on website and hard copy from the Clerk • Freedom of Information Request Policy 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
20	<u>Data Protection</u>	Non-compliance with Data Protection Act and GDPR statutory requirements for registration as data controller	L	<ul style="list-style-type: none"> • Clerk and members undertaken training • Council registered with ICO as a Data Controller • Data/information audit complete and reviewed regularly • Privacy notices available on website • Consents log live • Policy for review of consents in place • Retention and disposal policy adopted. • Security Incident Procedure/policy in place 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
21	<u>Legal Powers</u>	Illegal activity and/or payments	L	<ul style="list-style-type: none"> • All actions of the Parish Council noted in Minutes presented to all members. • All resolutions for payment resolved at monthly meetings of Parish Council. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
22	<u>Statutory Obligations Regarding Documents</u>	Accuracy and legality of notices, agendas, Minutes	L	<ul style="list-style-type: none"> • Minutes produced in the prescribed manner by the Clerk and adhere to legal requirements. • Minutes are approved, signed and dated at the next meeting of the Council/Committee. • Agendas and notices are produced in the prescribed manner by the Clerk and adhere to legal requirements. • Agendas and notices are displayed 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate

				according to legal requirements.	
23	<u>Members Interests</u>	Non-registration of Disclosable Pecuniary interests leading to criminal prosecution	M	<ul style="list-style-type: none"> Request for all members to declare any interests in business to be considered at all meetings. Registration of interests by members on prescribed form. Responsibility of individual member to declare said interests. Register of interests forms displayed of parish council website. 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
24	Meeting Location	Premises inadequate for needs of Council and inaccessible for members of the public	L	<ul style="list-style-type: none"> All meetings of Wistow Parish Council are held in Wistow Methodist Chapel which has adequate facilities for the hosting of meetings. Chapel is fully DA compliant and on the main bus route through Wistow 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
25	Meeting Room Locked	Premises locked ahead of meeting.		<ul style="list-style-type: none"> Clerk to contact manager of building on day of meeting to ensure building unlocked. Contact number for building manager shared with councillors. 	<ul style="list-style-type: none"> No action required
<u>ASSETS MAINTENANCE</u>					
26	All parish council assets	<ul style="list-style-type: none"> Loss or damage. Risk damage to third party. Poor performance. 	L	<ul style="list-style-type: none"> All assets owned by Parish Council are regularly reviewed. All repairs and relevant expenditure authorised in accordance with correct procedures of the Parish Council. All assets insured. Insurance provision reviewed annually. 	<ul style="list-style-type: none"> No action required. Existing procedure adequate

				<ul style="list-style-type: none"> Monthly agenda items – assets considered by council on a monthly basis 	
27	Jubilee Village Hall	<ul style="list-style-type: none"> Loss or damage. Risk damage to third party. 	L	<ul style="list-style-type: none"> Monthly Report from Jubilee Hall Representative 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
28	Village Green	<ul style="list-style-type: none"> Damage to equipment. Risk to third parties 	L	<ul style="list-style-type: none"> Monthly check. Clerk possesses emergency powers to deal with urgent maintenance work. Open space provision considered by Council on a monthly basis. Public Liability insurance in place. 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
29	Other open spaces and trees	<ul style="list-style-type: none"> Damage to equipment. Risk to third parties 	L	<ul style="list-style-type: none"> Monthly check. Clerk possesses emergency powers to deal with urgent maintenance work. Open space provision considered by Council on a monthly basis. Public Liability insurance in place. 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
30	Playground / Skate Park	<ul style="list-style-type: none"> Damage to equipment. Risk to third parties 	L	<ul style="list-style-type: none"> Monthly checks undertaken by working group and monthly report given at meeting. Clerk possesses emergency powers to deal with urgent repairs. Annual safety inspection undertaken to RoSPA standards and report presented to Council for action. Policy on website. Public Liability insurance in place. 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
31	Notice Boards, Dog Bins Salt Bins, Grit Bins, Benches	<ul style="list-style-type: none"> Damage to equipment. Risk to third parties 	L	<ul style="list-style-type: none"> Annual check. Clerk possesses emergency powers to deal with urgent repairs. Public Liability insurance in place. 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
32	Utility Assets on Council Property	<ul style="list-style-type: none"> Damage or overgrown. Hazard signs not clear. 		<ul style="list-style-type: none"> Annual check. Log of all utility assets on council property. Clerk to possess emergency contact 	<ul style="list-style-type: none"> First check to be undertaken.

				numbers for owners of utility asset.	
<u>COUNCIL RECORDS</u>					
33	Paper Records	Loss of essential records through theft and/or fire damage. Council Minutes, leases and historical correspondence. Financial records.	L L L	<ul style="list-style-type: none"> All pre-2000 Parish Council Minutes are archived at central library all other minutes, leases and historical correspondence are stored in lockable metal cabinet at clerk's house All Parish Council financial records are stored at home of clerk 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
34	Electronic Records	Loss through; theft, fire damage or corruption of computer	L	<ul style="list-style-type: none"> Parish Council electronic records are stored on personal computers of Clerk Back ups of electronic data are made at regular intervals Data transferred to an encrypted portable hard drive on monthly basis (2 drives, one held by Clerk other by Chairman) Back ups of electronic data to Parish Council Cloud storage. 	<ul style="list-style-type: none"> No action required
35	Passwords	Loss of essential records through lost passwords	L	<ul style="list-style-type: none"> Parish Council Passwords to be recorded in a password book by Clerk. Password book to be stored in a secure location. Passwords to be updated periodically. 	<ul style="list-style-type: none"> No action required
36	Security Camera Footage	Loss through corruption of computer	L	<ul style="list-style-type: none"> Footage stored on Council Cloud. Footage only to be viewed by DBS checked councillors. 	<ul style="list-style-type: none"> No action required

Date of Last Review: September 2023.