

# Wrockwardine Parish Council Risk Management Document

This Risk Assessment is a systematic general examination of working conditions, workplace activities and environmental factors that should enable the Parish Council to identify any and all potential inherent risks. The Parish Council, based on a recorded assessment, will take all practical and necessary measures to reduce or eliminate the risks, insofar as is practically possible.

This document has been produced to enable the Parish Council to assess the potential risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

The RAG rating after mitigation/control is either **RED**, **AMBER**, **GREEN**

**RED** – High level risk needing immediate attention to mitigate potential risk to the Council

**AMBER** – Medium level risk that needs attention/is currently under review and poses some risk to the Council

**Green** – Current processes adequate

The assessment is split into 6 parts:

1. Finance
2. Assets
3. Operations
4. Compliance
5. Systems
6. People

## Version Control

Adopted Full Council: 11<sup>th</sup> March 2020

Minute Ref: 20/40

Revised Full Council: 12<sup>th</sup> May 2021

Minute Ref: 21/65 (3)

## 1. FINANCE

Specific Risk	Mitigation/Control(s)	Current Status	RAG after mitigation
<b>Funds available to carry out Council objectives/duties</b>	➤ Prepare & review Annual Budget & set precept	Done annually	Green
	➤ Prepare and review a 3-year forecast	Not currently done	Amber
	➤ Maintain appropriate reserves	Reserves are maintained in accordance with the agreed Reserves Policy & reviewed annually Finance is a standing agenda item on monthly meeting & accounts are presented to Council for scrutiny	Green
	➤ Regularly monitor financial performance	Financial Regulations reviewed annually	Green
	➤ Establish, maintain & review Financial Regulations	Financial Regulations reviewed march 2020	Green
	➤		
<b>Access to funds</b>	➤ Establish, maintain and review appropriate Financial Regulations	Financial Regulations reviewed March 2020	Green
<b>Maintaining financial records</b>	➤ Monthly accounting	Finance is a standing agenda item at monthly meeting where accounts & bank reconciliations are presented to Council and approved as necessary	Green
	➤ Use of on-line accounting package	SCRIBE accounting package used for accounting purposes from April 2019	Green
<b>Bank &amp; banking</b>	➤ Establish, maintain & review appropriate Financial Regulations to set out the requirement & procedure banking	Financial Regulations reviewed March 2020	Green
	➤ Regularly monitor financial performance	Finance is a standing agenda item at monthly meeting where accounts & bank reconciliations are presented to Council and approved as necessary	

<b>Protection of funds</b>	<ul style="list-style-type: none"> <li>➤ Use of more than one bank account</li> <li>➤ Regular audit of bank account details</li> <li>➤ Adequate computer virus/software protection for on-line banking</li> </ul>	<p>Additional savings account opened with Nationwide Building Society Clerk checks bank accounts weekly</p> <p>Virus protection installed on Council's laptop &amp; recommended account protector downloaded as recommended by bank</p>	<p>Green</p> <p>Green</p> <p>Green</p>
<b>Payment of suppliers, staff &amp; others</b>	<ul style="list-style-type: none"> <li>➤ Regular auditing by councillors</li> <li>➤ Internal/External Audit</li> </ul>	<p>Finance is a standing agenda item at monthly meeting where accounts and bank reconciliations are presented to Council. In 2020 an additional internal financial review will be undertaken quarterly by a non-signatory councillor.</p> <p>All accounts are subject to internal &amp; external audit at year end</p>	<p>Green</p> <p>Green</p>
<b>Fraud by suppliers, staff or others</b>	<ul style="list-style-type: none"> <li>➤ Obtain &amp; regularly review appropriate insurance</li> <li>➤ Establish, Maintain &amp; review appropriate Financial Regulations to set out procedures for dealing with fraud</li> <li>➤ Establish an appropriate policy for dealing with fraud by members of staff</li> </ul>	<p>In place &amp; reviewed annually</p> <p>Financial Regulations reviewed March 2020</p> <p>Disciplinary &amp; Grievance Policy sets out procedure for dealing with fraud by staff, reviewed December 2019</p>	<p>Green</p> <p>Green</p> <p>Green</p>
<b>Receipt of grant monies</b>	<ul style="list-style-type: none"> <li>➤ Establish, maintain &amp; review appropriate Financial Regulations to set out the requirement &amp; procedure for receiving grants</li> </ul>	<p>Financial Regulations reviewed March 2020</p>	<p>Green</p>
<b>Power &amp; authorisation to pay grants (Sect 137)</b>	<ul style="list-style-type: none"> <li>➤ Establish, maintain &amp; review appropriate Financial Regulations to set out the procedure for payment of grant monies</li> </ul>	<p>Financial Regulations reviewed March 2020</p> <p>All such expenditure goes through the required Council process for approval, minuted and listed accordingly if a payment is made</p>	<p>Green</p>

<b>Best value accountability</b>	<ul style="list-style-type: none"> <li>➤ Establish, maintain &amp; review appropriate Financial Regulations to set out the requirement for best value accountability</li> </ul>	Financial Regulations reviewed March 2020	<b>Green</b>
<b>Salaries and associated costs</b>	<ul style="list-style-type: none"> <li>➤ Establish, maintain &amp; review appropriate Financial Regulations setting out requirements &amp; procedures for all payments</li> </ul>	Financial Regulations reviewed March 2020 All salaries & associated costs are presented to Council for approval monthly and authorised by Full Council	<b>Green</b>
<b>VAT</b>	<ul style="list-style-type: none"> <li>➤ Establish, maintain &amp; review appropriate Financial Regulations to set out the requirement &amp; procedure for reclaiming VAT</li> <li>➤ Control by the Clerk &amp; Responsible Finance Officer</li> </ul>	Financial Regulations reviewed March 2020  Web-based training on re-claiming VAT with the HMRC completed by Clerk & Responsible Finance Officer March 2019	<b>Green</b>  <b>Green</b>
<b>Authorisation and control of supply of goods &amp; services to the Council</b>	<ul style="list-style-type: none"> <li>➤ Regulation by Financial Regulations &amp; Standing Orders</li> <li>➤ Control by the Clerk &amp; Responsible Finance Officer</li> <li>➤ Regular audits</li> </ul>	Financial Regulations and Standing Orders reviewed March 2020  Clerk adheres to Standing Orders & Financial Regulations. All costs are presented to Council for approval Internal & External Audits undertaken	<b>Green</b>  <b>Green</b>  <b>Green</b>

## 2. ASSETS

Specific Risk	Mitigation/Control(s)	Current Status	RAG after mitigation
<b>Loss of assets (including inability to prove ownership)</b>	<ul style="list-style-type: none"> <li>➤ Maintain and review Asset Register</li> <li>➤ Obtain deeds and/or Land Registry confirmation</li> </ul>	Asset Register updated when necessary and reviewed annually Currently under review to ensure necessary documentation is available	<b>Green</b>  <b>Amber</b>
<b>Damage to assets</b>	<ul style="list-style-type: none"> <li>➤ Obtain &amp; regularly review appropriate insurance</li> </ul>	Bus shelters & playground equipment insured for loss, destruction or unauthorised entry resulting in theft or damage of contents and all building and contents valuations adjusted annually	<b>Green</b>

	<ul style="list-style-type: none"> <li>➤ Maintain up to date Asset List</li> <li>➤ Ensure regular inspection of 3 play-grounds &amp; outdoor gym</li> <li>➤ Monthly inspection of bus-shelters</li> </ul>	<p>Asset list up to date</p> <p>Weekly/quarterly &amp; yearly (RoSPA) inspections in place</p> <p>Clerk inspects when placing monthly notices</p>	<p>Green</p> <p>Green</p> <p>Green</p>
<b>Asset deterioration</b>	<ul style="list-style-type: none"> <li>➤ Regular inspections and appropriate maintenance programme</li> </ul>	Take place as with damage to assets	Green
<b>Liability from ownership</b>	<ul style="list-style-type: none"> <li>➤ Obtain &amp; regularly review appropriate insurance</li> </ul>	Insurance in place & reviewed annually	Green

### 3. OPERATIONS

Specific Risk	Mitigation/Control(s)	Current Status	RAG after mitigation
<b>Delivery of services or projects</b>	<ul style="list-style-type: none"> <li>➤ Placing &amp; monitoring contracts for regular services</li> <li>➤ Maintaining &amp; reviewing an Outstanding Actions List</li> </ul>	<p>Ongoing</p> <p>Ongoing</p>	<p>Green</p> <p>Green</p>
<b>Contractors/volunteers on Council activity</b>	<ul style="list-style-type: none"> <li>➤ Material contracts subject to tender process as set out in Financial Regulations</li> <li>➤ Contract performance monitored by the Clerk</li> <li>➤ Volunteer performance monitored by the Clerk</li> </ul>	<p>Financial Regulations reviewed March 2020</p> <p>New procedure to be undertaken with Grass Cutting Contract beginning 1<sup>st</sup> April 2020</p> <p>SID management currently monitored by Clerk &amp; Responsible Finance Officer</p>	<p>Green</p> <p>Amber</p> <p>Green</p>
<b>Reporting of “risk events” or “near misses”</b>	<ul style="list-style-type: none"> <li>➤ Establish a robust Health &amp; Safety Policy detailing procedure &amp; process for reporting</li> </ul>	Health & Safety Policy in place from December 2019 which includes procedure	Green

#### 4. COMPLIANCE

Specific Risk	Mitigation/Control(s)	Current Status	RAG after mitigation
<b>Employment Law</b>	<ul style="list-style-type: none"> <li>➤ Access to information regarding laws</li> <li>➤ Regular updates from relevant authorities</li> </ul>	<p>Council approves the appointment, pay &amp; terms &amp; conditions of service for all employees and, approves any "significant" variations to the same</p> <p>Advice from relevant authorities e.g. NALC/SALC/SLCC/government/local government</p>	<p>Green</p> <p>Green</p>
<b>HMRC requirements</b>	<ul style="list-style-type: none"> <li>➤ Establish, maintain &amp; review appropriate Financial Regulations to set out the requirement &amp; procedure for processing &amp; making payments</li> <li>➤ Clerk &amp; Responsible Finance Officer trained in requirements</li> </ul>	<p>Financial Regulations reviewed March 2020</p> <p>Clerk &amp; Responsible Finance Officer has undertaken web-based training provided by HMRC on procedures</p>	<p>Green</p> <p>Green</p>
<b>HSE requirements</b>	<ul style="list-style-type: none"> <li>➤ Establish, maintain &amp; review an appropriate Health &amp; Safety Policy</li> <li>➤ Provision of safety equipment</li> <li>➤ Provision of Risk Assessments when necessary</li> </ul>	<p>Health &amp; Safety Policy reviewed December 2019</p> <p>Equipment purchased &amp; provided when necessary</p> <p>Risk Assessments completed when required</p>	<p>Green</p> <p>Green</p> <p>Green</p>
<b>GDPR FOI Regulations</b>	<ul style="list-style-type: none"> <li>➤ Establish, maintain &amp; review policies</li> </ul>	<p>Under review</p>	<p>Amber</p>
<b>Use of powers</b>	<ul style="list-style-type: none"> <li>➤ Training of councillors &amp; Clerk</li> <li>➤ Membership of NALC &amp; SALC</li> <li>➤ Membership of SLCC for Clerk</li> <li>➤ Compliance with model Standing Orders &amp; Financial Regulations</li> </ul>	<p>Councillors undertake induction training and are circulated with the SALC training programme each year. Clerk undertook ILCA training completed April 2019 Council has current membership</p> <p>Clerk has current membership</p> <p>Standing Orders &amp; Financial Regulations reviewed March 2020 and were based on most recent models from NALC</p>	<p>Green</p> <p>Green</p> <p>Green</p>

<b>Conflicts of interest disclosure</b>	<ul style="list-style-type: none"> <li>➤ Training of councillors</li> <li>➤ Maintenance of Register of Disclosable Interests</li> </ul>	<p>Councillors undertake induction training and are circulated with the SALC training programme each year</p> <p>Standing agenda item at monthly meeting Clerk ensures forms are completed regularly and when new councillors are elected &amp; these are submitted to T&amp;W Council</p>	<p>Green</p> <p>Green</p>
<b>Transparency</b>	<ul style="list-style-type: none"> <li>➤ Parish Council meetings held in public accessible locations</li> <li>➤ Meetings with 3<sup>rd</sup> parties reported at Council meetings</li> <li>➤ Policy on 3<sup>rd</sup> party visits &amp; meetings</li> <li>➤ Documents available on web-sites and available for public viewing if requested</li> </ul>	<p>Monthly meetings held alternately at Admaston House &amp; Wrockwardine Parish Hall Agenda items as &amp; when necessary</p> <p>Not in place - under review</p> <p>All documents are available on the Council's web-site including agendas, minutes, policies &amp; procedures. Hard copies available on request. Agenda is displayed according to legal requirements on the Parish notice boards</p>	<p>Green</p> <p>Green</p> <p>Amber</p> <p>Green</p>
<b>Behaviour by Council, Councillors, staff or volunteers</b>	<ul style="list-style-type: none"> <li>➤ Establish &amp; maintain policies governing behaviour</li> <li>➤ Relevant training</li> </ul>	<p>Disciplinary &amp; Grievance Procedure in place from December 2019. Council adheres to the Code of Practice</p> <p>Councillors/staff &amp; volunteers access training as and when necessary</p>	<p>Green</p> <p>Green</p>
<b>Minutes/agendas/notices/statutory documents/business conduct</b>	<ul style="list-style-type: none"> <li>➤ All documents adhere to prescribed and legal requirements</li> <li>➤ Documents approved and signed</li> <li>➤ Follow established Standing Orders and Financial regulations</li> </ul>	<p>Agenda &amp; minutes are produced in a prescribed manner by the Clerk and adhere to the legal requirements</p> <p>Minutes and associated documents are approved and signed at monthly Council meetings Standing Orders &amp; Financial Regulations reviewed March 2020 and business conducted at each Council meeting is managed by the Chairman and follows these</p>	<p>Green</p> <p>Green</p> <p>Green</p>

## 5. SYSTEMS

Specific Risk	Mitigation/Control(s)	Current Status	RAG after mitigation
Access to systems/records	➤ Establish, maintain and review an appropriate IT Policy	Currently being reviewed	Amber
	➤ Key processes documented together with ability to access appropriate records and systems	Contained in the Financial Regulations reviewed March 2020	Green

## 6. PEOPLE

Specific Risk	Mitigation/Control(s)	Current Status	RAG after mitigation
Performance of Clerk	➤ Performance appraisal and review	In place annually Clerk completed ILCA qualification April 2019. Other SALC/SLCC training accessed when appropriate Clerk attends regular Clerk Networking meetings	Green
	➤ Appropriate training		Green
	➤ Networking with peers		Green
Councillor's knowledge	➤ Appropriate councillor training	Councillors undertake induction training and are circulated with the SALC training programme each year Clerk forwards all relevant information	Green
	➤ Forwarding of relevant information pertinent to role		Green
	➤ Maintain records of training & information provided	Not currently done	Amber
Unplanned unavailability of Clerk/service interruption due to long-term absence of the Clerk & Responsible Finance Officer	➤ Financial Regulations set out procedure	Financial Regulations reviewed March 2020	Green
	➤ Key processes documented together with ability to access appropriate records and systems	Procedure has not yet been tested but appears adequate	Green

<b>Personal safety of councillors, Clerk, contractors &amp; volunteers</b>	<ul style="list-style-type: none"> <li>➤ Compliance with appropriate HSE requirements, including Risk Assessments for activities completed as and when required</li> <li>➤ Contractors required to complete and share risk assessments</li> </ul>	<p>Risk Assessments completed as and when required</p> <p>Risk is factored in agreed contracts</p>	<p><b>Green</b></p> <p><b>Green</b></p>
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