

# **BASTON PARISH COUNCIL – RISK MANAGEMENT SCHEME**

## Mission Statement

*The Parish Council provides services for, and manages and maintains the assets of Baston within the resources provided by the annual precept and other incomes, considering the wishes of the residents and obtaining value for money.*

Aim	Risk	Method Used to Minimise Risk	Person/s Responsible
<p><b>1.Legislation</b></p> <p>Compliance with all Government Legislation, the Council’s Standing Orders, Financial Regulations and Code of Conduct - including:</p> <ul style="list-style-type: none"> <li>• Freedom of Information Data protection</li> <li>• Safeguarding children and vulnerable adults</li> <li>• Local government legislation Equality of opportunity Racial equality</li> <li>• Disability legislation Employment legislation</li> </ul> <p><i>Any additional formally issued legislation – either temporary or permanent – as Resolved by Full Council</i></p>	a. Lack of knowledge of Regulations and Codes	<p>Councillors induction and training.</p> <p>Ensure that all Councillor have copies of relative information through the council website including Code of Conduct, Standing Orders and Financial Regulations.</p> <p>Councillors issued with Good Councillors Guide.</p> <p>All Councillors to be registered on the LALC web portal</p>	Clerk/RFO All Cllrs
	b. Absence of standing orders or other policies	<p>Ensure that a policy control document is kept and updated.</p> <p>All policies produced for review, revised as required and adopted.</p>	Clerk/RFO
	c. Actions by Council outside its powers	<p>Ensure powers are highlighted or extracted into an effective summary for reference.</p>	Clerk/RFO
	d. Lack of commitment to regulations and procedures	<p>Training for Councillors.</p> <p>Regular reference to appropriate regulations in agenda items.</p> <p>Appropriate delegation of responsibilities to individual Councillors.</p>	Clerk/RFO Chair/Vice-Chair All Cllrs
	e. Items purchased without proper tendering procedures, resulting in accusations of commercial favoritism	<p>Ensure that all Councillors are aware of regulations re estimates and full tender procedures as per Council’s Policy.</p> <p>Introduce practice of estimates for all purchases over an agreed figure.</p>	Clerk/RFO All Cllrs
	f. Payments made without prior approval and adequate control	<p>Ensure all payments are approved in Council meetings in accordance with Council Policy and recorded in minutes.</p> <p>No cash or cheque payments</p>	Clerk/RFO
	g. VAT is not properly accounted for	<p>Ensure appropriate publications held and that Clerk has good knowledge of regulations</p>	Clerk/RFO
<p><b>2.Priorities and Risks</b></p> <p>To identify and regularly review the Council’s priorities and risks.</p>	a. Lack of knowledge and commitment by council members	<p>Attendance at training and refresher training.</p> <p>Identification of risks and need for clear objectives and policies.</p> <p>All Councilors registered on the LALC web portal.</p>	Clerk/RFO Chair/Vice Chair All Cllrs
	b. No risk assessment carried out and no steps taken to reduce risks	<p>Risk assessment added to meeting agenda at least annually.</p>	Clerk/RFO
	c. Lack of Councillors to	<p>Councillors working constructively and collaboratively within the</p>	Clerk/RFO

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	effectively carry out the functions and business of the Council.	Code of Conduct. Actively working to fill vacancies as soon as possible by co-option. Advertisement of Councillor vacancies on Council website and Facebook page.	Chair/Vice Chair All Cllrs
<b>3.To Influence Others</b>  To influence others, such as South Kesteven District Council, Lincolnshire County Council, and other government organisations in recognising the requirements of the residents and best ways to overcome any issues.	a. Lack of effective lines of communication with other organisations	Building positive networks with other organisations. Note all communication lines which are essential or beneficial and make information available to councillors. Establish contacts by name and where possible face to face.	Clerk/RFO All Cllrs
	b. Lack of effective lines of communication with parish residents	Effective sharing of information using a variety of methods to reach all the local population, including the noticeboard, social media, website, posters in public places (eg: village shop), providing schools with information for sending home in school bags; holding an annual parish meeting and other public meetings and sharing information in the Baston Voice. Distributing questionnaires to gauge residents wants and needs	Clerk/RFO
	c. Lack of Councillor confidence	Training encouraged for all council members. Induction of councillors by Clerk and experienced councillors. Induction handbook. Mentoring of new councillors by more experienced members. All Councillors registered on LALC web portal	Clerk/RFO All Cllrs  All Cllrs
<b>4. Councillor Responsibilities and Insurance</b>  All councillors are aware of their responsibilities, of any possible liabilities, and the council provides adequate insurance cover for all likely risks.	a. Lack of Councillor, Clerk and RFO knowledge	Induction and training. Membership of the Lincolnshire Association of Local Councils (LALC) for advice and training, including risk management and insurance.	Clerk/RFO All Cllrs
	b. Insurance lapsed	Employers and Public Liability insurance are renewed annually. A calendar with all important dates - including insurance renewal prepared annually.	Clerk/RFO
	c. Inadequate insurance cover	Review risk assessment by including on agenda annually. Clerk informs the insurance company of any changes with immediate effect, such as purchase of new equipment, and asks for clarity if insured.	Clerk/RFO

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	d. Failure of councillors to declare interests and take part and vote on inappropriate matters	Declarations of interest an item on all agendas, with the reminder that a declaration can be made at any time during the meeting when this becomes apparent. Code of Conduct training mandatory for all new Councillors. Councillors ensure their DPI forms are up to date and returned to the Clerk within the set timeframe.	Clerk/RFO All Cllrs  All Cllrs All Cllrs
<b>5. Accurate Financial Records</b>  To keep appropriate, accurate and contemporary accounts and financial records including the Annual Return.	a. Lack of knowledge of accounting procedures.	All Councillors and Clerk encouraged to attend financial and risk management training. All council meetings include easily understandable budget and expenditure information. Annual review of Standing Order and Financial Regulations and refer to these documents for clarity. Use of appropriate accounting software. Publishing financial information on the website as required.	Clerk/All Cllrs  Clerk/RFO  All Cllrs  Clerk/RFO
	b. Lack of the Annual Return process	Induction and training for the RFO/Clerk and Councillors. Advise from LALC or the internal auditor	Clerk/RFO All Cllrs
	c. Annual Return not completed correctly or within the required timeframe.	Following prescribed guidelines and meeting deadlines as published by the external auditor. Holding a council meeting to approve the accounts and for the chairman and Clerk to sign the correct Annual Return sections	Clerk/RFO
	d. Clerk taken ill or leaves without replacement	RFO and/or other Councillor to be familiar with the accounting systems and financial processes so cover available. Advice from internal auditor.	Chair/Vice Chair Finance Cllr
<b>6. Facilities and Equipment</b>  These are purchased on an evidence basis, are well-maintained and fit for purpose and ensure value for money.	a. Purchasing equipment and facilities without public consultation, need or request	Finding opportunities to consult with residents of all ages, businesses, and other stakeholders. Including members of the public and representatives of village organisations to share expertise and explore ideas for projects.	Clerk/RFO Chair/Vice-Chair
	b. Funds used inappropriately or not providing value for money	Publishing clear agendas and minutes to promote transparency and openness, encouraging members of the public to attend the open forum at council meetings to ask questions and raise any issue or	Clerk/RFO

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		make Standing Orders and Financial Regulations make clear the tendering and quote obtaining process. Effective budget management and planning projects for the following financial year, based on research and findings of need.	Clerk/RFO
<b>7. Grants and Donations</b>  These are fair, met the guidelines and deadline and benefit or/ make life better for residents of the village and/or the environment.	a. Excessive or inadequate grant awarded	Clear grant policy and guidelines containing the limit of the grant to be awarded.	Clerk/RFO
	b. Inappropriate requests for funding.	Clear grant policy stating eligibility, what the grant will be used for and who will benefit.	Clerk/RFO All Cllrs
	c. Award goes to an individual not a group.	Evidence of a constituted group with rules and a bank account with two signatories is supplied with the application form and made clear in the grant policy/application form. Reviews of the applications with request for further information to be supplied if required.	Clerk/RFO
<b>8. Annual Precept</b>  The precept requirement is based on an adequate budgetary process, is monitored and reserves are used appropriately.	a. Lack of knowledge of the budgetary process, and Council regulations	Latest regulations provided for all Councillors. An agenda item early in the year to remind Councillors of budget process and actions required.	Clerk/RFO
	b. Excessive or inadequate precept set	From August of each year begin planning projects and maintenance programmes for the following financial year. Review ideas, projects and begin the budgeting process for the following financial year. Recommendations are approved at the council meeting in November or December.	Clerk/RFO All Cllrs
	c. Reserves too high or too low	The budget and precept are approved at the December meeting. Follow 'Best Practice' that the General Reserve should be 25% of typical annual income. This may be temporarily reduced to meet short-term financial requirements subject to the following: the completion of a specific Risk Assessment and a Resolution by the Full Council. The general reserve not to exceed 75% of typical annual income unless otherwise directed by the Internal Auditor.	Clerk/RFO All Cllrs
<b>9. Income</b>	a. Lack of knowledge of funding sources in addition	Attend available training, workshops, and other events to discover sources of funding and gain experience in completing applications.	Clerk/RFO All Cllrs

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To explore possible sources of income such as grants and District/ County Council Schemes and ensure that expected income is fully received.	to precept eg: grants	Ensure the funding criteria and deadlines are met.	
	b. Receipts not banked promptly	Regular checks by RFO plus internal audit checks	Clerk/RFO Finance Cllr
	c. Debts not pursued	Regular checks by RFO plus internal audit checks	Clerk/RFO Finance Cllr
	d. VAT claims not made or made incorrectly.	Regular checks by RFO plus internal audit checks	Clerk/RFO Finance Cllr
<b>10. Salaries and Payments</b>  To ensure staff are paid on time, and contractors are paid in accordance with Council regulations, budget, and statutory legislation.	a. Inappropriate rate of pay for staff.	Use the latest pay scales published by the National Joint Council to determine the salaries of the Clerk and as guidance for all other directly employed staff.	Chair/Vice-Chair Personnel sub-committee
	b. Tax, NI and Pension payments not in accordance with regulations.	Clerk and RFO checks. Internal audit checks. Issue of pay slips with NI and pension contributions	Clerk/RFO Finance Cllr
<b>11. Asset Register</b>  To identify, value and maintain all the assets of Baston Parish Council, and ensure that asset and investment registers are complete, accurate and properly maintained.	a. Lack of knowledge of the Council's assets.	Ascertain and record all assets for which the Council, is responsible. Create and maintain a permanent asset register.	Clerk/RFO
	b. Assets lost or misappropriated	Appoint person responsible for the security and maintenance of each asset and regularly monitor by conducting physical inspections. Review valuation as required. Internal audit checks.	Chair/Vice-Chair  Appointed Cllr
	c. Inadequate or inaccurate valuation of the assets	Regular review and update in compliance with Audit Commission regulations.	Clerk/RFO
	d. Asset register not maintained adequately	Purchase and disposal of assets to be approved by the Council and minuted.	Clerk/RFO All Cllrs
<b>12. Equality and Equal opportunities</b>  To comply with appropriate	Lack of knowledge of applicable legislation	Clerk to have all appropriate and current legislation available. Training for Clerk and Councillors as needed. Review liabilities and responsibilities periodically at Council meetings. Annual review of the safeguarding of children and	Clerk/RFO All Cllrs Clerk/RFO All Cllrs

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Government legislation regarding disability, racial equality, safeguarding children etc.		vulnerable adults.	
<b>13. Property</b>  To carry out adequate safety checks on open space, street furniture and other properties for which council is responsible such as seats, bins, noticeboard village sign, defibrillators, speed indicators, Tommy (sign).	a. Lack of or an inadequate programme of maintenance. information on properties and equipment	Include in asset register all properties Council is responsible for. New items properly recorded. Programme of regular checks by councillors. Prompt attention to hazards/problems when identified or notified by users. Item on meeting agenda at regular intervals and annual review.	Clerk/RFO Chair/Vice-Chair All Cllrs
	b. Lack of knowledge of safety requirements	Ensure all current legislation and advice is held by Clerk for reference.	Clerk/RFO
	c. Lack of commitment to carrying out safety checks	Delegate responsibility of supervision of particular areas or properties to individual councillors, reporting back any need for action to council a next available meeting or sooner to Clerk if urgent.	Chair/Vice-Chair All Cllrs