

Document History:  
Adopted on 11.05.2015

To be reviewed: Annually

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# **Hemswell Cliff Parish Council**

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## **Appendix C**

# **Hemswell Cliff Parish Council Risk Assessment and Management**

This document was first adopted by the Parish Council on 11 May 2015 and is reviewed annually.

### Risk Level Key:

**L = Low** – the risk would have a minimal and/or it is adequately managed.

**M = Medium** – the risk is managed, but there may be limited scope for improvement or even if the risk arises it will have a minimal impact. In some cases, the risk is beyond the Council's capability to control, but there is a low probability of it happening.

**H = High** – the risk is not under adequate management. In some cases, the risk is beyond the Council's capability to control, but there is a low probability of it happening.

## Risk Management Scheme

Area	Risk	Level	Control (and agreed improvements)
Assets	Protection of physical assets	L	Buildings, structures and assets insured. Value increased annually by RPI. <b>Carry out another cost of re-building exercise in 2018/19.</b>
	Maintenance of equipment, bus shelters, memorials, etc.	M	Buildings currently maintained on an ad hoc basis. <b>Begin planned programme in 2016/17.</b>
Finance	Banking	L	Regular (at least once a month) bank reconciliations carried out.
	Risk of consequential loss of income	L	Important documents backed-up and taken off premises.
	Loss of cash through theft or dishonesty	H	Regular bank reconciliations carried out, all cheques signed by two councillors at a public meeting. Electronic payments must be authorised by Council and are brought to its attention after. All receipts issued and invoices received are kept.
	Financial controls and records	M	Regular bank reconciliations prepared by Clerk and checked by councillors at ordinary meetings. Internal and external audits take place annually. S137 is recorded separately with the aggregate spend worked out on a monthly basis.
	Comply with VAT Regulations	M	Use help line when necessary. VAT payments and claims calculated by Clerk and checked by Council. Internal and external auditor to check.

	Sound budgeting to underlie annual precept	M	Council receive detailed budgets in the late autumn. Precept derived directly from this. <b>Expenditure against budget to be reported quarterly if not more frequently.</b>
	Complying with borrowing restrictions	L	No new borrowing likely in <b>2018/19.</b>
Liability	Risk to third party, property or individuals	M	Insurance in place. Open spaces checked regularly. Trees/hedges investigated when damage reported. Bus stops and village signs regularly inspected. <b>Monthly risk assessments at the Ball Park site and Memorial. A risk assessment will be carried out on the Christmas tree lights.</b>
	Legal liability as consequence of asset ownership	H	Insurance in place. <b>Monthly risk assessments at the Ball Park site and Memorial. Written records kept. Annual checks by RoSPA of playground facilities at the Ball Park.</b>
Employer Liability	Comply with Employment Law	L	Membership of various national and regional bodies. Indemnity for Clerk included in insurance.
	Comply with HMRC requirements	L	Internal and external auditor carry out annual checks. PAYE and NI payments made through RTI on a monthly basis. In the process of working to meet new pension arrangements. <b>Regular advice sought from an accountant.</b>
Legal Liability	Ensuring activities are within legal powers	M	Clerk clarifies legal position on any new proposal. Legal advice to be sought where necessary. <b>Clerk to undertake training and continue CPD work towards CiLCA.</b>
	Proper and timely reporting via the minutes	L	Council meets once a month and receives and approves minutes of meetings held in interim. Minutes made available to on the Council's website.
	Proper document control	M	Leases and legal documents in Clerk's possession. Other data storage to comply with Data Protection Act.

Councillor propriety	Registers of Interests listing gifts, hospitality and pecuniary interests in place and up to date	H	Register of interest completed. <b><i>Gifts and hospitality register is present at each Council meeting. In the future to be included as an agenda item in May and October.</i></b>
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## Parish Council Risk Schedule

Item	Frequency	Last Reviewed	Control/Comments/Action
Parish Council Insurance	Annual	June 2017	<b><i>An exercise to gather in quotes needs to take place in mid-April 2017.</i></b>
<b>Inspections/Maintenance:</b>			
Tree and hedge maintenance	Twice a year and as required	June 2017	<b><i>Due to unexpected rapid growth of the grass will need cutting again before the big lunch event.</i></b>
Green Spaces and playing fields	Twice a year	June 2017	<b><i>Contractor asked to cut grass as close as possible to where horses are kept on non-parish council land.</i></b>
Grit bins	Once a month from September to March	May 2017	New trugs recently bought to help move grit around more easily.
Bus Shelters and Parade Ground Memorial	Twice a year	May 2017	Weeds at memorial seem to be under control.
Inspection of equipment at the Ball Park	Monthly (members)	June 2017	Signs have been installed to indicate that some areas of the Ball Park might be slippery after rain. <b><i>There is a small issue with a loose frame at the Ball Park – issue reported to the company which installed it as it is still under guarantee.</i></b>

<b>Financial Matters:</b>			
Banking Arrangements	Annual	May 2016	The arrangements were found to be adequate to the Council's needs.
VAT Return Completed/Submitted	Annual	November 2017	
Additional Audit Fee	Annual	June 2017	Fee will be higher again for the 2017/18 financial year because of the construction of the Ball Park. The 2017/18 budget accounts for this.
Annual Salary Review	Annual	May 2017	<b>To be reviewed in June 2017.</b>
Budget monitored and reported	Quarterly	June 2017	
Budget set and precept requested	Annual	January 2017	
Financial Policy and Procedure Review	Annual	May 2017	<b>To be reviewed at the May APCM</b>
Bank Reconciliations Overseen by Councillors	Monthly	June 2017	Item on each ordinary meeting agenda.
Clerk's Salary Reviewed and Documented	Monthly	May 2017	Salary now in line with the current NJC award 2016-2018.
Internal Audit	Annual	April 2017	Small issue raised around the need to record internal transfers more clearly. Clerk has adjusted bank reconciliation forms accordingly.
External Audit	Annual	June 2017	<b>External Audit papers will be sent off at the end of June.</b>
Internal Check of Financial Records	Annual	May 2017	The arrangements were found to be adequate to the Council's needs.
<b>Record Keeping:</b>			
Minutes properly numbered, stored, etc.	On-going	N/A	

Asset Register Available/Updated	Minimum twice a year	May 2017	The last review found the bus shelters to have been valued to highly in the past. No further action is required.
Standing Orders Available	On-going	N/A	In line with duties under the new Transparency Code the Standing Orders are available on the Council's website.
Back-up Taken of Computer Records	Weekly	N/A	Stored in Dropbox and on flash drive.
Archived Computer Records	Monthly	June 2017	Backed up on a portable hard drive kept at the Clerk's home and in Dropbox.
<b>Employees and Contractors:</b>			
Contracts of Employment	Annual	May 2017	<b><i>Review to take place in July 2017.</i></b>
Written Arrangements with Contractors	On-going		<b><i>Currently only one in place around maintenance of green spaces - to be reviewed in March 2017.</i></b>
<b>Members' Responsibilities:</b>			
Code of Conduct Adopted	Reviewed once a year	May 2017	
Register of Interests Completed and Updated	Twice a year	May 2017	<b><i>Mini-review to take place later in the year.</i></b>
Register of Gifts/Hospitality	On-going	N/A	Simple form available at each meeting.
Declarations of Interests Minuted	Monthly	N/A	Item to be included on each agenda.

In accordance with the Parish Council's Publication Scheme this document can be purchased for 5p per page, plus postage and packaging. To get a quote for a copy of this document please contact the Clerk to the Parish Council.

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