

Document History:  
Adopted on 11 May 2015  
Last Reviewed: 13 May 2019

To be reviewed: Annually

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# **Hemswell Cliff Parish Council**

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# **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 ( <i>and agreed improvements</i> )
Assets	Protection of physical assets	L	Buildings, structures and assets insured. Value increased annually by RPI. Carry out another cost of re-building exercise in 2019/20.
	Maintenance of equipment, bus shelters, memorials, etc.	M	Buildings currently maintained on an ad hoc basis.
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. Expenditure against budget to

			be reported quarterly if not more frequently.
	Complying with borrowing restrictions	L	No new borrowing likely in 2019/20.
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. Monthly risk assessments at the Ball Park site and Memorial.
	Legal liability as consequence of asset ownership	H	Insurance in place. Monthly risk assessments at the Ball Park site and Memorial. Written records kept. Annual checks by RoSPA of playground facilities at the Ball Park.
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. Regular advice sought from an accountant.
Legal Liability	Ensuring activities are within legal powers	M	Clerk clarifies legal position on any new proposal. Legal advice to be sought where necessary. Clerk to undertake training and continue CPD work towards CILCA.
	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. Gifts and hospitality register is present at each Council meeting. In the future to be included as an agenda item in May and October.

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<b>Parish Council Risk Schedule</b>			
<b>Item</b>	<b>Frequency</b>	<b>Last Reviewed</b>	<b>Control/Comments/Action</b>
Parish Council Insurance	Annual	June 2018	An exercise to gather in quotes needs to take place in May 2019.
<b>Inspections/Maintenance:</b>			
Tree and hedge maintenance	Twice a year and as required	June 2018	
Green Spaces and playing fields	Twice a year	June 2018	
Grit bins	Once a month from September to March	March 2019	
Bus Shelters and Parade Ground Memorial	Twice a year	May 2019	
Inspection of equipment at the Ball Park	Monthly (members)	June 2019	See BP risk assessment.
<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 2018	
Additional Audit Fee	Annual	June 2018	
Annual Salary Review	Annual	May 2018	<b><i>To be reviewed in June 2019.</i></b>
Budget monitored and reported	Quarterly	March 2019	

Budget set and precept requested	Annual	January 2019	
Financial Policy and Procedure Review	Annual	May 2018	To be reviewed at the May APCM
Bank Reconciliations Overseen by Councillors	Monthly	March 2019	Item on each ordinary meeting agenda.
Clerk's Salary Reviewed and Documented	Monthly	May 2019	Salary now in line with the current NJC award 2016-2018.
Internal Audit	Annual	April 2018	2018/19 accounts currently with the internal auditor.
External Audit	Annual	June 2018	External Audit papers will be sent off at the end of June.
Internal Check of Financial Records	Annual	May 2018	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 2019	New grit bin included
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	
<b>Employees and Contractors:</b>			
Contracts of Employment	Annual	May 2018	<b><i>Review to take place in June 2019.</i></b>

Written Arrangements with Contractors	On-going		Correct documentation for the tender and appointment of contractor for Grounds Maintenance.
<b>Members' Responsibilities:</b>			
Code of Conduct Adopted	Reviewed once a year	May 2018	
Register of Interests Completed and Updated	Twice a year	May 2019	Mini-review to take place later in the year.
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.

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