

Acklington Parish Council Agenda

Clerk: Elaine Brown
58 Westmorland Avenue
Newbiggin by the Sea
Northumberland
NE64 6RN
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To Members of Acklington Parish Council: Councillors Newton (Chairman), Critchlow (Vice-Chairman), Barras, Craig, Ingleby, Malone, Mezza, Orr, Price and Thorpe

In accordance with Paragraphs 7 & 10(2) (b) of Schedule 12A of the Local Government Act 1972 and The Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) Regulations 2020, I hereby summon you to attend a Meeting of **ACKLINGTON PARISH COUNCIL** to be held online on Tuesday 2nd March 2021 at 7pm.

Elaine Brown PSLCC, Cert HE (Comm Gov)
Parish Clerk & Responsible Financial Officer

Join Zoom Meeting
<https://zoom.us/j/91934038986>

Meeting ID: 919 3403 8986
Passcode: 507013

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OPEN SESSION

At the invitation of the Chairman to consider any questions from members of the public prior to commencement of the business to be transacted on the agenda. Questions are limited to a 15-minute period or 3 minutes per person.

BUSINESS TO BE TRANSACTED

C062/20 Apologies for absence

To approve any apologies for absence

C063/20 Disclosure of Interests

To disclose any interests in items on the Agenda and the granting of any dispensations

C064/20 Minutes of previous meeting

To approve as a correct record the minutes of the Ordinary Meeting of the Council held 5th January 2021 (pages 4-7)

C065/20 Personnel Committee meetings

- i) To note the minutes of the Personnel Committee meeting held 19th January 2021 for information. (page 8)

- ii) To note the minutes of the Personnel Committee meeting held 9th February 2021 for information (page 9)

C066/20 Standing Item – Report from County Councillor

To receive a report from County Councillor Watson

C067/20 Finance:

- a) Financial Summary at 24th February 2021 Treasurers Account £976.24, Business Bank Instant £12067.98
- b) To note receipt of bank reconciliation and budget monitoring at 24th February 2021 (page 10-11)

c) To authorise payments

Date	Cheque number	Supplier	Reason	Amount
07.01.2021	582	The Pelican	Donation	£100.00
07.01.2021	583	St. John PCC	Donation	£500.00
13.01.2021	584	ICO	Subscription	£40.00
23.02.2021	585	HMRC	PAYE	£45.80
23.02.2021	586	Clerk	Wages/expenses	£193.14

d) To note receipts

Date	Payee	Reason	Amount
09.01.2021	Lloyds	Interest	£0.11
10.02.2021	Lloyds	Interest	£0.10

e) Financial Risk Management and Internal Control

To resolve to agree the Risk Management and Internal Control Policy (pages 16-24)

C068/20 Planning:

a. To consider any planning matters:

20/04349/FUL - Barnhill Farm, Guyzance, Northumberland, NE65 9AG

21/00175/FUL Former Acklington Church Of England First School The Village
Acklington Morpeth Northumberland NE65 8BW

21/00511/FUL Acklington Park Acklington Morpeth Northumberland NE65 9AA

C069/20 Acklington Village Hall Trustee Arrangements

To consider becoming Custodian Trustee to Acklington Village Hall (see Clerk's report page 12)

C070/20 Footpath Working Party Update

To receive the update for information (page 15)

C071/20 Fly Tipping Issues

To consider action following increase in fly tipping

C072/20 Date of Annual Meeting

To agree the date of the Annual meeting of the Council

C073/20 Exclusion of press and public

RECOMMENDED that pursuant to the Public Bodies (Admission to Meetings) Act 1960; that in view of the confidential nature of the business about to be transacted, it is advisable in the public interest that the press and public be excluded and they are instructed to withdraw.

C074/20 Appointment of Parish Clerk

RECOMMENDED that the Council resolve to appoint Clair Lewis as Parish Clerk and RFO

Minutes of Previous Meeting

The minutes of the Ordinary Meeting of Acklington Parish Council held on 7.00pm on 5th January 2021 via Zoom.

PRESENT: Cllrs J Newton (Chair), E Critchlow, D Barras, S Ingleby S Malone, T Mezza, J Price, S Thorpe, and the Parish Clerk Miss E Brown.

Also, present County Councillor J Watson

1 x Member of public

There were no questions from the public in attendance.

C051/20 Apologies for absence

Cllrs Craig and Orr – The apologies were approved.

C052/20 Disclosure of Interests – None.

C053/20 Minutes of previous meeting

RESOLVED that the minutes of the Ordinary Meeting of the Council held 3rd November 2020 be approved as a correct record.

A member queried the siting of the second new noticeboard. The Clerk would progress this agreeing a location outside the Village Hall with Cllr Critchlow out of meeting.

C054/20 Standing Item – Report from County Councillor

County Councillor Watson informed that Druridge Bay Country Park would be remaining open during the current national lockdown. A grant application for insulation improvements for the Village Hall which had initially been turned down after being classed as revenue costs has been appealed by County Councillor Watson and had now been granted on the basis that insulation would be capital costs. The Village Hall had also obtained funding from the developer of Cheviot Meadows. Cllr Malone was requested to follow up developer's commitment to fund a Vehicle Activated Speed sign for the west end of the village.

Elections were still due to take place on May 6th with Purdah starting on 25th March. The Annual meeting of the Council date would need to be changed to take place between 10th May and 24th May.

C055/20 Finance:

- c) Financial Summary on 23rd December 2020 Treasurers Account £4221.84, Business Bank Instant £12067.77
- d) The bank reconciliation and budget monitoring on 23rd December 2020 was received for information.

c) RESOLVED that the payments be agreed.

04.11.2020	576	Cancelled Cheque		£0.00
05.11.2020	577	Poppy Appeal	Wreaths	£50.00

05.10.2020	578	Cancelled Cheque		£0.00
29.12.2020	579	Gustharts	Brushcutters	£2367.00
05.01.2021	580	Clerk	Wages/Expenses	£188.00
05.01.2021	581	HMRC	PAYE	£40.60

d) To note receipts

09.11.2020	Lloyds	Interest	£0.12
09.12.2020	Lloyds	Interest	£0.11

e) Funding requests:

Following discussion, it was **RESOLVED that:**

- I) Pursuant to Local Government Act 1972 s 142, a donation be paid to The Pelican to the amount of £100.
- II) Pursuant to Local Government Act 1972 s 214(6), a donation be paid to Acklington Parochial Church Council towards the maintenance of the Churchyard to the amount of £500.
- III) No donation be paid to Bailiffgate Museum as it's located outside of the Parish boundary and therefore did not meet the Parish Council's policy on donations.

C056/20 Planning:

- b. To consider any planning matters: None.

C057/20 Acklington Village Hall Trustee Arrangements

This matter would be deferred to the March meeting. The Clerk and Cllr Critchlow would look at how to progress this out of meeting.

C058/20 Footpath Working Party Update

All the brush cutting equipment has arrived. Everything is secure under lock and key. Cllr Malone will act as Quartermaster: storing, cleaning, issuing equipment and managing all the H&S documentation. Training for the 6 X Volunteer Brushcutters is being arranged for the 'Brushcutters and Trimmers LANTRA Awards and Rural Skills qualification'. Covid19 restrictions and wet weather may delay the training until early spring. Pigdon Farm Ltd have agreed to open a new Permissive Pathway alongside the East Coast rail line. The 1-kilometre pathway will give walkers easy access from the village to Rake Lane, and the network of footpaths beyond. The Pigdon Farm team are going to refurbish the entry and exit points. The Acklington Community Team have agreed to support the project and will pay for the yellow-topped posts and signage. Weather and Covid-19 permitting, the pathway will open in early spring.

Members noted concern of quad bikes churning up local byways such as Rake Lane and in some cases footpaths which are not open to vehicular traffic. It was suggested to deal with this via publicity, speaking to the various landowners and stakeholders regarding the costs of the damage caused by the quads. County Councillor Watson suggested approaching the

riders, possible physical obstructions to prohibit access by vehicles where they are not allowed and referring to the Police.

C059/20 Recruitment of Parish Clerk

RESOLVED that:

- I)* the Council create a Personnel Committee to undertake the recruitment and interview process and make recommendations to the Parish Council for the meeting scheduled to take place on Tuesday 2nd March,
- II)* Cllrs Barras, Malone, Newton, Price and Craig be delegated to sit on the Personnel Committee
- III)* Standard contractual hours be increased to 8 hours per month
- IV)* The Personnel Committee review the existing terms and conditions of employment in line with Society of Local Council Clerk Model documents.

C060/20 Budget for 2021-22

RESOLVED that the budget for 2021-22, be agreed as attached as Appendix 1.

C061/20 To agree precept request for 2021-22

RESOLVED that the precept be increased to £8000 for the year 2021/22.

Next meeting: Ordinary Meeting of the Parish Council TUESDAY 3rd March January 2021 at
7.00 pm

Appendix 1 – Budget as agreed for 2021-22

Minutes of Personnel Committee meeting 1

Minutes of a Meeting of **ACKLINGTON PARISH COUNCIL Personnel Committee** held online on Tuesday 19th January 2021 at 7pm.

Present: Cllrs J Newton, L Craig, S Malone, J Price

Clerk: Miss E Brown

P01/20 Election of Chairman

It was proposed and seconded that Cllr Craig be elected as Chair for the year 2020-21. No other nominations were forth coming.

RESOLVED that Cllr Craig be elected as Chair.

P02/20 Apologies for absence

No apologies had been received.

P03/20 Disclosure of Interests

No interested were disclosed.

P04/20 Exclusion of press and public

RESOLVED that pursuant to the Public Bodies (Admission to Meetings) Act 1960; that in view of the confidential nature of the business to be transacted, it was advisable in the public interest that the press and public be excluded.

P05/20 Recruitment of Parish Clerk & RFO

- i) Job Description and Person Specification**
- ii) Application Form**
- iii) Advertising vacancy/deadline for applicants**
- iv) Meeting date to consider applications**

RESOLVED that i-iii be accepted with agreed amendments to wording and the next meeting be scheduled to take place at 7pm on Tuesday 9th February 2021.

Minutes of Personnel Committee Meeting 2

Minutes of a Meeting of **ACKLINGTON PARISH COUNCIL Personnel Committee** held online on Tuesday 9th February 2021 at 7pm.

Present: Cllrs L Craig, D Barras, S Malone, J Price and J Newton

Clerk: Miss E Brown

P06/20 Apologies for absence

No apologies had been received.

P07/20 Disclosure of Interests

No Interests were declared.

P08/20 Minutes of Previous Meeting

RESOLVED that the minutes of the meeting held 19th January 2021 be agreed as a true record.

P09/20 Exclusion of press and public

RESOLVED that pursuant to the Public Bodies (Admission to Meetings) Act 1960; that in view of the confidential nature of the business to be transacted, that in the public interest the press and public be excluded and instructed to withdraw.

P10/20 Short listing of applications for the position of Parish Clerk and Responsible Financial Officer

The applications had been circulated to the Committee Members with personal information redacted.

RESOVLED that the two applicants with exemplary applications be invited to interview.

At the discretion of the Chair it was agreed to consider item P12/20 before P11/20

P12/20 Interview arrangements

RESOLVED that the Chairman of the Council conduct the interviews with the other Members of the Committee present and observing. The Clerk would host the interviews on Zoom.

P11/20 Questions for interviews

RESOLVED that the interview questions be agreed and circulated to the Committee Members prior to the interviews.

Interviews to be arranged to take place at 10am and 11am on Saturday 13th February.

The meeting closed at 8pm

Bank Reconciliation and Budget Monitoring

ACKLINGTON PARISH COUNCIL						
Financial Position @ 24/02/2021						
		Budget	Total			
BALANCE B/F @ 1 April 2020			11,575.20			
INCOME:						
VAT Refunds		50	-			
Precept		7,500	7,500.00			
Interest received		6	3.05			
Miscellaneous		5	25.00			
Donations			7,514.25			
		7,561	15,042.30			
EXPENDITURE:						
Clerks Fees		1,050	1,039.05			
Clerks Expenses		230	189.55			
Insurance		280	257.60			
Audit Fees		100	80.00			
Subscriptions/Training		300	130.91			
Miscellaneous		100	15.00			
Donations		1,400	765.00			
Recoverable VAT		50	1,530.29			
Landscaping/Grass Cutting		1,550	1,532.38			
Street Furniture		200	3,787.50			
Play Area		1,600	524.49			
Election Costs		0				
Community Defibrillator		500	1,750.00			
Footpath Warden Scheme		200	2,011.51			
Neighbourhood Plan						
		7,560	13,613.28			
BALANCE C/F			13,004.22			
Balances per Bank Accounts:						
BANK RECONCILIATION						
Current Account			976.24			
High Interest Account			12,067.98	40.00		
			13,044.22			
					Unpresented cheques	
					584	40.00
	Earmarked Funds					
	B/F	11,575.20	including transfer from balances			£40.00
	Transfers	3,550.00				
	Grants received	7,514.25				
	Expenditure to date	9,731.54				
			12,707.91			
Working Balance			336.31			

Clerks Report

1. Financial Risk Management and Internal Control

The risk Management Scheme was due for reviewing in May 2020 but has not been done to date. Assertion 2 and 5 of the Annual Governance Statement require the Council to confirm that:

We maintained an adequate system of internal control, including measures designed to prevent and detect fraud and corruption and reviewed its effectiveness, and

We carried out an assessment of the risks facing this smaller authority and took appropriate steps to manage those risks, including the introduction of internal controls and/or external insurance cover where required.

RECOMMENDED that the Risk Management Scheme be approved and reviewed again in May 2021 when the new Clerk is in position.

2. Acklington Village Hall Custodian Trusteeship

This is a very common arrangement where a Council uses its corporate status as a Local Authority to become the Custodian Trustee of the property title, on behalf of the Charity.

The Charity, as an unincorporated body does not have a 'legal personality' in law and cannot hold the title to property in its own name. However, whilst the vast majority of Village Halls are unincorporated, a few Charities have become 'incorporated' as Charitable Companies and others are converting to Charitable Incorporated Organisations (CIO), which does enable them to hold the title without a Custodian Trustee.

The Public Trustee Act 1906, section 1, provides the power to act as Custodian Trustee and section 4, determines the limited role of the Custodian Trustee.

This does not mean that the Council owns the property. That belongs to the Charity, which is managed by the Charity Trustees (the Committee) and is entirely independent from the Council.

From the Council's perspective, as Custodian Trustee the Council has no obligations for the Charity, other than acting under any lawful instruction given by the Committee in the context of the property title.

If the Charity has any difficulty, the Council as Custodian Trustee is under no obligation to help. It may, and hopefully chooses to do so, in order to maintain and support a valuable community asset. The Committee cannot simply abandon the Charity with the assumption that the Council will 'take over'. That would be a fundamental 'breach of trust' on their part. Importantly, the Custodian Trustee has no powers to administer the Charity under the 1906 Act or the Charity's Governing Document and should not seek to do so.

Sadly, there are instances where the Council has misunderstood its limited role as Custodian Trustee and assumed not only an administrative role, but also a dictatorial position over the Committee on the basis that it owns the property, when in fact it does not!

In the event that the Committee does ask the Council to 'take over' their role of managing the charity a 'Sole Trustee' should apply.

Sole Trustee

The terms 'Sole Trustee' is exactly what is implied; one trustee who undertakes all aspects of administration for a charity such as a Village Hall or Community Centre. However, as stated above, the Council is under no obligation to become 'Sole Trustee', even if it is already the Custodian Trustee.

The Charity Commission regard the appointment of a Council as Sole Trustee as a last resort to overcome a failing administration.

Should the Council agree to become the Sole Trustee, in order to preserve a community asset, there are number of issues to be considered.

- The involvement of the Charity Commission (CC) is necessary.
- It may be necessary for the Governing Document to be amended or replaced or a Deed of Appointment written.
- The property will still belong to the Charity and cannot become part of the Council's asset inventory.
- The Hall must be administered in accordance with Charity Law and Governing Document.
- There is a requirement to administer separate meetings, minutes and accounts for the charity.
- Monies held by the Charity cannot be transferred to the Council.
- Reporting to the Charity Commission on an annual basis is mandatory.
- There is no obligation to maintain the property at public expense.

Particular note should be made of the following section about insurance.

Insurance

Because the Council does not own the property either as Custodian Trustee or Sole Trustee, it has no 'insurable interest'. Only the Charity has the 'insurable interest' whose principle was established under the Marine Insurance Act 1906.

Insurable interest is attained where a property owner can suffer a loss, through whatever event prevails. Because the Council does not own the property, it has no insurable interest.

The Charity must have appropriate insurance in its own name and not be insured as part of the Councils assets.

Land Registry

Further confusion can exist with Land Registry documents where a Solicitor, without appropriate Charity Law knowledge has also misunderstood the Trustee issue and its applicable law.

Where there is a legal requirement to register the property at the Land Registry the Council's name will appear in the 'Proprietorship Register'. This does not mean that the property belongs to the Council, who simply lend their legal form to hold the title as a Trustee.

To avoid confusion at a later date, which is an all too common occurrence, the wording in the Proprietorship Register should read: "[Name of Parish Council] as custodian [or Sole] trustee of the [name of village hall]".

With this inclusion, the relationship is clarified for the future.

Assets register

As a Custodian Trustee the Village Hall is not an asset of the Parish Council but under proprietorship it should be listed on the Asset Register with a £0 balance.

RECOMMENDED that the Parish Council resolve to become Custodian Trustee of the Village Hall.

3. Fly Tipping

Concern has been raised that fly tippers are blighting the Parish with their construction waste, household rubbish and unwanted items. The fly tipping has been reported to Northumberland County Council and has subsequently been removed.

- It is estimated to cost £100-£150 million every year to investigate and clear up fly-tipping, and this cost falls on taxpayers and private landowners.
- Fly-tipping poses a threat to humans and wildlife, and damages our environment.
- Areas subjected to repeat fly-tipping may see a decline in property prices, and local businesses may suffer from people staying away.

Concerns of Fly tipping was last discussed by the Parish Council in July 2019 when it was agreed to publish an article giving advice on the responsibility of waste and how to report fly tipping in the Pelican.

The Parish Council do not have any powers in relation to fly tipping.

RECOMMENDED that the Parsih Council raise the issue with Northumberland County Council and refresh publicity on the responsible disposal of waste.

Footpath Restoration Plan

Progress Report: March 2021



The brushcutting equipment is in secure storage. The equipment will be put to good use clearing overgrown vegetation from stiles, gates and pathways. Government restrictions permitting.



Volunteer Training. A company called Landbased Training <https://www.landbasedtrainingltd.co.uk/> will train the 6 X Brushcutter Volunteers to LANTRA Awards and Rural Skills qualification standard. Government restrictions permitting.



A supply of treated, wooden fence posts have been gifted by ACT. The tops of the fence posts will be painted yellow and run the length of the new, 1 kilometre permissive path (300 metres west of the village hall). Government restrictions permitting.

You are invited to walk this Permissive Pathway by kind permission of Pigdon Farm Ltd.

Vehicles, and motorcycles are not permitted to use this route.

It is not intended that this pathway should ever become a public right of way.

This pathway may be closed on a temporary, or permanent basis at any time in the future as the owner so wishes.

Permissive pathway signs have been gifted by ACT. The signs will be posted at either end of the new, 1 kilometre permissive path. Government restrictions permitting.

ACKLINGTON PARISH COUNCIL

RISK MANAGEMENT SCHEME

Introduction

This document sets out the framework on which risk management processes at Acklington Parish Council are based. This framework should assist in ensuring that a consistent approach is taken across the Council for the identification, assessment and evaluation of risks, and for ensuring that actions are proportionate to identified risks, thereby efficiently and effectively utilising resources and maintaining a balance between risks and controls. Risk management will strengthen the ability of the Council to achieve its objectives and enhance the value of services provided.

Risk Management

Risk – *‘Risk is the combination of the probability of an event and its consequence. Consequences can range from positive to negative’.*

Risk Management – *‘Process which aims to help organisations understand, evaluate and take action on all their risks with a view to increasing the probability of success and reducing the likelihood of failure.’* [Institute of Risk Management (IRM)]

Risk management is an essential feature of good management and applies to all aspects of the Council’s business.

There is an Audit requirement under the Accounts and Audit (England) Regulations 2015 s.3 to establish and maintain a systematic strategy, framework and process for managing risk. Risks and their control will be collated in a Risk Register. A statement about the system of internal control and the management of risk will be included as part of the Annual Statement of Accounts and summarised in the Council’s Business Plan.

Implementing the Strategy involves identifying, analysing/prioritising, managing and monitoring risks.

Risks Types

Compliance Risk – failure to comply with legislation or laid down procedures or the lack of documentation to prove compliance. Risks exposure to prosecution, judicial review, employment tribunals, inability to enforce contracts etc.

Financial Risk – fraud and corruption, waste, excess demand for services, bad debts. Risk of additional audit investigation, objection to accounts, reduced service delivery, dramatically increased Council tax precept levels/impact on Council reserves.

Operating Risk – failure to deliver services effectively, malfunctioning equipment, hazards to service users, the general public or staff, damage to property. Risk of insurance claims, higher insurance premiums, lengthy recovery processes.

Not all these risks are insurable and for some the premiums may not be cost-effective. Even where insurance is available, money may not be an adequate recompense. The emphasis should always be on eliminating or minimising risk. Risk can be connected to opportunities as well as potential threats.

Risk Identification – Identifying and understanding the hazards and risks facing the Council is crucial if informed decisions are to be made about policies or service delivery methods. The risks associated with these decisions can then be effectively managed.

Risk Analysis – Identified risks need to be systematically and accurately assessed using proven techniques. Analysis should make full use of any available data on the potential frequency of events and their consequences.

Risk Prioritisation – An assessment should be undertaken of the impact and likelihood of risks occurring, with impact and likelihood being scored Low (L), Medium (M) and High (H). The scores for both impact and likelihood are scored in this manner. Risks scoring High will be subject to detailed consideration and preparation of a contingency/action plan to appropriately control the risk.

Risk Control – Risk control is the process of taking action to minimise the likelihood of the risk event occurring and/or reducing the severity of the consequences should it occur. Typically, risk control requires the identification and implementation of revised operating procedures, but in exceptional cases more drastic action will be required to reduce the risk to an acceptable level.

Options for control include:

Tolerate – documenting a conscious decision after assessment of areas where the Council accepts or tolerates risk.

Treat – loss control measures are implemented to reduce the impact/ likelihood of the risk occurring;

Transfer – the financial impact is passed to a third party or by way of insurance. This is good for mitigating financial risks or risks to assets;

Terminate – the circumstances from which the risk arises are ceased so that the risk no longer exists;

Risk Register –Details on the impact and likelihood matrix are included below.

Risk Monitoring – The risk management process does not finish with putting any risk control procedures in place. Their effectiveness in controlling risk must be monitored and reviewed. It is also important to assess whether the nature of any risk has changed over time.

The information generated from applying the risk management process will help to ensure that risks can be avoided or minimised in the future. It will also inform judgements on the nature and extent of insurance cover and the balance to be reached between self-insurance and external protection.

Roles and Responsibilities -

Councillors – risk management is seen as a key part of the councillors' stewardship role and there is an expectation that Elected Members will lead and monitor the approach adopted. This will include:

Approval of the Risk Management Strategy;

Parish Clerk/RFO – will ensure that Risk Management is an integral part of any service review process, ensure that recommendations for risk control are detailed in service review reports and will lead in developing and monitoring Performance Indicators for Risk Management.

Role of Internal Audit – the Internal Auditor provides an important scrutiny role carrying out audits to provide independent assurance to the Council. Internal Audit assists the Council in identifying both its financial and operational risks and seeks to assist the Council in developing and implementing proper arrangements to manage them, including adequate and effective systems of internal control to reduce or eliminate the likelihood of errors or fraud.

Training – Risk Management training will be provided to key staff. Councillors will receive appropriate briefings.

Risk Assessment and Management (Financial & Business) for the Period 1st April 2020 to 31st March 2021

L (Low) M (Medium) H (High)

Financial:

Business Continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	H	The Council needs to develop and adopt a business continuity plan	Develop and adopt Plan and review when necessary
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Income

<u>Topic</u>	<u>Risk Identified</u>	<u>Likelihood</u>	<u>Financial Impact</u>	<u>Management of Risk</u>	<u>Action</u>	<u>Frequency</u>	<u>Ownership</u>
Precept	Not Submitted	L	H	Council Minute Check and Report	Diary Diary/Bank Statement	Annual	Clerk
	Not Paid by Principal Authority	L	H			6 monthly	Clerk
	Adequacy of Precept	H	H	Bi- monthly Review of budget to actual	9month budget review	Ongoing	Clerk Council
Charges	Invoices not paid	L	M	Register to invoice Issue of Receipt Segregation of duties	Reconciliation	Annual	Clerk
Income	Surplus funds	L	M	Review annually at year end		Annual	Councillors Clerk

Financial: Expenditure

<u>Topic</u>	<u>Risk Identified</u>	<u>Likelihood</u>	<u>Financial Impact</u>	<u>Management of Risk</u>	<u>Action</u>	<u>Frequency</u>	<u>Ownership</u>
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Salaries	Wrong salary paid	L	L	Payroll calculation available for checking by Council	Payroll Check	On review	Clerk Council
	Wrong hours paid	L	L				
	Wrong Rate of pay	L	L				
	Wrong deductions - NI/Tax	L	M			6 monthly	Clerk
Direct Costs and Overhead expenses	Goods not supplied	M	M	Order system	Approval check App. Check	Monthly	Clerk
	Invoice incorrectly calculated	M	L	Check arithmetic		Monthly	Accounts Councillors
	Cheque payable to wrong party	M	M	Invoice initialled by signatories			
Grants	Power to Pay	M	M	Minute power Minute Signatory signed (3)			Councillors Councillors Councillors
	Agreement of Council to pay	L	L				
	Cheque	L	L				
Election Costs	Invoice at agreed rate	L	L	Accrue annually	Budget review	Annual	Councillors
Vat irrecoverable	Vat Analysis	M	L	All items in cash book	Verify	Quarterly	Accounts
Reserves General	Adequacy	L	M	Consider at budget setting	RFO	Annual	Councillors
Reserves Earmarked	Adequacy	L	M	Consider at budget setting and year end	RFO	Annual	Councillors
Assets	Loss, damage etc.	M	H	Regular inspections, update insurance and register	Diary	Annual	Clerk Councillors. Councillors
	Risk to third party	M	M	Review adequacy of public liability insurance			
Staff	Loss of key personnel	L	H L	Hours, health, stress etc.	Committee Council	Annual	Councillors Councillors
	Fraud by staff	L		Fidelity guarantee insurance			
Loss	Consequential loss due to critical damage or third party performance	L	M	Insurance cover review adequacy		Annual	Councillors

<u>Topic</u>	<u>Risk Identified</u>	<u>Likelihood</u>	<u>Financial Impact</u>	<u>Management of Risk</u>	<u>Action</u>	<u>Frequency</u>	<u>Ownership</u>
Cash	Loss through theft or dishonesty	L	L	No cash handling in place	Council	Annual	Councillors
Maintenance	Poor perf. of assets or amenities	L	M	Regular maintenance inspections		Ongoing	Clerk
Borrowing	Adequacy of finances to repay loans	M	M	Financial review and cash flow forecasting			Accounts Councillors
Legal Powers	Illegal activity or payment	L	L	Education of members as to the legal powers			Councillors Clerk
Financial Records	Inadequate Records	L	L	Regular internal audit and year end health check	Internal Auditor Accountant	6 monthly Annual	Accounts Clerk
Medium Term Financial Plan	Need to plan for longer term	M	H	Prepare and maintain MTFS	Review	Annual	Councillors Clerk

Operational

<u>Topic</u>	<u>Risk Identified</u>	<u>Likelihood</u>	<u>Impact</u>	<u>Management of Risk</u>	<u>Action</u>	<u>Frequency</u>	<u>Ownership</u>
Insurance Cover for Council	Risk to finances, staff and third parties if inadequate cover	L	H	Buildings & Land Contents Equipment Fidelity Theft Personal Injury (Members/ Officers) Public Liability Slander/Libel Employer Liability External Events	Monitor Cover and update as necessary	Ongoing	Clerk

Workplace Security	Risk to staff, damage to building/contents & data	M	H	Maintain security of building, alarms, back up files offsite, fire safety, password protect computer data	Monitor and maintain	Ongoing	Clerk
Regular maintenance of assets	Risk to staff & third parties also of loss or damage	M	M	Annual Business Risk Assessments completed Adequate legislative safety checks of assets	Monitor	Ongoing	Clerk
Asset Register	Risk if assets not properly recorded & valued	L	M	Accurate & timely	Monitor	Ongoing	Clerk
Newspage	Threats to preparation/delivery	L	L	Ensure slot booked with The Ambler	Early preparation	Bi-Monthly	Clerk
Council Liability	Lone person working compliance with law	L	M	Introduce Lone Working Policy	Monitor & review	Ongoing	Clerk
	Contract of Employment	L	L	For all staff	Monitor & review	Ongoing	Clerk
	Duty of Care to visitors, staff and councillors	M	H	Adequate insurance, risk assessments and action plans	Monitor & review	Ongoing	Clerk
	Other Employment Conditions compliance with legislation	L	M	Review terms & conditions, contracts, development reviews & insurance	Monitor & review	Ongoing	Clerk

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	Loss of Key Staff	L	H	Need contingency arrangements and succession planning	Monitor & review	Ongoing	Clerk
	Councillors- must be adequately advised of their responsibilities and culpability.	L	M	Induction & refresher training	Monitor	Ongoing	Clerk
Health and Safety	Responsible for Members, Employees, Public & Contractors	M	H	Need regular Safety risk assessments both general and specialist, safety policy and safe working procedures.	Need review of risk assessments & SWP	Ongoing	Clerk
Town & Country Planning	Adverse effect on community amenities if fail to respond to Planning applications or Local Plan consultations	L	M	Need for Council to respond. Need guidance and processes	Review & follow processes	Ongoing	Clerk

Training	Essential for councillors & staff if to reach potential	M	M	Need annual training plans & to implement them	Prepare and monitor	Ongoing	Clerk
Freedom of information	Need to respond to requests	L	H	Procedure to be accurate and timely	Monitor & report	Ongoing	Clerk
Governance Documents	Interrupt operations if not current & following best practice	L	M	Keep up to date and in line with best practice	Review	2 years	Clerk
Press releases	Comply with publicity code	L	M	Review & monitor	Monitor	Ongoing	Clerk
Data Protection	Need to keep data secure	L	M	Need operational procedures	Monitor	Ongoing	Clerk
Byelaws	Reference to models when adopting	L	L	Not currently applicable			
Archiving documents	Security and statutory retention periods	L	M	Needs to be in accordance with a document retention policy	Monitor	Ongoing	Clerk
Public Access	Public need to be able to access services according to need & safely	L	M	Services available at stated times. Subject to safety inspections	Monitor	Ongoing	Clerk
Administration	Needs to be effective	M	M	Review & introduce procedures	Review & monitor	Ongoing	Clerk

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Contracts	Compliance with legislation/ governance documents when letting	L	H	Prepare specification, determine on price and quality	Monitor	Ongoing	Clerk
	Risk to performance and cost if not properly monitored	L	H	Monitor against specification and price	Monitor	Ongoing	Clerk
Compliance							
Minutes	Accurate and Legal	L	L	Approved at following meeting			
Confidential Matters	Accurate and Legal	M	H	Need to be on agenda and minutes need to be public	Review & follow process	Ongoing	Clerk

Members Interests	Conflict of Interest	M	L	Update declarations of interest Recording on minutes of declarations		Annual Monthly	Councillors Clerk
Councillor Declarations	Accurate and Legal	H	M	Need copy on Website or link to Central Beds.	Review & follow process	Ongoing	Clerk
Dispensations	Not compliance with legislation	H	H	Require individual applications and approvals	Review & follow process	Ongoing	Clerk
Budget & Precept	In accordance with legislation	L	H	Compliance, advice by accountant	follow process	Annual	Clerk Accountant
Accounts & Annual Return	In accordance with Regulations	L	H	Compliance with Regulations	follow process	Annual	Clerk RFO
Audit process	Internal or external not following Regulations	L	H	Compliance with Regulations	follow process	Annual	Clerk RFO
Website	Not compliant with Transparency Code	L	M	Review in line with Code	Review & follow process	Ongoing	Clerk
Code of Conduct	Compliant with legislation & best practice	M	M	Code & procedures kept current	Renew or add guide	Annual	Clerk Accountant
Agendas and Notices	Not complying with legislation	L	H	Follow legislation. Use term "Summon"	Review & follow process	Ongoing	Clerk
Freedom of Information	Legal	M	M	Follow legislation, allow request by letter/email	Review & follow process	Ongoing	Clerk
Publication Scheme	Legal	H	M	Use latest model	Review & follow process	Ongoing	Clerk
Data Protection	Legal	L	H	Ensure registration & follow guide	Monitor	Ongoing	Clerk
Newsletter	Compliance with Publicity Code	L	L	Check content against Code	Monitor	Monthly	Clerk
Charitable Trust	Understanding responsibilities			No trusts operated by Council			
Statutory Governance Documents	Not compliant with legislation or current	L	H	Regular Reviews	Monitor	Annual	Clerk