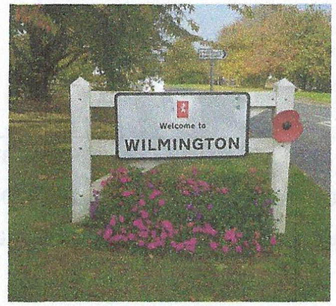

WILMINGTON PARISH COUNCIL

Parish Council Risk Management Plan Assessment

Introduction

The greatest risk facing a Local Authority is not being able to deliver the activity or services expected of the Council

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the Council to identify any and all potential risks inherent in the place or practices. Based on a recorded assessment the Council should then take all practical and necessary steps to reduce or eliminate the risks, insofar as practically possible.

This document has been produced to enable the Council to assess the risks that it faces and be satisfied that it has taken adequate steps to minimise them. In conducting this exercise, the following plan was followed –

- Identify the area to be reviewed
- Identify what the risk might be
- Evaluate the management of the risk and record all findings
- Review, assess and revise if required

Financial and Management

Topic	Risk	H/M/L	Management of Risk	Review/Assess/Revise
Business Continuity	Risk of Council not being able to continue its business due to an Unexpected or tragic circumstance	L	The small scale of the functions of the Council would be supported through NALC membership	Review Plan and instigate mitigation dependent on specific circumstances when necessary
Precept	Adequacy of Precept	L	To determine the Precept amount required, the Parish Council regularly receives budget update information, and the Precept is an agenda item at Full Council. At the Precept Meeting the Council receives a budget update report, including actual position and projected position to end the year and indicative figures or costings obtained by the Clerk; with this information the Council maps out the required monies for standing costs and projects for the following year and applies specific figures to budget headings, the total of which is resolved to be the Precept amount to be requested from the Borough Council.	Existing procedure adequate
	Requirements not submitted to Borough Council	L	The figure is submitted by the Clerk in writing to the Borough Council in January and reported at Full Council	Existing procedure adequate
	Amount not received from Borough Council	L	The Clerk informs Full Council when the monies are received (Normally in two instalments by 1st April and 1st September	Council has sufficient Reserves to mitigate against late payment

Financial Records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations and Standing Orders which set out the requirements to prevent this	Existing procedure adequate. Review the Financial Regulations as required and at least annually

Bank and Banking	Inadequate checks	L	The Council has Financial Regulations which set out the requirements for banking cheques and reconciliation of accounts	Existing procedures adequate. Review the Financial Regulations when necessary and bank signatory list when necessary, especially after an Annual Meeting and an election. Verification of the bank statements on receipt
	Bank mistakes Loss Charges	L L L	Banks do make occasional errors in processing cheques which are discovered when the Clerk reconciles the banks accounts when the monthly statements arrive. Any anomalies are dealt with immediately by informing the bank and awaiting their correction	
Cash	Loss through theft or dishonesty	L	The Council has Financial Regulations which set out the requirements. Cash received is banked immediately. There is no petty cash or float	Existing procedure adequate. Review the Financial Regulations when necessary
Reporting and Auditing	Information communication	L	At each Full Council Meeting a bank reconciliation and a breakdown of receipts and payments balanced against the bank statement are produced	Existing communication procedures adequate
	Compliance	M	Council to audit internally to comply with the Fidelity Guarantee	Periodic review by the Lead Member for Finance

Direct costs Overhead expenses Debts	Goods not supplied but billed Incorrect invoicing Cheque payable incorrect Unpaid invoices	L L L L	The Council's Financial Regulations set out the requirements Where arising invoices awaiting approval are distributed to Members and considered Where necessary, a signatory is nominated to check each invoice against the cheque book and associated paperwork Unpaid invoices to the Council for services are pursued and where possible payment obtained in advance	Existing procedures adequate. Review the Financial Regulations where necessary
Grants and support payable	Power to pay Authorisation of Council to pay	L	All such expenditure goes through the required Council process of approval, minuted and listed accordingly Any payment made is under the S137 power of expenditure	Existing procedure adequate

Grants receivable	Receipt of grants	L	The Council does not receive regular grants. New grant applications would require conditions to be satisfied	Procedure to be dependent on the nature of an application
Best Value accountability	Work awarded incorrectly Overspend on services	L M	Normal Council practice would be to seek, if possible, more than one quotation for any substantial work to be undertaken or goods. For major contract services. Formal competitive tenders would be sought If a problem is encountered with a contract the Clerk would investigate the situation, check the quotation tender, research the problem and report to Full Council	Existing procedure adequate. Review Financial Regulations where necessary

Salaries and associated costs	Salary paid incorrectly Wrong hours paid Wrong rate paid Wrong deductions of tax or NIC Unpaid tax or NIC to HMRC	L L L L L	The Council authorises the appointment of all employees. Salary rates are assessed annually in line with the contract of employment with any increase/decrease implemented on following 1st April. Salary analysis and slips are produced by the Clerk monthly together with a schedule of payments to HMRC. Tax and NIC is computed using the HMRC Basic Tools computer programme with the software updated on prompt by HMRC. All tax and NIC are submitted by RTI reporting The Clerk is not required to keep a time sheet as hours exceed contracted hours regularly and any excess beyond those willing to be worked are negotiated. All employees have a contract of employment and job description	Existing appointment and payment systems are adequate
Employees	Loss of key personnel Fraud by staff Actions undertaken by staff	L L L	Council Chairman to take immediate action to provide cover The requirements of the Fidelity Guarantee insurance to be adhered to with regards to fraud Employees should be provided with relevant training. Access to assistance to undertake their role	Existing procedure adequate Existing procedure adequate Clerk's membership of SLCC and courses arranged when necessary

Employees cont'd	H&S	I	Employees should work in a safe environment	Monitor working conditions, safety requirements and insurance regularly
Councillor Allowances	Members overpaid Incorrect income tax deductions	L	No allowances are paid to Members	No procedure required

Election costs	Risk of an election cost	L/M	Risk is higher in an election year. There are no measures that can be adopted to minimise the risk of having a contested election as this is a democratic process and should not be stifled. An annual budget provision made and an Identified Reserve held	Existing procedure adequate
VAT	Claiming	L	The Council has Financial Regulations which set out the requirements	Existing procedures adequate
Annual Return	Submit within time limits	L	Council's Annual Return is completed and submitted within the prescribed timeframe by the Clerk. The Return is signed by the Chairman, submitted to the Internal Auditor for completion and signing then checked and submitted to the External Auditor within time limit	Existing procedure adequate
Legal powers	Illegal activity or payments	L	All activity and payments within the powers of the Council to be resolved and minuted at Full Council, including a reference to the power used	Where necessary powers to be minuted
Minutes. Agendas, Notices Statutory Documents	Accuracy and legality Business conduct	L L	Minutes and Agendas are produced in the prescribed method by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council Meeting. Minutes and Agendas are published according to the legal requirements Business conducted at Council Meetings are managed by the Chairman with advice from the Clerk	Existing procedure adequate Guidance to Chairman (if required. Members to adhere to the Code of Conduct

Members Interests	Conflict of interest Register of Members Interests	L M	Although not a requirement, the declaring of interests by Members at a Meeting should be an obvious process but a reminder to Members of their duty should appear on the Agenda Register of Members Interest should be reviewed regularly by Members	Existing procedure adequate Members take responsibility to update their Register of Interests
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken in advance of the policy renewal of all arrangements in place Employers and Employee Liability insurance is a necessity and must be paid for Ensure compliance measures are in place Ensure Fidelity checks are in place	Existing procedure adequate Review provision annually Review compliance
Data protection	Policy/Provision	L	Council is registered with the ICO	Ensure annual registration
Freedom of Information	Policy Provision	L M	Council has a model publication scheme for Local Councils in place Although the last FOI request was made 15 years ago, from that experience. the Clerk is aware that if a substantial request arrives then this may require many hours of additional work. The Council is able to request a fee if the work will take more than a specified number of hours; however, the applicant also has a right to resubmit the request broken down into sections thus negating the payment of a fee	Monitor and report to Chairman any impacts of requests made under the FOI Act

Facilities, Equipment and Areas of Land

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess /Revise
Assets	Loss or damage Risk/damage to third Party/property	L L	Periodic, at least annually review of assets is Undertaken for Insurance purposes and for storage and maintenance provisions	Existing procedures adequate
Maintenance	Poor performance of assets or amenities Loss of income Risk to third parties	L L L	All assets owned by the Council are regularly reviewed and maintained. All repairs and associated expenditure are actioned/authorised in accordance with the Council's procedures. All assets are insured and reviewed annually All public amenity land is inspected regularly by the Council's Groundsman	Existing procedures adequate
Notice Boards	Damage or injury to third parties Roadside Safety	L L	Council has notice boards sited around the Parish. Where necessary, locations have the approval of relevant parties and are insured. Notice boards are regularly inspected by the Parish Groundsman and any repairs or maintenance brought to the attention of the Clerk	Existing procedure adequate
Street Furniture	Damage or injury to third parties Roadside safety	L L	Council is responsible for village signs, bus shelters, benches some streetlights around the village and other items such as litter bins (all identified in the Asset Register). All items are covered by insurance. Regular inspections are carried out by the Parish Groundsman or external contractor, and all reports of damage reported to the Clerk to take the appropriate action	Existing procedure adequate
Meeting location	Adequacy Health & Safety	L L	The Council meets at Oakfield Park Pavilion which is owned and managed by the Council. The venue is considered to be adequate for the Clerk, Members and public present and meet H&S and comfort requirements	Existing location adequate

Council's records - paper	Loss through theft, fire or damage	**L**	The Council's records held, to comply with the Council's Retention Policy, are stored in the Clerk's Office. Records such as correspondence, personnel, insurance, salaries etc are stored in metal filing cabinets. Minutes Book and Conveyancy documents are stored in metal safe	Damage (apart from fire and theft is unlikely so provision adequate
Council's records - electronic	Loss through theft, fire, damage Corruption of computer	**L/M**	The Council's electronic records are stored on the Office computer. Back-ups of certain files (e.g. Basic Tools – HMRC & CY Minutes) are carried out at regular intervals	Existing procedures considered adequate

Date of Review – 7th January 2026