

LANESHAW BRIDGE PARISH COUNCIL

Risk Management Register

DOCUMENT INFORMATION

Issue Date:	
Effective From:	
Scope of Document:	A record of actions agreed to address or reduce identified risks to the Council
Objective:	To record mitigating actions to address or reduce all identified risks to the Council
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Authorised by:	Laneshaw Bridge Parish Council
Date Adopted:	12 th June 2021
Review date:	September 2021

Please note that in assessing risk, consideration should be given to the likelihood of the occurrence and the effect it would have.

Reviews of risks will be held a minimum of once yearly or whenever there is an envisaged change in responsibility.

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1 Objective at Risk: Control over funds

Item	Risk Identified	Rating	Responsibility	Action
Precept	Failure to calculate / submit precept request on time	Medium	Clerk	<ul style="list-style-type: none"> - confirm submission dates with Pendle Borough Council - prepare draft budgets in sufficient time - prepare and submit precept request in sufficient time
Precept	Inadequacy of precept	Medium	Members Clerk	<ul style="list-style-type: none"> - thorough calculation and breakdown of proposed precept - build a reserve of one year's precept amount to carry forward - quarterly review of budget to actual expenditure - build a reserve of funds to carry forward
Election Costs	Inadequacy of projected election costs	Medium	Members Clerk	<ul style="list-style-type: none"> - standard election costs will normally be advised by Pendle Borough Council. Around £5000 Borough Council after elections for inclusion in the following year's precept. Any additional costs e.g. for by-elections to be paid for from the contingency figures incorporated in the budget
Records	Failure to maintain proper accounting records	Medium	Members Clerk	<ul style="list-style-type: none"> - recruit suitably competent / qualified Clerk - prepare comprehensive job description - quarterly review of accounts - review reports from internal and external auditors - enable training, purchase of accounting software etc - prepare and have approved accounting system - ensure records kept up to date monthly as a minimum
Income	Failure to account for income properly	Medium	Members Clerk	<ul style="list-style-type: none"> - receive and review reports of all income received - quarterly review of balance sheet - advise Council at next meeting of all receipts

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				- bank income cash and cheques immediately (when appropriate)
Expenditure	Failure to account for expenditure properly	Medium	Members	- review annual budget calculation - quarterly review of expenditure against budget - inspect and authorise invoices - to be available at council meetings - periodically review bank reconciliations
			Clerk	- enter all invoice details into cash book immediately - maintain adequate analysis of all payments made by category - cross reference all payments to invoices - list all payments due at each meeting
Donations and Financial Support	Insufficient audit trail of requests to the Council, and insufficient evidence of Council agreement to pay	Medium	Clerk	- retain letters from parties requesting grants e.g. initial request, thanks after the donation and receipts - request and retain completed Grant Application Form - minute Council agreement to all donations - payment to be authorised by the required signatories
Overspend	Failure to stay within agreed budgets	Medium	Clerk	- maintain full records of all payments - produce regular variance analysis of payments against budget - advise members if liable to overspend.
Reserves	Holding excessive or inadequate reserves	Medium	Clerk	- periodically review variance analysis
			Members	- calculate anticipated reserves position at the end of each financial year and review for adequacy / appropriateness. Aim for one years precept amount at year end.
Annual Return	Failure to complete / submit Annual Return on time	Low	Clerk	- check and diarise cut-off dates for submission of Annual Return to external auditors - ensure that accounts are prepared in adequate time for submission

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Fraud	Fraud by Clerk	Medium	Members	<ul style="list-style-type: none"> - recruit suitably qualified / competent Clerk, after checking references as appropriate - periodically review accounts - periodically review bank reconciliations - receive and review reports by internal and external auditors - obtain adequate insurance cover i.e. Fidelity cover
Fraud	Fraud by Members	Low	Clerk	<ul style="list-style-type: none"> - restricted access to cheque books/bank accounts - review and reconcile bank statements on receipt
Value	Failure to achieve best value	Low	Members	<ul style="list-style-type: none"> - in accordance with the Financial Regulations Policy - issue tenders of all major purchases - aim to obtain 3 quotes wherever feasible in line with the Council's Financial Regulations Policy
VAT	Failure to account for and recover VAT	Low	Clerk	<ul style="list-style-type: none"> - regularly review VAT status and VAT position - maintain separate records of all VAT paid - submit completed claim to HMRC annually

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2 Objective at risk: Providing the local community with the opportunity to participate.

Item	Risk Identified	Rating	Responsibility	Action
Vacancies	Failure to attract sufficient candidates for member vacancies	Low	Members	<ul style="list-style-type: none"> - actively publicise Council activities - seek candidates amongst friends and colleagues
			Clerk	<ul style="list-style-type: none"> - publicise vacancies on notice boards, website and social media - publicise in local papers
Quorum	Failure to achieve quorum at meetings	Medium	Clerk	<ul style="list-style-type: none"> - issue annual meeting calendar to all members - issue meeting agendas in accordance with regulations - maintain attendance register - contact members should any fail to attend meetings without apology
Public Participation	Lack of public participation at meetings	Low	Clerk	<ul style="list-style-type: none"> - ensure notice of meetings are posted in notice boards, website and social media - include public participation on all agendas - ensure seating available at venue for public - ensure proceedings are audible e.g. use of microphone where appropriate - publish agendas and minutes on website - publish annual meeting calendar on website
Public Consultation	Lack of public consultation by members	High	Members	<ul style="list-style-type: none"> - maintain regular contact with local residents - publicise address and contact details - include contact details on website
Representation	Members acting alone outside meetings	Medium	Members	<ul style="list-style-type: none"> - obtain and read 'Councillor Guide' - avoid making commitments on behalf of the council - attend relevant training courses

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Publicity	Bad publicity	High	Members	<ul style="list-style-type: none"> - have all press releases reviewed by Chair and Clerk before release - if speak to the press outside meetings make it clear in which capacity you are speaking e.g. as a member of the public
Allegations	Allegations of libel or slander	Medium	Members	<ul style="list-style-type: none"> - have all press releases or newsletter articles reviewed by Chair and Clerk before release - obtain insurance against possible actions
Non-activity	Council decisions not implemented	Medium	Members	<ul style="list-style-type: none"> - review minutes for confirmation of action - review Clerk's report for confirmation of action - review correspondence as necessary
Document Control	Inadequate document control	Low	Clerk	<ul style="list-style-type: none"> - obtain Chair's signature on approved minutes - retain signed minutes - maintain regular back-ups of all computer records - retain all records for required legal period

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3 Objective at risk: Providing such services as the local community wishes.

Item	Risk Identified	Rating	Responsibility	Action
Consultation / Representation	Failure to correctly identify local needs or wishes	Medium	Members	<ul style="list-style-type: none"> - maintain close contact with local residents - use meetings to obtain residents' feedback - use questionnaires, where appropriate, to identify local wishes - review local papers, especially correspondence sections
Provision of ad-hoc events	Failure to identify all possible risks and to mitigate appropriately	High	Members	<ul style="list-style-type: none"> - ensure a full risk assessment is carried out - ensure all required licenses are obtained - ensure all relevant guidance is followed - ensure all relevant regulations are followed - ensure the Council has financial and organizational control of events for which it is responsible and accountable - ensure contingency plans are in place e.g. for shortfall of any external funding - ensure the Council is appropriately resourced to provide the necessary controls and to perform the actions above.

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4 Objective at risk: Compliance with laws and regulations.

Item	Risk Identified	Rating	Responsibility	Action
Conflict of Interest	Failure to recognise and address conflict of interest	Medium	Members	<ul style="list-style-type: none"> - review Code of Conduct - complete and sign 'Declaration of Interests' form - if in doubt, seek advice
Legislation	Failure to comply with relevant legislation	High	Members Clerk	<ul style="list-style-type: none"> - periodically review all activities to ensure ongoing compliance - check legality of any decision when in doubt - maintain records of decisions taken and cross reference to relevant legislation
Legislation	Inadequate awareness of relevant legislation	High	Members Clerk	<ul style="list-style-type: none"> - recruit suitably experienced or qualified staff - prepare comprehensive job description - support SLCC membership - attend available training courses - attend relevant conferences - join NALC / LALC and use advice services - liaise with officers at District Council as appropriate - liaise with officers at County Council as appropriate - attend available training courses (e.g. CiLCA, LALC) - attend relevant conferences - maintain reference library - join SLCC and use advice services - subscribe to relevant magazines and journals - liaise with other clerks - liaise with officers at District Council as appropriate - liaise with officers at County Council as appropriate - seek advice when in doubt

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5 Objective at risk: Control over Assets including Fixed Assets.

Item	Risk Identified	Rating	Responsibility	Action
Asset Register	Failure to maintain Asset Register	Medium	Clerk	- maintain and update Asset Register as Council owned Assets are obtained
			Members	- periodically review Asset Register
Burglary	Burglary to office – when obtained	Medium	All	<ul style="list-style-type: none"> - ensure external and internal doors and windows are always locked when the property is not occupied - ensure adequate locks are fitted to office door and windows - regularly test burglar alarm (at least annually)
Fire	Fire damage to office	Medium	Clerk	<ul style="list-style-type: none"> - ensure all office equipment is turned off when the office is not occupied - ensure a suitable fire extinguisher is available - ensure “no smoking” regulations are met
Accident	Accidental damage to assets	Medium	Clerk	- ensure adequate insurance cover for contents and buildings.
Loss or Harm	Loss or harm to staff or to third parties	Medium	Clerk	<ul style="list-style-type: none"> - regular inspection of assets from health & safety viewpoint - ensure adequate insurance cover i.e. public liability
Paper Records of the Council	Loss by damage, destruction, or negligence in any form	Low	Clerk	<ul style="list-style-type: none"> - ensure all key documents are also held as computer documents - ensure all paper records are appropriately filed and organized - ensure that the origin of original documents / books / emails are known so they can be obtained again if necessary.
Computer Records of the Council	Loss by PC breakdown	Medium	Clerk	<ul style="list-style-type: none"> - ensure weekly backups are taken to external hard drive to be held off-site by the clerk

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6 Objective at Risk: Health and Safety / Security of Employee within Office Environment

Item	Risk Identified	Rating	Responsibility	Action
Health & Safety	Fire, gas explosion, electrical malfunction, trip hazard – when office is obtained	Medium	Members	<ul style="list-style-type: none"> - to ensure that a fire extinguisher is available - to ensure that the property owner undertake annual gas and electrical inspections take place and that appropriate certificates are obtained
Personal Security	Physical threat as a lone worker within the office premises - when office is obtained	High	Members All office users	<ul style="list-style-type: none"> - to ensure that a form of security is purchased and maintained e.g. alarm button and internal cctv system - to ensure that the external front door is locked except for agreed opening times - to ensure that the external door is locked by the last person leaving the office, all internal doors are secured, and the building alarm is set.