

Elkesley Parish Council

GENERAL RISK MANAGEMENT 2025-6

Aim	Risk	Actions to Minimise Risk	Person(s) Responsible	Risk Level pre Action	Risk Level after Action
COUNCIL PROCEDURES 1. To ensure compliance with the law and the Parish Council's Code of Conduct, Financial Regulations and Standing Orders	1. Ignorance of requirements	Ensure that all Councillors are kept aware of legislative requirements, and are provided with copies of the Code of Conduct, Financial Regulations and Standing Orders	Clerk to the Council	4 - Medium	2- Low
	2. Out of date Standing Orders and Financial Regulations	Ensure that Standing Orders and Financial Regulations are reviewed regularly (min 2yrs)	Clerk to the Council and Councillors	4- Medium	2- Low
	3. Ultra vires action	Ensure that the Clerk has access to relevant publications. GPC payments recorded seperately. Any uncertainties over powers referred to NALC All actions minuted & approved monthly.	Clerk to the Council and Councillors	3- Low	2- Low
	4. Lack of commitment to procedures and legal requirements	Standing reference to requirements in agendas. Ensure Councillors each have a copy of Standing Orders and Financial Regulations	Clerk to the Council and Councillors (As above)	3- Low	2- Low
	5. Payments made without proper authority	Ensure all payments comply with Standing Orders and Financial Regulations. Ensure all payments receive proper approval and appear on schedules.All payments recorded in the minute book. All invoices certified by 2 councillors	Clerk to the Council/RFO, Councillors & Internal Auditor (As above)	5- Medium	2- Low
	6. VAT procedures not complied with	Ensure that the Clerk is fully-aware of VAT requirements. VAT returns submitted annually	Clerk to the Council/RFO and Councillors	3- Low	1- Low
	7. Fraud	Ensure an adequate system of internal audit, both within the Council and by employment of an independent internal auditor	Clerk to the Council/RFO, Councillors & Internal Auditor	4 - Medium	1- Low
ACHIEVE OBJECTIVES 2. To identify and regularly review the Council's priorities and associated risks	1. Lack of knowledge of how to set objectives and identify risks to their achievement	All Councillors to be made aware of the need for objectives and identification of risk. Attend relevant training courses	Clerk to the Council and Councillors	4- Medium	2- Low
	2. Unsatisfactory reporting mechanism to Council	Ensure that progress against objectives and issues are regularly reviewed through inclusion on agendas	Clerk to the Council and Councillors	4- Medium	2- Low
	3. Inadequate review of risk	Ensure that the risk assessment policy document (this document) is reviewed annually	Clerk to the Council and Councillors	5- Medium	1- Low

	4. Steps not taken to combat identified risks	As 2.3	Clerk to the Council and Councillors	5- Medium	2- Low
	5. Evaluation of specific risks not properly recorded for future reference	Ensure that evaluation documentation is attached to the risk assessment policy document	Clerk to the Council and Councillors	5- Medium	2- Low
COMMUNICATIONS					
3. To carry influence with other organisations in achieving the requirements of the Parish	1. Lack of effective lines of communication with other organisations	Establish a relationship and dialogue with relevant organisations. Invite relevant organisations to present reports to Annual Parish Meeting	Clerk to the Council and Councillors (As above)	5- Medium	2- Low
	2. Lack of effective lines of communication with parishioners	Publicise initiatives and matters of importance in Newsletter publication/website & facebook	Clerk to the Council and Councillors	5- Medium	2- Low
	3. Lack of preparation on subjects requiring	Publicise Annual Parish Meeting Ensure that all Councillors are aware of the need	(As above) Clerk to the Council and		
	3. Lack of preparation on subject matters.	Ensure Councillors are aware of the importance of research and where to look for information	Councillors	5- Medium	2- Low
	4. Lack of confidence in Councillors	Establish a relationship and dialogue with relevant organisations. Experienced Councillors to assist newcomers to establish contacts	Clerk to the Council and Councillors Councillors	5- Medium	2- Low
INSURANCE					
4. To ensure that all Councillors are aware of their responsibilities and possible liabilities, and to provide adequate insurance cover for all possible risks	1. Lack of knowledge of possible culpability of Councillors	All Councillors to be made aware of the need to read and understand Standing Orders and Financial Regulations. Attend relevant training courses	Clerk to the Council and Councillors (as above)	5- Medium	2- Low
	2. Inadequate insurance cover	Review risk on a monthly basis. Public liability to £10m Employers £10m.	Clerk to the Council, Internal Auditor annually	5- Medium	1- Low
ACCOUNTS					
5. To keep appropriate books of account accurately and up-to-date throughout the financial year	1. Lack of knowledge of accounting requirements	Ensure that the Clerk is properly trained and all Councillors to be made aware of the need to read and understand Standing Orders and Financial Regulations.	Clerk to the Council/RFO and Councillors	4- Medium	2- Low
	2. Lack of commitment to accounting requirements	As at 5.1 Schedules of payments and bank reconciliation statements to be submitted to every ordinary meeting, together with a report on budget monitoring. Internal Audit reports to be reported to Council and acted on. Audit plan to be reviewed annually	Clerk to the Council/RFO, and Councillors Clerk to the Council/RFO, Councillors and Internal Auditor (as above)	4- Medium	1- Low
	3. Inadequate control of cash receipts and payments	Avoid cash as far as possible, but, where cash is received, ensure that a receipt is issued and	Clerk to the Council/RFO, Councillors & Internal Auditor	5- Medium	3- Low

		the cash is banked at the earliest opportunity			
	4. Books of account to be kept up-to-date	As at 5.3 Computerised cash book maintained	Clerk to the Council/RFO, Councillors & Internal Auditor	3- Low	1- Low
	5. Receipts to be banked and payments to be made promptly	As at 5.3 Income summary provided monthly to members	Clerk to the Council/RFO, Councillors & Internal Auditor	3- Low	1- Low
	6. Clerk taken ill or departs suddenly	Contact the SLCC or relevant bodies to request a locum Clerk	Chairman	3- Low	2- Low
EXPENDITURE 6. To ensure that payments made from Council funds, and the use of assets, represent value for money, are adequately managed, and comply generally with the wishes of residents	1. Lack of knowledge of, and failure to meet, the wishes of residents 2. Value for money not being obtained 3. Inadequate charges	As at 3.1 and 3.2. Ensure public consultation on major expenditure Ensure effective budget planning process. . Annual budget meeting and monthly monitoring Ensure Standing Orders and Financial Regulations regarding contracts to be complied with. Effective budget planning process.	Clerk to the Council/RFO and Councillors (as above) Clerk to the Council/RFO and Councillors Clerk to the Council/RFO and Councillors Clerk to the Council/RFO and Councillors	4- Medium 4- Medium 4- Medium	2- Low 2- Low 2- Low
BUDGETING 7. To ensure that the annual precept requirements results from an adequate budgetary process, progress against the budget is regularly monitored, and reserves are appropriate.	1. Lack of knowledge of budgetary process 2. Lack of commitment to budgetary process 3. Inadequate internal controls with regard to monitoring expenditure 4. Inadequate reserves	Ensure that the budget is considered at the relevant meeting and that Councillors receive a set of budget working papers All Councillors to be involved in budgetary process As at 5.2 As at 5.3	Clerk to the Council/RFO, Councillors & Internal Auditor Clerk to the Council/RFO and Committee Clerk to the Council/RFO and Councillors Clerk to the Council/RFO and Councillors	5- Medium 5- Medium 5- Medium 5 - Medium	2- Low 2- Low 1- Low 3- Low
INCOME 8. To explore all possible sources of income and to ensure that expected income is fully received	1. Lack of knowledge of possible sources of income, e.g. grants 2. Lack of commitment to pursuing grant availability 3. Debts not promptly pursued 4. VAT claims not made correctly or promptly	Ensure that the Clerk and Councillors attend training courses on grant-availability when required As at 8.1 Periodic checks by Councillors & Internal Auditor Ensure Clerk is up-to-date with requirements	Clerk to the Council/RFO and Councillors Clerk to the Council/RFO and Councillors Councillors & Internal Auditor Councillors & Internal Auditor	4- Medium 6- Medium 3- Low 4 Medium	3- Low 3- Low 2- Low 1 Low
PAYROLL 9. To ensure that salaries paid to	1. Incorrect rate of pay to staff	Ensure correct rates applied when setting	Clerk to the Council/RFO,	3 Low	1- Low

staff and monies paid to contractors are paid in accordance with Financial Regulations and are adequately monitored	2. Pensions. Tax and NI deductions incorrect	budget Ensure Clerk to the Council/RFO is familiar with requirements. Yr End annual return filed - HMRC	Councillors & Internal Auditor (as above)	4 Medium	1- Low
ANNUAL RETURN					
10. To ensure that year end accounts are prepared on the correct accounting basis, on time, and supported by an adequate audit trail	1. Lack of knowledge of Accounts and Audit Regulations 2. Inadequate audit trail from records to final accounts	Clerk and Councillors to attend training courses where appropriate. Ensure that the Clerk is properly trained and understands the Accounts and Audit Regulations. Public Notices displayed & accounts available for inspection and on the website	Clerk to the Council/RFO and Councillors Clerk to the Council/RFO, Councillors and Internal Auditor	4- Medium 4- Medium	1- Low 1- Low
ASSETS					
11. To identify, value and maintain all the assets of the Council, and ensure that asset and investment registers are complete, accurate and properly maintained	1. Lack of knowledge of assets and investments of Council 2. Assets and investments lost or misappropriated 3. Inaccurate valuation of assets and investments 4. Inadequate reserves	Ensure that records in existence are maintained and kept up-to-date Clerk to monitor any assets Ensure that annual insurance valuations are reviewed Bank reconciliation to be carried out monthly	Clerk to the Council/RFO, Councillors & Internal Auditor Clerk to the Council/RFO and Nominated Councillor Clerk to the Council/RFO, Councillors & Internal Auditor Clerk to the Council/RFO and Councillors	4- Medium 3- Low 4- Medium 4- Medium	2- Low 2- Low 2- Low 2- Low
EQUAL OPPORTUNITES ETC					
12. To comply with legislation regarding disability, racial equality, safeguarding children, etc.	1. Lack of knowledge of legislation and other requirements	Ensure that relevant legislation, requirements, etc. are known. Review responsibilities annually	Clerk to the Council and Councillors	4- Medium	2- Low
PROPERTY					
13. To ensure that Council-owned property is properly-maintained and in a safe condition	1. Failure to regularly inspect and report matters requiring attention	Periodic inspections carried out and report to clerk Urgent work to be reported immediately to the Clerk to the Council	Clerk to the Council and staff	4- Medium	2- Low
14. To ensure that Council-owned equipment is properly maintained and in a safe condition	1. Failure to regularly inspect 2. Failure to carry out any major annual inspections required	Staff to carry out weekly inspections and report any findings Urgent work to be reported immediately to the Clerk to the Council. Less urgent work to be reported as required . Qualified Company to carry out any annual inspections required	Clerk to the Council and staff and councillors Clerk to the Council and Contractor	6- Medium 5- Medium	3- Low 2- Low
15. To ensure that the Sports Field is properly maintained and in a safe condition	1. Failure to regularly inspect for routine maintenance purposes	Inspections to be carried out weekly inspections and report and arrange urgent work Less urgent work to be reported on a monthly basis	Clerk to the Council and staff/councillors	6- Medium	3- Low
16. To ensure that the Cemetery is	1. Failure to regularly inspect for routine	Periodic inspections carried out and reported to clerk	Clerk to the Council and	4- Medium	2- Low

properly maintained and in a safe condition	<p>maintenance purposes</p> <p>2. Failure to follow Memorial Safety procedure</p>	5 year tests undertaken and unstable memorials monitored 12 monthly	handymen Clerk to the Council and councillors (Safety team)	4- Medium	2- Low
CONTRACTORS 17. To ensure that any contractors comply with all necessary requirements	<p>1. The contractor has not carried out a site assessment</p> <p>2. The contractor does not have adequate public liability insurance in place</p> <p>3. The contractor does not have the necessary resources to satisfactorily comply with the contract</p> <p>4. Unsatisfactory contractual arrangement</p> <p>5. Unsatisfactory monitoring of contract performance</p>	<p>Ensure that written site risk assessment is provided</p> <p>Ensure that a copy of the insurance certificate with min £5million public liability cover is provided</p> <p>Ensure that proper tender documents, including invitation to tender, specification and official tender, are prepared where necessary.</p> <p>Ensure that the contract includes an exchange of letters, together with the documentation</p> <p>Ensure that sites are inspected.</p>	<p>Clerk to the Council and Councillors</p> <p>Clerk to the Council and Councillors</p> <p>Clerk to the Council and Councillors</p> <p>Clerk to the Council and Councillors</p> <p>Clerk to the Council and Councillors</p>	<p>6- Medium</p> <p>6- Medium</p> <p>4 - Medium</p> <p>4- Medium</p> <p>4- Medium</p>	<p>1- Low</p> <p>1- Low</p> <p>2- Low</p> <p>2- Low</p> <p>2- Low</p>
STAFF 18. To ensure that staff are employed according to proper recruitment, conditions of service and health and safety requirements	<p>1. Failure to ensure that staff are recruited in accordance with correct, fair and unbiased procedures</p> <p>2. Failure to ensure that staff are correctly paid and enjoy proper conditions of employment</p>	<p>Ensure that vacancies are widely advertised, based on job descriptions and person specifications.</p> <p>Ensure that Clerk/Responsible Finance Officer are paid in accordance with nationally-agreed pay scales (NALC) and given contracts of employment based on national models. Review contracts of employment periodically Other Staff wage to comply with Minimum or Living Wage</p>	<p>Clerk to the Council and Councillors</p> <p>Clerk to the Council/RFO, Councillors and Internal Auditor</p> <p>Clerk to the Council/RFO, Internal Auditor</p>	<p>4- Medium</p> <p>3- Low</p>	<p>2- Low</p> <p>1- Low</p>
	<p>3. Failure to ensure proper health and safety provision</p>	<p>Carry out risk assessments of duties performed.</p> <p>Ensure that staff receive training and instruction in relation to special risk situations.</p> <p>Ensure that staff who use plant and equipment are provided with adequate training to competently use such plant and equipment.</p> <p>Ensure that staff are instructed to report accidents using a form to be provided.</p> <p>Ensure that staff working from home are working in safe and appropriate conditions.</p>	<p>Clerk to the Council, Councillors & Internal Auditor Auditor</p> <p>Clerk to the Council and Councillors</p> <p>(all as above)</p>	5- Medium	2- Low
RISK SCALE 1-3 Low Risk 4-6 Medium Risk 7-9 High Risk	Adopted				