

MARKET BOSWORTH PARISH COUNCIL



RISK MANAGEMENT SCHEME

1. GENERAL

- 1.1. Market Bosworth Parish Council is required to adopt a Risk Management Scheme and to review it at least annually (*Audit Commission Act 1988; Governance and Accountability for Local Councils A Practitioners' Guide (England) 2018*).
- 1.2. Risk Management Schemes should cover all aspects of a council's functions, ensure business continuity and provide guidance as to ensuring adequate public, employee and liability insurance.
- 1.3. Risk should be assessed in a reasonable and sensible way and realistic insurance obtained.
- 1.4. Public Liability insurance is not a legal requirement, but it would be irresponsible not to have the minimum cover. For the public sector it is usual for this to be £5-£10 million.
- 1.5. The Risk Management Scheme should address administrative concerns and protection of physical assets. It should cover councillors, employees, contractors and the public.
- 1.6. The Risk Management Scheme should address internal financial control. The Parish Council is responsible in law for ensuring that its financial management is adequate and effective and that it has a sound system of internal control. The Parish Council is required to review the effectiveness of the system of internal control at least once a year and to publicly report the outcome through the annual governance statement in the Annual Return to the External Auditor (*Audit Commission Act 1988; Local Audit and Accountability Act 2014; Accounts and Audit Regulations 2015*).
- 1.7. The Parish Council is required to appoint a Responsible Financial Officer (RFO) to manage its financial affairs (*Local Government Act 1972 s151*).

2. GENERAL INSURED RISKS

- 2.1 General insured risks carry a risk level of 'Medium'.
- 2.2 General insured risks are:
 - Public liability
 - Hirers' liability
 - Employer's liability

- Officials' indemnity
- Fidelity guarantee
- Libel and slander
- Personal accident
- Office equipment
- Money.

2.3 Control measures in place are:

- Assets Register
- Employment contract
- Standing Orders
- Code of Conduct
- Regular maintenance of assets and retention of logbooks
- Hire / event / risk assessment application forms
- Regular review
- Index linking of insurance cover
- Health and Safety policies in place
- Town Centre Premises Licence in place and designated premises supervisor appointed
- Registered with the Information Commissioner's Office.

2.4 Managing the general insured risks is the responsibility of the Parish Council and RFO.

2.5 Implementation of the control measures reduces potential risk level to 'Low'.

3. INTERNAL FINANCIAL CONTROL

3.1 Internal financial control risks carry a risk level of 'High'.

3.2 Internal financial control risks are:

- Accounts and book-keeping
- Banking arrangements
- Payment of salary and pension
- Assets
- VAT control.

3.3 Control measures in place are:

- Appointment of Responsible Financial Officer (RFO)
- All expenditure in accordance with Financial Regulations which are reviewed at least annually
- Annual preparation and adoption of a budget
- Bank reconciliations verified quarterly by members of finance working party
- Payment schedules submitted for approval monthly

- Budget updates submitted to full council quarterly
- Current bank balances reported monthly
- Records available for auditor inspection
- Records available for public inspection
- Completion of annual return including statement of accounts and public declarations as to accuracy
- The Parish Council holds the latest edition of '*Local Council Administration*' and is a member of LRALC and NALC which offer free legal advice
- Bank accounts are with HSBC, an authorised financial institution
- Financial Regulations are in place to ensure correct procedures are followed
- Financial transactions are recorded and stored digitally on computer spreadsheets
- Invoices, BACs statements and other paperwork relating to financial transactions are kept up to date and filed promptly
- Petty cash expenditure is recorded in a petty cash book
- Cheques, standing orders, direct debits and bank transfers may only be authorised by Parish Councillors
- Cheques to be signed by 3 councillors who must never sign a blank cheque
- Receipts are banked promptly
- Bank mandate in place and kept up to date
- Salary payment details are presented to each Parish Council Meeting for approval
- Requests for staff overtime are submitted in advance
- Register of Assets updated regularly and reviewed annually
- The VAT element of all expenditure and receipts is shown clearly on all financial records and VAT returns are submitted promptly, quarterly, with evidence retained on file.

3.4 Managing the internal financial control risks is the responsibility of the Parish Council and RFO.

3.5 Implementation of the control measures reduces potential risk level to 'Low'.

4. ADMINISTRATIVE CONTROL

4.1 Administrative control risks carry a risk level of 'Medium'.

4.2 Administrative control risks are:

- Computer malfunction
- Website
- Destruction or loss of documents by, for example, fire
- Health and safety in the office
- Data protection breach
- Passwords and pin numbers
- Sudden death or ill health of the Clerk / RFO.

4.3 Control measures in place are:

- All correspondence, spreadsheets and other documents relating to Parish Council business are retained in accordance with data protection laws and retention of information policies. Hard copies are stored in locked cabinets. Digital copies are saved to a portable hard drive which is updated weekly and stored off site
- Email correspondence can be accessed through alternative electronic devices
- Written, signed Minutes and Cemetery Registers are stored in locked cabinets in the Parish Council Office and can be reproduced from digital records
- PAYE retrievable via HMRC
- Appropriate firewalls in place to mitigate against malware
- The Parish Council website is managed by 2commune who can issue new passwords if necessary and monitor content. Content input by the Clerk. External organisations and volunteers do not have permission to input data.
- The Bosworth Vision Planning Group website is managed by Aubergine who can issue new passwords if necessary and monitor content. Content input by Parish Councillors and / or approved members of the Bosworth Vision Planning Group.
- Title Deeds are recorded with Land Registry
- The lease agreement for the Heath Road Play Area is recorded with Hinckley & Bosworth Borough Council
- Tree Preservation Orders are recorded with Hinckley & Bosworth Borough Council and Leicestershire County Council
- Miscellaneous documents, including those of a historical interest, are stored in locked cabinets in the office
- Cemetery site plan and registers are stored in a locked cabinet and can be reproduced from digital records
- All information contained in the cemetery registers is duplicated in digital format, saved to portable hard drive, and stored off site
- Historical Minutes, financial records and correspondence are deposited at the Record Office for Leicestershire, Leicester and Rutland
- PAT testing of electrical equipment carried out annually
- The Clerk to ensure correct posture and seating alignments are maintained when operating office equipment and should take regular breaks from the computer
- The Clerk to retain a protective alarm or spray in the office
- The Clerk to abide by health and safety rules applicable to the Parish Hall
- Passwords and pin numbers are retained securely and confidentially by the Clerk in a sealed envelope, the whereabouts of which is shared only with the current Chair of the Parish Council
- The Parish Council has a reciprocal arrangement with Carlton Parish Council whereby the Clerks of Market Bosworth Parish Council and Carlton Parish Council could be called on in the first instance to provide limited, short term, emergency

cover (subject to availability) until such time as a longer-term locum can be appointed via Leicestershire and Rutland Association of Local Councils (LRALC) or pending the return to work of the Clerk

4.4 Managing the administrative control risks is the responsibility of the Parish Clerk

4.5 Implementation of the control measures reduces potential risk level to 'Low'.

5. LITIGATION

5.1 Litigation risks carry a risk level of 'Medium'.

5.2 Litigation risks are:

- Legal duties and responsibilities of Parish Councillors, RFO and Clerk.

5.3 Control measures in place are:

- Accounts properly kept
- Audit advertised
- Accounts summary published
- Declarations of Acceptance of Office signed and up to date
- Register of Members' interests and gifts complete and up to date
- Code of Conduct in place
- Freedom of information policy in place
- Meetings advertised and open to the public
- Minutes available for inspection on request and on the website
- Complaints, incident reports and queries dealt with as promptly as practically possible
- Event application forms and risk assessments to be completed for events taking place on the Parish Field under the terms of the Parish Council's licence agreement with Hinckley and Bosworth Borough Council.

5.4 Managing the litigation risks is the responsibility of the Parish Council, RFO and Clerk.

5.5 Implementation of the control measures reduces the risk level to 'Low'.

6. ASSET MAINTENANCE

6.1 Asset maintenance risks carry a risk level of 'High'.

6.2 Asset maintenance risks are:

- Heath Road and Waterside Mede Play Areas
- Cemetery including cemetery pond
- Memorial Garden and Parish Field
- Open spaces on Northumberland Avenue and Stanley Road
- Rectory Lane car park
- Toilet block

- Street furniture

6.3 Control measures in place are:

- At play areas full inspections are carried out twice a year by Wicksteed Leisure Ltd, authorised play equipment installers and inspectors and visual inspections are carried out once a month by a parish council representative
- Maintenance contracts are in place to ensure sites are kept clean and tidy and any damage is reported to the Parish Council for attention
- Records maintained of all items reported for repair or replacement, remedial works authorised, costs, and when works have been completed
- Information boards on site where applicable
- Advisory and prohibitive signs on site where applicable
- All accidents and incidents are recorded in a logbook, together with action taken and outcome
- Annual tree inspection carried out on all Parish Council trees
- For the cemetery, rules and regulations are in place re interments, exclusive rights, headstones, plaques and working on site
- Site inspections are regularly undertaken by working party members and maintenance contractors
- Unauthorised occupation of Parish Council land would be an offence and would be dealt with through the Police and County Court
- Event application forms, rules, regulations and risk assessments are in place regarding hire of the Parish Field
- Hinckley & Bosworth Borough Council to be kept informed of any works required at the car park. Evidence trail to be retained at least until problems have been rectified where the actions are the responsibility of the Borough Council such as those involving the ticket machine
- For the toilet block there is a cleaning contract in place, legionella inspections are carried out as required by law, monthly site inspections are carried out including the reading of water temperatures, all incidents are recorded in a logbook, and a maintenance programme and risks assessments are in place
- Any damage to street furniture to be reported to the Clerk for repair or replacement as soon as practically possible
- Miscellaneous maintenance costs are included within the annual budget
- For the War Memorial, this should be cordoned off temporarily if practically possible and / or if deemed necessary in the event of expectation of large crowds
- The War Memorial is not permanently fenced off as fencing could pose a trip hazard and be a hindrance to the laying of wreaths on Remembrance Sunday.

6.4 Managing the asset maintenance risks is the responsibility of the Clerk and RFO.

6.5 Implementation of the control measures reduces the risk category to 'Medium'.

Adopted by the Parish Council at its Meeting held on 7 February 2023. Minute reference 10a.