

# Market Bosworth Parish Council



## Risk Management Scheme

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*). 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. Risk should be assessed in a reasonable and sensible way and realistic insurance obtained. 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. The scheme should address administrative concerns and protection of physical assets. It should cover councillors, employees, contractors and the public.

The scheme should also 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*). The Parish Council is required to appoint a Responsible Financial Officer (RFO) to manage its financial affairs (*Local Government Act 1972 s151*).

Market Bosworth Parish Council's Risk Management Scheme is outlined below:

RISK AREA	LEVEL OF RISK	CONTROL MEASURES	RESPONSIBILITY	LEVEL OF RISK AFTER CONTROL MEASURES IN PLACE
<b>GENERAL – INSURED RISKS</b>				
<ul style="list-style-type: none"> <li>• Public liability.</li> <li>• Hirer's liability.</li> <li>• Employer's liability.</li> <li>• Officials' Indemnity.</li> <li>• Fidelity guarantee.</li> <li>• Libel &amp; slander.</li> <li>• Personal accident.</li> <li>• Office equipment.</li> <li>• Money.</li> </ul>	Medium	<ul style="list-style-type: none"> <li>• Assets Register.</li> <li>• Employment contract.</li> <li>• Standing Orders.</li> <li>• Code of Conduct.</li> <li>• Regular maintenance of assets and retention of log books.</li> <li>• Hire / event / risk assessment application forms.</li> <li>• Regular review.</li> <li>• Index linking of insurance cover.</li> <li>• Health &amp; Safety policies in place.</li> </ul>	Parish Council RFO	Low

		<ul style="list-style-type: none"> <li>Town Centre Premises Licence in place &amp; designated premises supervisor appointed</li> <li>Registered with the Information Commissioner's Office</li> </ul>		
<b>INTERNAL FINANCIAL CONTROL</b>				
<ul style="list-style-type: none"> <li>Accounts and book keeping</li> </ul>	High	<ul style="list-style-type: none"> <li>Appointment of Responsible Financial Officer (RFO) as required by the Local Government Act 1972.</li> <li>All expenditure in accordance with Financial Regulations which are reviewed at least annually.</li> <li>Annual preparation and adoption of a budget.</li> <li>Bank reconciliations verified quarterly by members of finance working party</li> <li>Payment schedules submitted for approval monthly</li> <li>Budget updates submitted to full council quarterly</li> <li>Current bank balances reported monthly.</li> <li>Records available for auditor inspection.</li> <li>Records available for public inspection.</li> <li>Completion of annual return including statement of accounts and public declarations as to accuracy.</li> <li>The Parish Council holds the latest edition of '<i>Local Council Administration</i>' by Charles Arnold Baker and is a member of LRALC and NALC which offer free legal advice.</li> </ul>	Parish Council RFO	Low
<ul style="list-style-type: none"> <li>Banking arrangements</li> </ul>	High	<ul style="list-style-type: none"> <li>Bank accounts are with HSBC, an authorised financial institution.</li> <li>Standing Orders &amp; Financial Regulations are in place to ensure correct procedures are followed.</li> <li>Financial transactions are stored digitally on computer spreadsheets.</li> <li>Invoices, BACs statements and other paperwork relating to financial transactions are kept up to date and filed promptly.</li> <li>Petty cash expenditure is recorded in a petty cash book.</li> <li>Cheques, standing orders, direct debits and bank transfers may only be authorised by Parish Councillors.</li> </ul>	Parish Council RFO	Low

<ul style="list-style-type: none"> <li>• Payment of salary and pension</li> <li>• Assets</li> <li>• VAT control</li> </ul>	<p>High</p> <p>Medium</p> <p>High</p>	<ul style="list-style-type: none"> <li>• Cheques to be signed by 3 councillors who must never sign a blank cheque.</li> <li>• Receipts are banked promptly.</li> <li>• Bank mandate in place and kept up to date.</li> <li>• Payment details presented to each monthly Parish Council Meeting for approval.</li> <li>• Payment by cheque, signed by 3 councillors.</li> <li>• Requests for overtime submitted in advance of the work being carried out, and again at each Parish Council Meeting.</li> <li>• Register of assets updated regularly and reviewed annually.</li> <li>• VAT element shown clearly on all records of financial transactions and VAT returns submitted promptly, quarterly, with evidence retained on file.</li> </ul>	<p>Parish Council RFO</p> <p>Parish Council RFO</p> <p>Parish Council RFO</p>	<p>Low</p> <p>Low</p> <p>Low</p>
<b>ADMINISTRATIVE CONTROL</b>				
<ul style="list-style-type: none"> <li>• Computer malfunction</li> </ul>	<p>Medium</p>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• Email correspondence can be accessed by alternative computers.</li> <li>• Written signed Minutes and Cemetery Registers are stored in locked cabinets in the Parish Council Office.</li> <li>• PAYE retrievable via HMRC.</li> <li>• Appropriate firewalls in place to mitigate against malware.</li> </ul>	<p>Parish Clerk</p>	<p>Low</p>

<ul style="list-style-type: none"> <li>Website</li> </ul>	Low	<ul style="list-style-type: none"> <li>Managed by 2commune who can issue new passwords if necessary and who monitor content.</li> <li>Content input by the Clerk. External organisations do not have permission to input data.</li> </ul>	Parish Clerk	Low
<ul style="list-style-type: none"> <li>Destruction of documents by, for example, fire</li> </ul>	Low	<ul style="list-style-type: none"> <li>Correspondence copied to portable hard drive and stored off site.</li> <li>Title Deeds recorded with Land Registry.</li> <li>Lease agreements recorded with Hinckley &amp; Bosworth Borough Council.</li> <li>Tree Preservation Orders recorded with Hinckley &amp; Bosworth Borough Council and Leicestershire County Council.</li> <li>Miscellaneous documents, including those of historical interest, stored in locked cabinets.</li> <li>Cemetery site plan and registers stored in locked cabinet. Can be re-created from information stored digitally.</li> <li>Information recorded in the cemetery registers is duplicated to digital format, saved to portable hard drive and stored off site.</li> <li>Past Minutes, financial records and correspondence are deposited at the Record Office for Leicestershire, Leicester and Rutland.</li> </ul>	Parish Clerk	Low
<ul style="list-style-type: none"> <li>Health and Safety in the office</li> </ul>	Low	<ul style="list-style-type: none"> <li>The Clerk to arrange for annual PAT testing of electrical equipment.</li> <li>The Clerk to ensure correct posture and seating alignments are maintained when operating office equipment and should take regular breaks from the computer screen.</li> <li>The Clerk to keep a protective alarm or spray in the office.</li> <li>The Clerk to abide by health and safety rules applicable to the Parish Hall.</li> </ul>	Parish Council Parish Clerk	Low

<ul style="list-style-type: none"> <li>• Passwords and pin numbers</li> </ul>		<ul style="list-style-type: none"> <li>• Retained securely and confidentially by the Clerk and two nominated councillors</li> </ul>	Parish Council Parish Clerk	Low
<b>LITIGATION</b>				
<ul style="list-style-type: none"> <li>• Legal duties and responsibilities of Parish Councillors, RFO and Clerk</li> </ul>	Medium	<ul style="list-style-type: none"> <li>• Accounts properly kept.</li> <li>• Audit advertised.</li> <li>• Accounts summary published.</li> <li>• Declarations of Acceptance of Office signed and up to date.</li> <li>• Register of Members' interests and gifts complete and up to date.</li> <li>• Code of Conduct in place.</li> <li>• Freedom of Information policy in place.</li> <li>• Meetings advertised and open to the public.</li> <li>• Minutes available for inspection on request and on the website.</li> <li>• Complaints, incident reports and queries dealt with promptly.</li> <li>• 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 license agreement with Hinckley &amp; Bosworth Borough Council.</li> </ul>	Parish Councillors RFO Parish Clerk	Low
<b>ASSET MAINTENANCE</b>				
<ul style="list-style-type: none"> <li>• Heath Road and Waterside Mede Play Areas</li> </ul>	High	<ul style="list-style-type: none"> <li>• Full inspections carried out twice a year by Wicksteed Leisure Ltd, authorised Play Equipment Inspectors.</li> <li>• Monthly inspections carried out by local volunteers in accordance with schedule agreed with the Parish Council's insurance company.</li> <li>• Maintenance contracts in place to ensure the sites are kept clean and tidy and any damage is reported to the Parish Council.</li> </ul>	Parish Clerk	Medium

<ul style="list-style-type: none"> <li>• Cemetery including cemetery pond</li> </ul>	High	<ul style="list-style-type: none"> <li>• Clerk to keep a record of all items reported for repair or replacement and ensure the necessary remedial work is carried out as promptly as practically possible.</li> <li>• Information boards on site, with full contact details for the Parish Council.</li> <li>• Advisory and prohibitive signs on site as necessary.</li> <li>• All accidents and incidents to be recorded in a log book, together with action taken and outcome.</li> <li>• Annual tree inspection carried out.</li> <li>• Information, advisory and prohibitive boards and signs in place as agreed with the insurance company.</li> <li>• Maintenance contract in place to ensure the site is kept clean and tidy.</li> <li>• Rules and regulations and risk assessments in place re interments, exclusive rights, headstones, plaques and working on site.</li> <li>• Cemetery working party regularly inspects the site and any repair work or ongoing development work required is reported to the Parish Council and logged in the log book.</li> <li>• All accidents and incidents to be recorded in a log book, together with action taken and outcome.</li> <li>• Unauthorised occupation of the meadow adjacent to the cemetery would be an offence and would be dealt with through the Police and County Court.</li> </ul>	Parish Clerk RFO	Low
<ul style="list-style-type: none"> <li>• Memorial Garden and Parish Field</li> </ul>	Low	<ul style="list-style-type: none"> <li>• Maintenance contracts in place to ensure the sites are kept clean and tidy and the surrounding hedgerows are properly cut back. Repairs, extra work required reported to the Parish Council by the contractor.</li> <li>• Event application forms, rules, regulations and risk assessments in place regarding hire of the Parish Field.</li> <li>• Annual tree inspection carried out.</li> </ul>	Parish Clerk	Low

<ul style="list-style-type: none"> <li>Open spaces on Northumberland Av and Stanley Road</li> </ul>	Low	<ul style="list-style-type: none"> <li>Unauthorised occupation of the site would be an offence and would be dealt with through Police &amp; County Court.</li> <li>Maintenance contract in place to ensure the sites are kept clean and tidy and any damage or extra work required is reported to the Parish Council.</li> <li>Annual tree inspection carried out.</li> <li>Unauthorised occupation of the open space areas on Northumberland Avenue and Stanley Road would be an offence and would be dealt with through the Police and County Court.</li> </ul>	Parish Clerk	Low
<ul style="list-style-type: none"> <li>Rectory Lane Car Park</li> </ul>	Low	<ul style="list-style-type: none"> <li>Maintenance contract in place to ensure the site is kept clean and tidy and any repairs necessary are reported to the Parish Council.</li> <li>The Parish Council to carry out random site inspections periodically and report any broken / damaged equipment (eg height barrier, ticket machine) or need for grit to the Borough Council for action. Evidence chain to be retained at least until problems rectified.</li> <li>The Borough Council is responsible for managing and administering the car park.</li> </ul>	Parish Clerk RFO	Low
<ul style="list-style-type: none"> <li>Toilet block</li> </ul>	High	<ul style="list-style-type: none"> <li>Cleaning contract in place.</li> <li>Legionella RA inspections carried out by authorised external contractor as required by law.</li> <li>Monthly site inspections carried out to include recording of water temperatures.</li> <li>All incidents recorded in a log book and repairs carried out as soon as practically possible.</li> <li>Maintenance programme and risk assessment in place.</li> </ul>	Parish Clerk	Medium
<ul style="list-style-type: none"> <li>Street Furniture</li> </ul>	Medium	<ul style="list-style-type: none"> <li>Any damage to street furniture to be reported to the Clerk for repair or replacement as soon as practically possible.</li> </ul>	Parish Clerk	Low

<ul style="list-style-type: none"> <li>War Memorial and Memorial Cairn</li> </ul>	Medium	<ul style="list-style-type: none"> <li>Inspection programme in place.</li> <li>Miscellaneous maintenance costs included within annual budget.</li> <li>Visual inspections to be carried out at least annually</li> <li>War Memorial to be cordoned off temporarily if practically possible and / or if deemed necessary in the event of expectation of large crowds.</li> <li>War Memorial is not permanently fenced off as fencing could pose a trip hazard itself and be a hindrance to the laying of wreaths on Remembrance Sunday.</li> </ul>	Parish Clerk	Low
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Adopted by Market Bosworth Parish Council on 4 February 2020

Minute Reference 10a

Review date February 2021