

## Landrake with St Erney Parish Council Strategic Risk Management Scheme

Landrake with St Erney Parish Council is responsible for the upkeep and maintenance of a variety of the Play park in School Road, Playing fields on (add address), war memorial, public seating and noticeboards. The Council are sole trustees of Sir Robert Geffery Memorial Hall.

The management of risk is an important part of the Council's work; making sure that the people who use our facilities are safe, giving the staff the protection to get on with their work, and protecting the assets that the Council hold.

A risk management scheme covers a range of risks to public money including the management of council property, activities and employees. It indicates levels of risk and ways of mitigating risks, for example the review of insurance policies and regular inspections.

*Risk is an uncertain event or condition that, if it occurs, will have an effect on the achievement of an authority's objectives. Risk management is the process whereby authorities methodically address the risks associated with what they do and the services which they provide. The focus of risk management is to identify what can go wrong and take appropriate steps to avoid this or successfully manage the consequences. Good risk management allows stakeholders to have increased confidence in the authority's corporate governance arrangements and its ability to deliver its priorities (JPAG 5.89)*

Whilst the Council completes regular inspections and risk assessments, this document has been produced to enable the Parish Council to assess the risk of all of its functions, and to satisfy that it has taken adequate steps to minimise this risk. The Council is aware that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic and focused approach to managing risk, which:

- a) Identify the areas to be reviewed
- b) Identify what the risk might be and the impact of the risk
- c) Evaluate the management and control of the risk and record all findings
- d) Review, assess, and revise the above steps on an annual basis, usually at the Annual Meeting of the Council, unless otherwise stated

# Landrake with St Erney Parish Council Financial and Management Strategic Risk Register

## Matrix

As recommended on page 44, 5.92, The Joint Panel on Accountability and Governance (JPAG) The Joint Practitioners' Guide 2023, the following matrix system has been used:

Priority of risk management				
Likelihood of occurrence	Highly Likely (Score 3)	Medium (3 x 1)	High (3 x 2)	<u>Very High</u> (3 x 3)
	Possible (Score 2)	Low (2 x 1)	Medium (2 x 2)	High (2 x 3)
	Unlikely (Score 1)	Very low (1 x 1)	Low (1 x 2)	Medium (1 x 3)
		Negligible (Score 1)	Moderate (score 2)	Severe (Score 3)
Impact				

## Management

REF	Subject	Impact Risk / Trigger	Likelihood Score	Impact Score	Score	Comments and Management / Control of Risk	Action required – Review / Assess/Revise
RA/M1	Business Continuity	Council not being able to continue its administration due to an unexpected or tragic circumstance	1	3	M	<ul style="list-style-type: none"> <li>Currently, the Parish Council employs a Parish Clerk for 28 hours per month. The Clerk also has another full time Clerk role. In the event of the Clerk becoming unwell and unable to attend a meeting, a Councillor may be required to take meeting notes or record the meeting for the Clerk to type up at a later date.</li> </ul>	<ul style="list-style-type: none"> <li>Consider a contingency budget cost of locum support to be allocated in the budget for 2024/2025.</li> </ul>
RA/M2	Business Activities	Ensuring that the Council acts with the legal powers.	1	3	M	<ul style="list-style-type: none"> <li></li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>
RA/M3	Parish Council Meetings	Health & Safety risks associated with Council meetings	1	2	L	<ul style="list-style-type: none"> <li>The hall has adequate fire escapes and equipment is regularly checked.</li> <li>In the event of the Council not being able to host meetings in the Sir Robert Memorial Hall there would be other suitable venues in the parish.</li> <li>The Parish Council are sole Trustees of Sir Robert Geffery Memorial Hall. There is a management committee overseeing the operation of the Sir Robert Geffery Memorial Hall.</li> </ul>	<ul style="list-style-type: none"> <li>Chairman to announce fire procedures at the start of each meeting.</li> <li>Continue to monitor</li> </ul>
RA/M4	Council Records	Loss of Council records – electronic and hard copy.	1	2	L	<ul style="list-style-type: none"> <li>The Parish Clerk is paid an Office Allowance to cover the storage of Council records. Digital records are stored on the Parish Clerk's laptop. The meeting agendas, minutes and meeting documents are uploaded on to the Council's secure website.</li> <li>Documents are emailed to the Parish Councillors.</li> </ul>	<ul style="list-style-type: none"> <li>Consider have the Council's signed minutes bound. These are legal documents and should not be filed as loose leave documents.</li> <li>For ease of access it would be better if legal documents (which include signed minutes) are stored in a designated locked cupboard in the Sir Robert Geffery Hall</li> </ul>

## Finance

REF	Subject	Risk / Trigger	Likelihood	Impact	Score	Management / Control of Risk	Action required – Review / Assess/Revise
RA/F1	Precept	Adequacy of precept in order for the Parish Council to carry out its Statutory Duties.	1	3	M	<ul style="list-style-type: none"> <li>The Clerk, who is also appointed as the Responsible Finance Officer, prepares the budget and works with Council representatives on the Finance Working Group.</li> <li>The Clerk submits Finance reports to the Council for each meeting.</li> </ul>	<ul style="list-style-type: none"> <li>Continue to ensure there is sufficient financial control measures in place and monitor the Council is meeting its obligations</li> </ul>
RA/F2	Financial Records	Inadequate records and financial Irregularities	1	3	M	<ul style="list-style-type: none"> <li>Council's Finance working group meet to review the Council's financial transactions with the Clerk / RFO.</li> <li>The Council's accounts are reviewed by an independent Internal Auditor.</li> <li>Clerk to keep up to date with the latest guidance (such as the Joint Practitioners guide) and changes to legislation and to keep the Councillors informed.</li> </ul>	<ul style="list-style-type: none"> <li>Continue to monitor and review</li> </ul>
RA/F3	Performance monitoring	Review of Councils Financial position	1	2	L	<ul style="list-style-type: none"> <li>Clerk submits reports to Full Council</li> </ul>	<ul style="list-style-type: none"> <li></li> </ul>
RA/F4	Bank and banking	Inadequate Checks. Banks Mistakes. Loss of Signatories.	1	2	L	<ul style="list-style-type: none"> <li>The Council has four bank signatories, and the Parish Clerk administers the online bank transactions.</li> <li>The Council has a separate savings account.</li> </ul>	<ul style="list-style-type: none"> <li>To ensure there is always at least three Councillor signatories.</li> </ul>
RA/F5	Cash	Loss through theft or dishonesty.	1	1	V.L	<ul style="list-style-type: none"> <li>The Council does not maintain a petty cash system.</li> <li>Suppliers, contractors and staff are paid by online bank transfer.</li> <li>The Council banks very little cash (minimal cash is received from local fundraising groups). The Chairman banks the cash and this is reported at the next Council meeting.</li> </ul>	<ul style="list-style-type: none"> <li>To continue banking any cash received as soon as practically possible after receiving the funds and any fundraisers to be publicly acknowledged.</li> </ul>

<b>RA/ F6</b>	Direct Costs	Goods supplied and not invoiced correctly. Payments do not match invoices.	<b>1</b>	<b>3</b>	<b>M</b>	<ul style="list-style-type: none"> <li>Invoices are checked for numerical accuracy by the Clerk. Invoices are included on the agenda for Councillors approval. Councillors are required to approve payments during the meeting and any anomalies should be highlighted to the Clerk.</li> </ul>	<ul style="list-style-type: none"> <li>Councillors to continue to monitor the payment transactions on the bank account and ensure the amounts agree with the approved costs.</li> </ul>
<b>RA/ F7</b>	Insurance	Adequacy Cost Compliance Fidelity Guarantee	<b>1</b>	<b>3</b>	<b>M</b>	<ul style="list-style-type: none"> <li>The Councils insurance is reviewed and approved by the Council.</li> </ul>	<ul style="list-style-type: none"> <li>Ensure Councils assets are adequately insured.</li> </ul>
<b>RA/ F8</b>	Election costs	Risk of election cost	<b>1</b>	<b>3</b>	<b>M</b>	<ul style="list-style-type: none"> <li>To cover the costs of a potential poll, and associated costs in an election year, the council has a contingency budget to meet election costs.</li> <li>In the last 40 plus years the Council has not had a contested election.</li> </ul>	<ul style="list-style-type: none"> <li>Included when preparing the precept.</li> <li>Continue with Cornwall ALC membership so that, if there was a contested election or complete change of Councillors, support and opportunities for training are offered.</li> </ul>
<b>RA/ F9</b>	VAT	Re-claiming	<b>1</b>	<b>2</b>	<b>L</b>	<ul style="list-style-type: none"> <li>HMRC return is submitted online.</li> </ul>	<ul style="list-style-type: none"> <li>Existing procedures adequate</li> </ul>
<b>RA/ F10</b>	Annual Return	Not submitted within time limits	<b>1</b>	<b>2</b>	<b>L</b>	<ul style="list-style-type: none"> <li>The Clerk / RFO is responsible to ensure the accounts are submitted to the internal auditor, that the Annual return is completed and signed by the Council, then sent on to the External Auditor within time limit.</li> <li>The Council's appointed internal auditor has financial experience and knowledge of local Councils</li> </ul>	<ul style="list-style-type: none"> <li>Clerk to ensure members are provided with sufficient information, including the Joint Practitioners Guide in Accountability and Governance.</li> </ul>
<b>RA/ F11</b>	Salaries & Associated Clerk costs	Salaries paid incorrectly Wrong hours paid Wrong rate paid False employee Wrong PAYE deductions	<b>1</b>	<b>3</b>	<b>M</b>	<ul style="list-style-type: none"> <li>Salaries are reviewed annually by the relevant committee and recommendations made to Council.</li> <li>Salaries are reported at Council meetings. Councillors have access to the online bank account.</li> <li>Figures are incorporated in budget calculations and reviewed by Councillors.</li> <li>Checks completed by the Internal auditor.</li> </ul>	<ul style="list-style-type: none"> <li>Clerk to ensure Councillors are supplied with relevant approved Salary Scale Point recommendations from SLCC/NALC</li> </ul>

<b>RA /F12</b>	Staff	Loss of Clerk	<b>2</b>	<b>3</b>	<b>H</b>	<ul style="list-style-type: none"> <li>• The Council is a member of Cornwall Association of Local Council's who would provide the Council with support and details of locums.</li> <li>• The Clerk is required to give at least a month notice.</li> </ul>	•
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## Assets

REF	Subject	Risk / Trigger	Likelihood	Impact	Score	Management / Control of Risk	Action required – Review / Assess/Revise
<b>RA/A1</b>	Street furniture	Damaged bins notice boards, benches etc.	<b>1</b>	<b>2</b>	L	<ul style="list-style-type: none"> <li>• Landrake is a relatively small parish but relies on the work of one contractor. The contractor likes in the village, is registered as self employed and works well with the Parish Council.</li> </ul>	<ul style="list-style-type: none"> <li>• Chairman / Councillors to continue to report actions to the Council.</li> </ul>
<b>RA/A2</b>	Play and recreation equipment	Loss / damage / injury to third party(ies) / property	<b>2</b>	<b>2</b>	M	<ul style="list-style-type: none"> <li>• Weekly inspections are completed and reported.</li> <li>• Annual play park inspections completed.</li> </ul>	<ul style="list-style-type: none"> <li>• Continue to report maintenance requirements to the Council and where necessary seek full Council approval for repair costs. Any costs not within the Clerk's delegated authority to be detailed as an agenda item for a formal motion.</li> </ul>
<b>RA/A3</b>	Defibrillator	Issues with the operation of the defibrillator	<b>1</b>	<b>3</b>	M	<ul style="list-style-type: none"> <li>• Checks completed by the Council's village maintenance operator.</li> <li>• An annual maintenance fee is paid to Duchy Defibrillator.</li> </ul>	

## Legal

### Liabilities

REF	Subject	Risk / Trigger	Likelihood	Impact	Score	Management / Control of Risk	Action required – Review / Assess/Revise
RA/ L1	Legal Powers	<p>Illegal activity or payments</p> <p>Working Parties taking decisions. (risk of legal challenge)</p>	1	3	M	<ul style="list-style-type: none"> <li>All activity and payments are made within the powers of the Parish Council (not ultra vires) are to be resolved and clearly minuted.</li> <li>Terms of reference are in place and regularly reviewed.</li> <li>The Clerk is CiLCA trained (a recognised Local Council qualification). As detailed on the Clerk's job description, The Clerk is expected to advise the Council on, and assist in the formation of, overall policies to be followed in respect of the authority's activities and in particular to produce all the information required for making effective decisions and to implement constructively all decisions.</li> <li>When requirement the Clerk seeks advise from the Society of Local Councils (SLCC) or Cornwall Association of Local Councils (CALC)</li> </ul>	<ul style="list-style-type: none"> <li>Council to continue to support the Clerk in training.</li> <li>Any new staff to be given the opportunity of training.</li> <li>The Clerk should continue to provide all Councillors with the training.</li> <li>The Council to cover membership fees for the County Association (CALC) and the Clerk's membership fees/</li> <li>The Council will continue to utilise the services of professional bodies.</li> </ul>

REF	Subject	Risk / Trigger	Likelihood	Impact	Score	Management / Control of Risk	Action required – Review / Assess/Revise
RA/L2	Members / agendas & Statutory documents	Accuracy and legibility. Non-compliance with statutory requirements (risk of the Council being legally challenged)	1	3	M	<ul style="list-style-type: none"> <li>Minutes and agendas are produced in the prescribed method and adhere to legal requirements.</li> <li>Minutes are approved and signed at next meeting unless there is a resolution made to defer approval until the following meeting.</li> <li>Minutes and agendas are displayed according to legal requirements.</li> <li>Business conducted at Council complies with the Council's Standing Orders.</li> </ul>	<ul style="list-style-type: none"> <li>The Clerk, who is employed as Proper Officer of the Council, is under a statutory duty to carry out all the functions, and in particular to serve or issue all the notifications required by law of a local authority's Proper Officer. The Clerk shall prepare the agendas for meetings in consultation with the appropriate members of the Council or relevant committees.</li> </ul>
RA/L3	Employer Liability Employee Liability Councillor Liability	Non-compliance with employment law Causing injury (damage) to employee property Causing injury (damage to Councillors)	1	3	M	<ul style="list-style-type: none"> <li>The Council has relevant insurance in place.</li> <li>Legal Advice can be sort from the County Association.</li> <li>The Clerk is a member of the Society of Local Councils</li> </ul>	<ul style="list-style-type: none"> <li>Continue to ensure adequate insurance cover is provided, subscriptions are renewed and training provided.</li> </ul>
RA/L5	Freedom of Information	Lack of transparency	1	3	M	<ul style="list-style-type: none"> <li>The Council has adopted a Model Publication Scheme and Freedom of Information Policy.</li> </ul>	<ul style="list-style-type: none"> <li>Ensure website is kept up to date.</li> </ul>

#### Member's responsibilities

REF	Subject	Risk / Trigger	Likelihood	Impact	Score	Management / Control of Risk	Action required – Review / Assess/Revise
RA/M1	Members interests	Conflict of interest Register of interests	1	3	M	Councillors have a duty to declare any interest at the start of the meeting <sup>i</sup>	<ul style="list-style-type: none"> <li>To beware or regulations with reference to Standards and Register of Interests and review any changes in relation to the Standards and the Code of Conduct.</li> </ul>

**Council Reputation**

REF	Subject	Risk / Trigger	Likelihood	Impact	Score	Management / Control of Risk	Action required – Review / Assess/Revise
RA/R1	Councillors & Staff	Bringing the Council into disrepute.	1	3	M	Councillors should receive code of conduct training <sup>ii</sup> Information on training offered by Cornwall Association of Local Councils is circulated to all Councillors.	<ul style="list-style-type: none"> <li>Should a situation occur where the Council is likely to be brought into disrepute the Council should seek advice of Cornwall Association of Local Council / Society of Local Clerks.</li> </ul>

**Legislation**

<sup>i</sup> Localism Act 2011 and The Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012.

<sup>ii</sup> The Parish Councils (Model Code of Conduct) Order 2001 No. 3576