

# **SOMERCOTES PARISH COUNCIL**

## **RISK MANGMENT REGISTER | Adopted March 2025**

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# SOMERCOTES PARISH COUNCIL | RISK MANGEMENT REGISTER

## What is Risk Management?

Risk is a threat that an event or action will adversely affect the Councils' ability to achieve its aims' and objectives, implement its strategies and provide its services.

Risk management is the process by which risks are identified, evaluated, addressed and reviewed. The Council recognises that it has a responsibility to take all reasonable and practical measures to safeguard its employees, the people it works with and provides services for; and to protect the natural and built environments for which it is responsible.

The Council is aware that some risks cannot be eliminated fully and has in place a strategy that provides a structured, systematic and focused approach to managing risk and including where necessary, the introduction of internal controls and/or appropriate use of insurance cover.

## Objectives:

The objectives of the risk management policy are to:

- Integrate risk management into the culture of the Council
- Manage risk in accordance with best practice and legislative requirements
- Minimise loss, disruption, injury and damages
- Inform policy and operational decisions by identifying risks and their likely impact
- Raise awareness of the need for risk management

These objectives will be achieved by:

- Identification of risk
- Undertaking risk assessments
- Managing the risk and recording actions
- Incorporating risk management considerations into council processes
- Providing appropriate training
- Establishing clear roles, responsibilities and reporting lines
- Effective communication with, and active involvement of, employees

# SOMERCOTES PARISH COUNCIL | RISK MANGEMENT REGISTER

## Section 1. FINANCE

Topic	Risk	L/M/H	Management/Control	Review
<b>Precept</b>	Request not submitted	L	Full Parish Council minutes showing complete precept.	Annually
	Not paid by Borough Council	L	Checked and reported to Full Council. Reserves held. Paid by BACS.	Annually
	Adequacy of precept	M	Review of income and expenditure against budget at every Full Council meeting.	Annually
<b>Somercotes Village Hall Income</b>	Cash Handling – failure to accurately record/fraud.	L	Receipts reported to Council at each Full Council meeting. Reconciled to cash and till receipts.	Annually
	Cash Banking – failure to accurately record/fraud	L	Receipts reported to Council at each Full Council meeting. Reconciled to cash and till receipts. Bank reconciliation submitted to Council for approval.	Annually
<b>Grants from Amber Valley Borough Council</b>	Grant not received	L	Responsible Financial Officer checks bank statements and reports to Full Council.	Annually

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TOPIC	RISK	L/MH	MANGEMENT / CONTROL OF RISK	REVIEW
<b>Grants from Derbyshire County Council</b>	Grant not received	L	Responsible Financial Officer checks bank statements and reports to Full Council.	Annually
<b>Reserves – General</b>	Inadequate to cover possible expenditure	L	Considered at Budget setting meeting of Full Council. Opinion of RFO considered as part of the process.	Annually
<b>Reserves – Earmarked</b>	Inadequate to cover possible expenditure	L	Considered at Budget setting meeting of Full Council. Opinion of RFO considered as part of the process.	Annually
<b>Assets</b>	Loss, Damage, E.C.T	M	<p><b>Bus Shelters:</b> Inspected twice weekly by Parish Wardens, and cleaned monthly.</p> <p><b>Car Parks:</b> Inspected on regularly by Parish Wardens. Faults reported to Clerk.</p> <p><b>Parish Hall:</b> Inspected on daily basis by Caretaker.</p> <p><b>Parish Clock:</b> Inspected annually</p> <p><b>Other Assets:</b> Inspected on a quarterly basis.</p>	Annually

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TOPIC	RISK	L/MH	MANGEMENT / CONTROL OF RISK	REVIEW
<b>Assets (continued)</b>	Risk or damage to third party property or individuals	M	Council has policy of Public Liability Insurance of £10,000,000	Adequacy reviewed annually prior to renewal
<b>Loss</b>	Consequential loss due to critical damage or third party performance	L	All items are insurance by the Council	Adequacy reviewed annually prior to renewal
<b>Cash</b>	Loss through theft or dishonesty	L	Council has Fidelity insurance of £250,000	Adequacy reviewed annually prior to renewal
<b>Maintenance</b>	Wear and Tear / Damage to assets / amenities/. Loss of income	L	Regular inspections made by the Council' employees and reported to the Clerk and RFO.	Annually
<b>Borrowing / Lending</b>	Adequacy of finances to be able to repay loans/credit	M	Financial review and cash flow quarterly forecasting conducted by RFO and reported to Full Council.	Annually
<b>Legal Powers</b>	Illegal activity or payment	L	Power to spend stated in minutes. Council informed as to legal powers by the Clerk.	Annually
<b>Best Value</b>	Overspend on services	M	Ensure correct tendering for services and estimates obtained prior to precept if possible.	Annually

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TOPIC	RISK	L/MH	MANGEMENT / CONTROL OF RISK	REVIEW
<b>Salaries</b>	Wrong salary paid	L	Payroll company engaged, checked to minute and budget. Verified by internal auditor and Chairman.	Annually
	Wrong rate of pay	L	Payroll company engaged, checked to minute and budget. Verified by internal auditor and Chairman.	Annually
	Wrong deductions PAYE	L	Payroll company engaged, PAYE calculations checked. Full Council notified and checked by internal auditor.	Annually
	Information sent by E-Mail to and from payroll company in intercepted	M	Encrypt all E-Mails containing personal information	Annually
	False employee	L	Checked to PAYE Records & lists and Chairman and Internal Auditor	Annually
<b>Direct Costs &amp; Overhead Expenses</b>	Goods not supplied to Parish Council	L	RFO confirms, Clerk verifies	Daily/Monthly
	Invoice incorrectly calculated	L	Arithmetic checked by RFO and invoice checked by Clerk.	Daily/Monthly

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TOPIC	RISK	L/MH	MANGEMENT / CONTROL OF RISK	REVIEW
<b>Direct Costs &amp; Overhead Expenses (continued)</b>	Payment payable is in excess of budget	M	Payments are authorised by clerk and reported to Full Council and statements signed by two councillors in accordance with Financial Regulations.	By Monthly
	Cheque / payment made to wrong party	L	Signed by two councillors and minuted.	Annually
<b>Grants &amp; Support</b>	No power to pay	M	Minute power. Council verifies.	Annually
	No agreement of Council to pay	L	Agenda item minuted and payment authorised by Full Council.	Annually
	No conditions agreed / unreasonable conditions	L	Payable on receipt of final invoice and checked by RFO.	Annually
<b>Elections Costs</b>	Estimate only given by ABVC – Late submission of Borough Council invoice therefore cost not fully covered by budget	H	RFO and Full Council agree budget to meet expenditure incurred as a result of mid term by-elections, and to meet costs of normal electoral events either contested or not.	To be reviewed annually at presentation of draft budget

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TOPIC	RISK	L/MH	MANGEMENT / CONTROL OF RISK	REVIEW
<b>VAT irrecoverable</b>	VAT element not recorded on cashbook	M	All items listed in cash book and VAT expenditure reported at every Full Council meeting.	Annually
	Exemption doesn't apply	L	RFO verifies	Annually
	Not claimed within time limits	M	VAT is claimed on a monthly basis and reported to Full Council (minuted).	Monthly
<b>Financial Records</b>	Inadequate records	L	Checked bi-monthly by RFO and presented to Full Council for agreement. Annual internal and external audit process conducted as required by law	By Monthly
<b>Minutes</b>	Failure to be accurate and legal	L	Reviewed by Council / Committee at the following meeting.	By Monthly
<b>Members Interests</b>	Conflict of interest	M	Declarations of interest are declared at each meetings with a reminder note printed on the agenda to remind Councillors of their obligations under the Localism Act 2011	Annually



## SOMERCOTES PARISH COUNCIL | RISK MANGEMENT REGISTER

TOPIC	RISK	L/MH	MANGEMENT / CONTROL OF RISK	REVIEW
<b>RFO / Councillors Committing Fraud</b>	Parish Precept / Public funds / Reputation of Parish Council	L	Fidelity Insurance cover of £250,000 in addition to Financial Regulations and Internal and External Audit Operations.	Amount of Fidelity Insurance to be reviewed annually prior to renewal
<b>Loss of Money at Bank</b>	Parish Precept / Public Funds	L	Division of reserves between 2 banks spreads the risk to minimise financial loss. Financial Services Compensation Scheme covers up to £85,000 per authorised bank or building society.	Annually

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## Section 2. PARISH HALL

Topic	Risk	L/M/H	Management/Control	Review
<b>Access</b>	Trip/Slip when entering the Hall.	L	Disabled access is available at the front door.	Annually
<b>Flooring</b>	Stairs	L	Stairs are kept clear of all objects and checked daily by the Caretaker.	Daily
	Carpet	L	Examined daily by the caretaker / relief caretaker. Carpets are kept defect free.	Daily
	Tiles	L	Examined daily by the caretaker / relief caretaker. Notices are displayed when wet.	Daily
<b>Equipment</b>	Electrical and plumbing failure	L	Caretaker/Relief Caretaker inspects daily for any evidence of faults. Senior Parish Warden under takes the annual PAT on all equipment, and annual electrical check conducted by qualified electrician.	Annually
<b>Claim on Council following accident to member of the public</b>	Potential for claims against the Council and possible prosecution.	L	Insurance cover in operation. Health and Safety risk assessments are reviewed and carried out annually.	Annually

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Topic	Risk	L/M/H	Management/Control	Review
<b>Lone Worker Assault</b>	Assault on; Caretaker, Relief Caretaker, Bar Manager, Bar Staff, Clerk, Deputy Clerk and Parish Wardens.	<b>M</b>	<p>All staff are required to have/complete lone worker training.</p> <p>Any staff member working alone in the Hall is required to have on their person the Councils' lone worker device.</p> <p>Lone working staff are also required to lock the entrance</p> <p>All staff are ultimately insured for any damages they may incur as a result of any assault.</p>	Lone worker arrangements are reviewed annually by the Clerk alongside the staff appraisal process.
<b>Vandalism</b>	Damage to facilities and or equipment.	<b>M</b>	<p>The Hall is locked and alarmed when not staffed or in use by an approved user(s).</p> <p>Damage identified by the Caretaker and Parish Wardens' is repaired as soon as possible. Both the Hall and the equipment is insured against vandalism.</p> <p>Derbyshire Police regularly visit the Hall to help deter attempts.</p>	Annually
<b>Structure of Building</b>	Falling debris.	<b>L</b>	Exterior of building and walls are inspected weekly by the Caretaker and Parish Wardens on a daily basis.	Annually

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Topic	Risk	L/M/H	Management/Control	Review
<b>Water</b>	Legionaries disease	L	Caretaker conducts regular water temperature checks and purges to ensure compliance. Which is recorded and signed off by the Clerk.	Daily
<b>Gas</b>	Gas leaks and carbon monoxide poisoning.	L	Boilers are inspected yearly by NCL for compliance and maintenance. Carbon monoxide detector checked alongside fire alarms every six months	Daily
<b>Fire</b>	Fire and fire related accidents.	L	Fire warden [caretaker] inspects alarms on a regular weekly basis. Overall Fire safety system in inspected every 6 months.	Daily
<b>Asbestos</b>	Claims of liability from staff and members of the public	L	All Council property has been inspected for the presence of asbestos and has been deemed to be asbestos free.	Annually
<b>Bar / Licensing / Alcohol / Cash</b>	Illegal sale of alcohol to members of the public under the age of 18.	M	The Council operates a strict 'Challenge 25' rule which all staff have been informed of and trained on.	Monthly
	Illegal sale of alcohol to members of the public against terms of premises licence.	L	Bookings for the use of the bar are only approved for within the confines of the premises licence.	Monthly

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	Storage of alcohol	L	All alcohol is securely stored in the bar which is locked, with access limited to authorised bar staff and the Clerk.	
	Theft of stock, cash and or equipment.	L	<p>All stock is regularly accounted for through stock audit checks.</p> <p>All cash in the bar's till is electronically recorded and integrated into the Council's accounting systems. Staff are required to explain variances.</p> <p>Cash in the till is securely locked, and only accessible to authorised staff members with Personal Identification Numbers [Pins]</p> <p>All equipment is recorded on the asset register..</p>	

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## Section 5. GOVERNANCE AND MANAGMENT

Topic	Risk	L/M/H	Management/Control	Review
<b>Failure to meet the laid down timetables when responding to consultation invitations.</b>	Affect on Council's reputation, and appearance of infective governance.	L	Clerk informs councillors as and when they come in to the Council.	Annually
<b>Council lacks relevant skills and commitment</b>	Council fails to discharge its duties, decision making bypasses Council and poor value for precept money.	L	All Councillors are required to undertake training at the commencement of their term, and are continually offered training through out their tenure and or acceptance of additional roles and responsibility on the Council.	Annually
<b>Council becomes dominated by one or two individuals</b>	Conflicts of interest, pursuit of personal agendas, and decisions made outside of council meetings.	L	Standing orders prevent set out the process for the orderly conduct of councillors, in addition make clear the right and proper process by which decisions are carried out.	Annually
<b>Councillors benefiting from being on the Council</b>	Affect on the reputation on the Council, and breach of the Localism Act 2011.	L	The Council has in place a clear code of conduct and standing orders in place which has been issued to all councillors.	Annually

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<b>Failure to register Members' interest.</b>	Affect on the reputation of the Council, and breach of the Localism Act 2011	L	The Council has in place clear policies pertaining to the declaration of interests, and councillors are regularly reminded to maintain their forms.	Annually
<b>Lack of maintenance of Council owned property</b>	High cost of repair, injury to third party leading to claims of liability, and damages to property.	L	Regular routine inspections are carried out by Parish Wardens, and maintenance carried out as and when needed.  All buildings are insured in order to cover costs of potential liability.	Annually
<b>Problems due to borrowing or lending.</b>	Inability of Council to repay a loan.	L	All loans are monitored by the RFO and fiscal situation regularly presented to Council for consideration and oversight.	Annually
<b>Failure to ensure that the proper use of funds granted to local community bodies under Section 137</b>	Investigation unto the use of funds.	L	The Council has a clear and established policy for the use of Section 137 funds.  All funding is clearly minuted in meeting minutes and is tracked throughout they year or on the completion of the project by the RFO.  Section 137 funds are also ring fenced in the Council's accounts for the clear inspection and review by both councillors and members of the public.	Annually

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<b>Loss of records</b>	Loss of irreplaceable historical records. Inability to carry out services, and or track discharge of prior decisions.	L	Regular digital backups are undertaken on a monthly basis. And physical files are stored securely in order to avoid loss due to fire or other elements.	Annually
<b>Cyber Security</b>	Loss of sensitive information, funds,	M	<p>The Council utilizes anti-viral software for all internet connected devices</p> <p>All Council employees are required to have their own unique password that complies with the recommendations of the UK Cyber Security Agency</p> <p>Two factor authentication is utilized where possible.</p>	Annually