



Leicester Forest East

Parish Council

Risk Management Strategy (Reviewed February 2021)

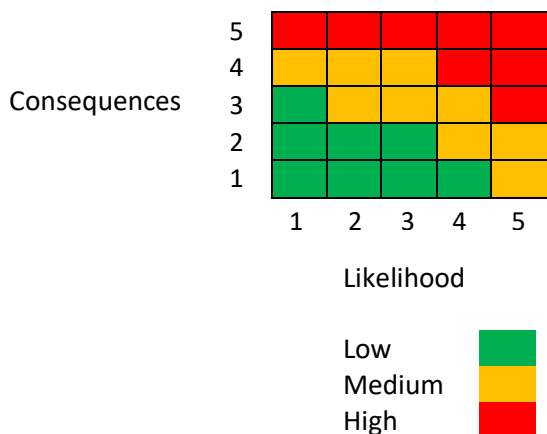
Risk is an uncertain event or condition that, if it occurs, will have an effect on the achievement of the Council's objectives. The Parish Council recognises that it has a responsibility to manage risks effectively in order to minimise uncertainty in achieving those goals and objectives and to protect its employees, assets, liabilities and community against potential losses.

This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. The Parish Council acknowledges that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic and focussed approach to managing risk.

The following main areas are covered:

- Subject matter
- Hazard
- Who is affected
- Current mitigations
- Likelihood
- Consequences
- Risk rating
- Notes/Actions

Risks are categorised based on the chart below.



Risk Assessment Schedule

Subject	Hazard	Who is affected	Current mitigations	Likelihood 1 low, 5 high	Consequences	Risk rating	Notes/actions
Business continuity	Council not able to continue its business due to an unexpected circumstance	PC	All records are backed up in the cloud and can be accessed away from the premises if required. Meetings to be held at another location or using Zoom if required. The Clerk and Assistant Clerk (AC) have portable laptop computers and are able to work from home should the need arise.	1	1	L	Laws changed to allow Zoom meetings during Covid 19 pandemic but may only be permitted for a limited time.
	Council not able to obtain adequate numbers of Councillors to make a quorum.	PC	Council to advertise vacancies locally including on social media to encourage local residents to join the Council.	3	2	L	
Management	Reputation - Councillor or officer acts outside code of conduct – fraud	PC	Recruitment process for officers – references taken where appropriate. Two 'signatories' reduces the risk of fraud e.g. all payments are checked and authorised by two councillors. Amount that could be misappropriated without authorisations is low (petty cash).	1	2	L	

			Whoever enters a payment(s) on bacs is then unable to authorise that payment(s).				
	Reputation - Councillor or officer acts outside code of conduct – bribery etc	PC	Multiple councillors guards against this, financial regulations require multiple quotations/ tender process and require group decision making	1	1	L	
	Unpopular decisions, bad press or social media e.g. from ex councillor	PC	Group decision-making provides a number of different perspectives and therefore balance.	3	1	L	Consider public consultation for potentially controversial/major matters.
Office equipment	Electrical equipment causes shock to officer/councillor/member of the public	PC/officers/public	PAT testing – annually. Public liability insurance, H&S policy, employers liability insurance.	1	3	L	Financial consequences limited by insurance
	Theft of office equipment	PC	Insurance. Physical office security – not left unlocked, building is alarmed.	1	3	L	
	Damage to IT equipment, leading to lack of availability/ requiring replacement. Potential loss of data	PC/officers	Data is stored and backed up externally via One Drive. Laptops are available should the main computer become damaged and vice versa. Equipment is insured.	2	2	L	

			Laptops to be kept in case when being transported or not being used.				
	Theft of portable office equipment (laptops) whilst travelling or working from home	PC/officers	Keep laptops locked out of sight if travelling by car and stop for petrol etc. Home-working, ensure laptop is kept in a safe place and property is locked. Insurance covers theft. Robust passwords required for access.	2	1	L	
Office health and safety	Slips/trips/falls	PC/officers	'Good housekeeping' policy, office kept tidy and cables routed around the edge of the office.	1	3	L	
Lone working	Premises are accessed by hirers and members of the public visiting for classes etc. Lone workers at risk from dangerous/aggressive members of the public. Unauthorised people may gain access or not vacate the building	Officers	Signs warn people regarding abusive behaviour. Officers have alarms which they should carry when on the premises. Access to front door is controlled to some extent by Officers and there is CCTV. Hirers are aware that they are responsible for allowing access by their visitors particularly when no officers are on the premises. Premises Officer accompanied by security	3	4	M	This risk is under ongoing review. Consider developing a formal lone working policy. Consider altering the premises so that Officers are able to isolate themselves from the 'public' parts of the building.

			guard when locking up at night.				
Parish Hall health & safety	Slips/trips/falls	Officers/PC/public	Ensure no trailing leads/good housekeeping. Floors only to be mopped when premises not in use.	2	3	M	
Finance	Precept – adequacy of precept	Officers/PC	Careful budgeting to support annual precept. Committees consider budget requirements for forthcoming year and precept is considered by Finance Committee prior to recommending to full council in Jan.	1	3	L	
	Insurance – adequate insurance cover is taken out	Officers/PC	Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement. An annual review is undertaken of all insurance arrangements in place.	1	3	L	
	Banking – loss through theft or dishonesty	Officers/PC	Monthly bank reconciliations presented at Council meetings and reconciliation/original bank statements signed by two councillors. All online payments require two signatories other than the person making the payment and full documentation	1	3	L	

			provided for each payment and checked and initialled by the signatories. No signatory to share their online banking login. Cheques to be signed by two councillors once supporting documentation checked and initialled. Internal and external audits carried out annually.				
	Purchases/expense claims/payments – fraudulent details on documentation	Officers/PC	Purchase invoices checked against goods received where appropriate and reviewed by both Clerk and AC. Invoices/expense claims also reviewed by Councillors when making payments. First time payments to suppliers or changes in bank details for suppliers verified by telephone call to supplier.	3	3	M	Banks currently warn of significant problems with intercepting of emailed invoices and alteration of bank details
	Petty cash- loss through theft or dishonesty	PC	Petty cash kept in a locked tin in the safe with limited access. No more than £250 held in petty cash. It is reconciled regularly.	1	2	L	
	Credit card – loss through dishonesty or fraudulent use	PC	Credit card only to be used when usual credit arrangements not	1	2	L	

			available. Credit limit set at £500 per month (£250 cash). Payments to be added to monthly order paper for review and amount to be agreed by councillors approving online payments. Credit card to be stored in a secure place.				
	Salaries - calculated incorrectly/dishonestly. Incorrect amounts paid to HMRC	PC	A reputable payroll bureau used to calculate the salaries and amounts payable to HMRC. Clerk/AC check any adjustments to normal salary levels correctly calculated. Bacs salaries transfers are made after agreement to supporting documentation by two Councillors	1	3	L	
	Accounts produced by Officers conceal fraudulent activity	PC	Monthly accounts produced for council review. AC to present to and discuss variances with full council regularly. Chair of Finance to review accounts and Rialtas reports in detail prior to meetings.	1	3	L	
Officers	Clerk or AC – resign or go on long term sick leave	PC	The Clerk/AC's notice period is three months,	3	3	M	

			Council would endeavour to recruit within this period. If this not possible, or either went on long term sick leave, in the short term the more urgent elements of the role would be covered by the 'other' officer. The council would consider temporary staff/assistance or assistance from LRALC or covering the tasks themselves until suitable recruit found.				
	Premises officer – resigns or goes on long term sick leave	PC	The Premises Officer's notice period is one month. The Council would seek to recruit asap should the PO hand in their notice and would consider using temporary staff in the meantime, particularly if on long term sick leave. Use would be made of the security company who already perform locking/unlocking/security tasks.	1	1	L	
Parks and grounds	An accident occurs whilst using the furniture/equipment in the parks	PC	All parks furniture/equipment (play equipment/bins/benches etc) is assessed and	3	3	M	

			maintained as part of a regular review process. Repairs are carried out in a timely manner once the Council have received notification of a problem/repair required.				
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