

# **MERTON PARISH COUNCIL**

## **Risk Management Policy.**

This document sets out Merton Parish Councils approved and agreed practices. Any deviation must be made by resolution of the full Council and recorded below.

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**Version Control and Revisions: See end of document**

### **THIS IS A CONTROLLED DOCUMENT**

**Whilst this document may be printed, the electronic version maintained on the Merton Parish Council laptop is the controlled copy. A .pdf version of this document is published on the Merton village website in the Parish Council section. Any printed copies of this document are not controlled.**

**Signed**      *S. Papworth*      **Chairman**

**Date 13.5.19**

**The original signed document is held by the Clerk.**

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Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the Parish Council to identify any and all potential inherent risks. The Parish Council, based on a recorded assessment, will take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible.

This document has been produced to enable Merton Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

<b>Subject</b>	<b>Risk(s) identified</b>	<b>H/M/L</b>	<b>Management/control of Risk</b>	<b>Review/Assess/Revise</b>
Precept	Adequacy of precept in order for the Council to carry out its Statutory duties	M	At the council meeting to discuss the precept the Council receives a budget report, including the previous year end Budget report, the actual position and projected position to the end of year and indicative figures or costings obtained by the RFO. With this information the Council maps out the required monies for standing costs and projects for the following year and applies specific figures to budget headings, the total of which is resolved to be the precept amount to be requested from Torridge District Council. The figure is submitted by the RFO in writing. The Clerk informs the Council when the monies are received.	Previous years budgets have not covered expenditure, implementation of this method of budget setting should prevent future issues.

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Financial Records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations which sets out the requirements.	Existing procedure adequate Review the Financial regulations annually
Bank & Banking	Inadequate checks Banks mistakes	L L	The Council has Financial Regulations which set out banking requirements Regular reconciliations provided	Existing procedure adequate Existing procedure adequate
Grants	Receipt of grant	L	Parish Council does not presently receive any regular grants.	Procedure would be formed, if required
Grants and support payable	Power to pay Authorisation of Council to pay	M	All such expenditure goes through the required Council process of approval, minuted and listed accordingly if a payment is made using S137 powers of expenditure.	Suggest that Council look at Grants Policy to support justification of S.137 payments
Best value accountability	Work awarded Incorrectly. Overspend on services.	L M	Normal Parish Council practice is to seek more than one quotation/tender for any substantial work to be undertaken. For major work competitive tenders would be sought. If problems encountered with a contract the Clerk would investigate the situation and report to the Council.	Existing procedure adequate and included in Standing Orders and Financial regulations.
Salaries and assoc. costs	Salary paid incorrectly. Unpaid Tax to Inland Revenue.	L	Clerks basic hours, overtime and expenses are submitted at the council meeting for approval and paid to the Clerk.	Existing procedure adequate

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			NI and IT contributions are deducted directly from Clerks pay and a combined payment together with Employer NI contributions is paid bi-monthly to HMRC following approval at the council meeting	
Employees	Fraud by staff	L	Requirements of Fidelity	Existing procedures
	Health and safety	L	Guarantee insurance adhered to with regards to fraud.	adequate.
			All employees to be provided adequate direction and safety equipment needed to undertake their roles	Monitor health and safety requirements and insurance annually.
VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out The requirements.	Existing procedures adequate.
Annual Return	Submit within time limits	L	Employers Annual Return is completed and submitted online with the prescribed time frame by the RFO.	Existing procedures adequate.
		L	Annual Return completed and signed by the Council, submitted to internal auditor for completion and signing then checked and sent to External Auditor within time frame.	Existing procedures adequate
Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved at full Council Meetings, including	Existing procedures adequate

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Minutes/agendas/ Notices Statutory Documents	Accuracy and legality Business conduct	L L	reference to the power used under the Finance section of agenda and Finance schedule bi-monthly. Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair	Existing procedures adequate. Members adhere to Code of Conduct
Members interests	Conflict of interests Register of members interests	L M	Declarations of interest by members at Council meetings. Register of member's interests forms reviewed regularly.	Existing procedures adequate. Members take responsibility to update register.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities as necessity and a minimum of 2 quotes are considered by the Council when up for renewal. Ensure compliance measures are in place. Fidelity checks in place.	Existing procedure adequate. The Council is currently signed up to a 3 year LTA which expires 31 <sup>st</sup> May 2021.

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Data protection	Policy provision	L	The Parish Council is registered with the Information Commissioner's Office (ICO).	Ensure annual renewal of registration
Freedom of Information	Policy Provision	L M	The Council has a Model Publication scheme in place. The Parish Council is aware that if a substantial request came in it could create a number of additional hours work.	Monitor any requests made under FOI
Assets	Loss or damage Risk/damage to third party property	L	An annual review of assets is undertaken for maintenance and insurance provision	Existing procedures adequate
Maintenance	Poor performance of assets or amenities	L	All assets owned by the Parish Council are annually reviewed and maintained as required. All repairs and relevant expenditure for any repair is actioned/authorised in accordance with the correct procedures of the Parish Council. Assets are insured.	Existing procedures adequate
Notice Board	Risk of damage	L	The Parish Council noticeboard is located outside the Clinton Hall.	
Meeting locations	Adequacy Health & Safety	L M	The Parish Council meeting is held in the Clinton hall which is considered to have appropriate facilities for the Clerk, members and the general public.	Existing procedures adequate

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Council records – paper	Loss through: Theft Fire damage	L M L L	The current Parish Council records are stored at the home of the Clerk. Historical records including correspondences, insurance, and bank records are stored in the loft of the Clinton Hall. Some historical Minutes retained at the North Devon Records Office	Damage (apart from fire) and theft is unlikely and so provision is adequate.
Council records – electronic	Loss through: Theft, fire damage or corruption of computer	L M	The Parish Council electronic records are stored on the Council laptop held at the Clerks home. Back ups of electronic data is made at regular intervals on an external hard drive which is kept in the Clerks personal safe at her home.	Existing procedures considered adequate

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**Revision History**

<b>Date</b>	<b>Version</b>	<b>Notes</b>
25-6-19	1.0	Policy created