

DONINGTON ON BAIN PARISH COUNCIL RISK MANAGEMENT

Risk Status Indications

The adopted risk management methodology uses a traffic light colour against each risk item to confirm its current status.

The colour coding is defined as follows:

- This identified risk is being effectively managed with adequate reviews, processes and/or documentation as appropriate.

- *As applicable, either*

This identified risk is being managed. However, there are aspects of risk management, which ought to be improved to achieve a green status. It is recognised that sometimes improvements may be difficult to achieve and remedial work may take time (e.g. a need for Councillor training).

or

This identified risk is not under adequate management. However, if this risk arises, it will have a minimal impact upon the Council. Whilst attempts can be made over time to improve the management of this risk, there may be occasions where the cost of mitigation is not warranted (e.g. holding spare parts or equipment).

- This identified risk, which has a serious potential impact upon the Council is not under adequate management. This represents a key risk, which will be highlighted to meetings of the Council until such time that it is adequately managed or mitigated. Certain key risks with a low probability may be entirely beyond the management control capability of the Council – such risks may retain a red status upon the agreement of Council.

DONINGTON ON BAIN PARISH COUNCIL RISK MANAGEMENT

Mission Statement of Donington on Bain Parish Council:

To provide services for, and manage and maintain the Council assets of, the village of Donington on Bain within the resources provided by the annual precept and other incomes, taking into account the wishes of the residents and obtaining value for money.

Aim	Risk	Method used to Minimise Risk	Person(s) Responsible	Status ● ● ●
1. To ensure compliance with Acts of Parliament, other legislation, the Council's Standing Orders, Financial Regulations and Code of Conduct. <i>Including:</i> <i>Freedom of Information</i> <i>Data Protection</i> <i>Child Protection</i> <i>Protection of vulnerable people</i> <i>Local government legislation</i> <i>Equality of opportunity</i> <i>Racial equality</i> <i>Disability legislation</i>	a. Lack of knowledge of regulations and codes.	Ensure that all Councillors have copies of or access to relevant information through LALC, copies of the adopted Code of Conduct, Financial Regulations and Standing Orders and a copy of the latest edition of the Good Councillors Guide. Highlight essential parts and provide specific training where possible.	Chair Clerk All councillors LALC	●
	b. Absence of Standing Orders	Ensure that Standing Orders are produced, understood by councillors, and reviewed at least once per year.	Chair Clerk	●
	c. Actions by the Council outside its powers as set out by Parliament.	As at 1a above, but ensure that, as necessary, powers are highlighted or extracted into an effective summary.	Chair Clerk	●
	d. Lack of commitment to regulations and procedures.	Regular reference to appropriate regulations in agenda items. Appropriate delegation of responsibilities to councillors and committees. Compliance with appropriate procedures.	Chair All councillors Clerk	●
	e. Items purchased without proper tendering procedures, resulting in accusations of commercial favoritism.	Ensure that all councillors are aware of regulations regarding estimates and full tender procedures. Introduce practice of estimates for all purchases over an agreed figure.	Chair Clerk Clerk	●
	f. Payments made without prior approval and adequate control.	Ensure all payments are approved in accordance with the Financial Regulations and properly recorded. Keep cash payments to a minimum, and avoid if possible.	Clerk RFO	●
	g. Lack of control of signatories to cheques.	Keep authorised signatories to a minimum but consistent with		●

Donington on Bain Parish Council Risk Register
Ratified February 2025

2/

<i>continues</i>		practicalities.		
Aim	Risk	Method used to Minimise Risk	Person(s) Responsible	Status ● ● ●
<i>continued</i>				
1. To ensure compliance with Acts of Parliament, other legislation, the Council's Standing Orders, Financial Regulations and Code of Conduct.	h. VAT not properly accounted for, resulting in over-claims and large demands from HMRC.	Ensure appropriate publications held and that Clerk/RFO has a good knowledge of regulations.	Clerk RFO	●
2. To identify and regularly review the Council's priorities and risks.	a. Lack of knowledge of setting objectives, setting priorities, and identifying risks to their achievement.	All councillors to be made aware of need for objectives and identification of risk. Attend training sessions and refresher training.	Chair Clerk All Councillors	●
	b. Lack of commitment by council members	Add risk assessment to agenda at least quarterly, reviewing particular items, and results against those items.	Chair Clerk	●
	c. No risk analysis carried out.	As at 2a above. Ensure that completion of the risk assessment is given high priority, as a requirement of the Audit Commission	Chair All Councillors Clerk	●
	d. No steps taken to combat identified risks	As at 2b above.	Chair All Councillors Clerk	●
	e. An inadequate complement of councillors to manage the business of the council	All councillors to strive to work in a constructive manner in accordance with the Code of Conduct and to welcome and encourage new councillors. All councillors to cooperate to share the workload.	All Councillors Clerk NKDC	●
3. To influence others, such as Lincolnshire County Council, East Lindsey District Council and other Government	a. Lack of effective lines of communication with other organisations.	Note all communication lines which are essential or beneficial and establish/maintain contacts by name and where possible face-to-face.	Chair Clerk	●

Donington on Bain Parish Council Risk Register
Ratified February 2025

2/

organisations to recognise the requirements and interests of the local population. <i>continues</i>	b. Lack of effective lines of communication with parishioners.	Take every opportunity to publicise role of Parish Council using the Sheepwash Times, notice boards, “flyers” and the Annual Parish Meeting. Use key issues to raise the profile of PC and to test parishioners’ views.	Chair All Councillors Clerk	●
Aim	Risk	Method used to Minimise Risk	Person(s) Responsible	Status ● ● ●
<i>continued</i>				
3. To influence others, such as Lincolnshire County Council, East Lindsey District Council and other Government organisations to recognise the requirements and interests of the local population.	c. Lack of preparation on subjects requiring influence.	Ensure all councillors are aware of need for careful research and are guided as to where to obtain relevant information.	Chair Clerk	●
	d. Lack of confidence by Parish Councillors.	Experienced councillors and Clerk to assist newcomers to understand roles and responsibilities, to establish essential contacts and to gain procedural awareness.	Chair All Councillors Clerk	●
4. To ensure that all councillors are aware of their responsibilities, and possible liabilities, and to provide adequate insurance cover for all likely risks.	a. Lack of knowledge of possible culpability of councillors.	Creation of Standing Orders and Code of Conduct and familiarisation with those matters where greatest risk occurs.	Chair Clerk	●
	b. Lack of education of Councillors regarding culpability.	Experienced councillors and Clerk to assist newcomers to understand culpability. To attend training courses and refresher training as available (see LALC annual training scheme).	Chair All Councillors Clerk	●
	c. Inadequate insurance cover taken out – property, personal liability, employer’s liability.	Review risk assessment by including on agenda at least quarterly. Delegate responsibility for keeping up-to-date with insurance requirements to the Policy & Resources Committee.	Chair Clerk	●
	d. Councillors fail to declare interests and participate in inappropriate decision making, which has a material impact upon the decisions taken and the public perception of the Council.	All councillors to be reminded to abide by the Code of Conduct and the register of interests and to be alert to potential breaches of both. As far as is possible, the Clerk to ensure the register of interests are complete and up to date.	Clerk All Councillors ELDC	●
5. To keep appropriate books of account accurately and up-to-date throughout the financial	a. Lack of knowledge of accounting requirements	Ensure all councillors are familiar with current Financial Regulations. Regularly review Standing Orders and Financial Regulations. Ensure all Councillors are aware of the lack of cover under the Financial Services	Chair All Councillors Clerk	●

Donington on Bain Parish Council Risk Register
Ratified February 2025

2/

year. To maintain secure banking facilities. <i>continues</i>	b. Lack of commitment to accounting requirements.	Compensation Scheme. As at 5a above. RFO to produce financial reports at all Council meetings. Internal audit reports to be made available to all councillors and any recommendations to be acted upon promptly.	All Councillors RFO Internal Auditor	●
Aim	Risk	Method used to Minimise Risk	Person(s) Responsible	Status ● ● ●
<i>continued</i> 5. To keep appropriate books of account accurately and up-to-date throughout the financial year. To maintain secure banking facilities.	c. Bank charges unnecessarily incurred d. Inaccuracies in recording amounts and totals in books of account. Bank reconciliations not carried out. e. Inaccuracies and interest losses caused by account transfers. f. To ensure that the banking facilities of the Council are secure and offer value for money. g. Inadequate control of cash receipts and payments. h. Books of account not kept up to date/ invoices not posted promptly.	RFO to carry out regular inspection of books of account. Internal audit to be undertaken every six months. RFO to ensure that books of account are formatted in such a way that internal controls are included and activated. Regular internal audits to advise on internal controls required. Keep number of accounts to a minimum but ensure that any large credit balances are deposited in an interest bearing account. Using information available in the public domain, the RFO to periodically review the Councils banking arrangements in respect of achieving both value for money and security, but noting that changing accounts may itself incur some risks. Avoid cash payments and receipts if possible. Where cash receipts are unavoidable to record each receipt into a cash book and to issue the payee with a paper receipt. Cash payments, if unavoidable, shall be claimed as expenses by Officers and Councillors with receipts being presented as evidence. Regular checks by RFO and internal auditor. Financial reports at all Council meetings.	RFO Internal Auditor RFO Internal Auditor RFO All Councillors RFO Internal Auditor RFO All Councillors RFO Internal auditor	● ● ● ● ● ●

Donington on Bain Parish Council Risk Register
Ratified February 2025

2/

<i>continues</i>	i. Internal controls not in place or not operated.	As at 5h above.	RFO Internal auditor	●
	j. Payments missed or delayed.	As at 5h above.	As for 5i above	●
Aim	Risk	Method used to Minimise Risk	Person(s) Responsible	Status ● ● ●
<i>continued</i> 5. To keep appropriate books of account accurately and up-to-date throughout the financial year. To maintain secure banking facilities.	k. RFO taken ill or leaves without replacement	The internal auditor can be appointed as temporary replacement for \ rfo. upon for advice. Councillors to be familiar with all aspects of financial matters. Local Procedures to exist to explain processes. Electronic payments will be unavailable, but cheque payments can still be made as usual. Other staff can be paid by cheque. Electronic bank statements are available to other on line users (3 Councillors).	RFO	●
6. To ensure that payments made from Council funds and the use of assets, represent value for money, are adequately managed, and comply generally with the wishes of the residents.	a. Lack of knowledge of wishes of residents.	As at 3b above Ensure residents and other stakeholders (i.e. local organisations) are consulted on major financial issues, which impact upon them.	All Councillors Clerk	●
	b. Use of funds not giving value for money.	Effective budget planning processes and appropriate tendering. Creation of a rolling plan for projects and maintenance expenditure.	Clerk RFO	●
	c. Use of funds not in accordance with the wishes of the residents.	As at 2a above. As at 6a above.	All Councillors Clerk	●
	d. Charges for use of facilities inadequate or excessive.	Effective financial management by RFO. Internal audit checks.	All Councillors	●
	e. Fund raising not properly controlled or not in accordance with regulations.	All councillors to be aware of need to check regulations before commencing fund-raising activities. Effective financial management by RFO.	All Councillors Clerk RFO	●

Donington on Bain Parish Council Risk Register
Ratified February 2025

2/

<p>7. To ensure that the annual precept requirement results from an adequate budgetary process; progress against the budget is regularly monitored; and reserves are appropriate.</p> <p><i>continues</i></p>	<p>a. Lack of knowledge of budgetary process, and of Council regulations.</p> <p>b. Lack of commitment to budgetary process.</p>	<p>Ensure regulations are issued to all councillors. Place item on agenda early in year to remind councillors of budget process and actions required. Encourage councillor training. Delegate responsibility for managing the initial budgetary process to the RFO.</p> <p>As at 7a above Involve all councillors in budgetary process, not solely the Clerk/RFO.</p>	<p>All Councillors RFO Clerk</p> <p>All Councillors Chair</p>	<p>●</p> <p>●</p>
Aim	Risk	Method used to Minimise Risk	Person(s) Responsible	Status ● ● ●
<p><i>continued</i></p> <p>7. To ensure that the annual precept requirement results from an adequate budgetary process; progress against the budget is regularly monitored; and reserves are appropriate.</p>	<p>c. Inadequate consideration of requirements for annual precept.</p> <p>d. Calculation not in accordance with Council regulations.</p> <p>e. Inadequate internal controls with regard to monitoring expenditure.</p> <p>f. Reserves too low or too high</p>	<p>Place item on agenda early in year to remind councillors of budget process and actions required. Delegate responsibility for managing the initial budgetary process to the RFO. Start budget build in November well ahead of submission date.</p> <p>Checks by RFO and Internal Auditor.</p> <p>Checks by RFO and Internal Auditor. Financial and budget progress reports to all Council meetings.</p> <p>The general reserve (not earmarked) to be at least 25% of typical annual income or as otherwise advised by the RFO.</p>	<p>All Councillors RFO Clerk</p> <p>RFO Internal auditor</p> <p>RFO All Councillors</p> <p>RFO Clerk All Councillors</p>	<p>●</p> <p>●</p> <p>●</p> <p>●</p>
<p>8. To explore all possible sources of income, and ensure that expected income is fully received.</p>	<p>a. Lack of knowledge of possible sources of income e.g. grants.</p> <p>b. Lack of commitment to pursue possible sources of income.</p> <p>c. Maximise rental income</p>	<p>Encourage training and conference attendance to gain experience of all grants available and application procedures.</p> <p>As at 8a above.</p> <p>Charge appropriate rates.</p>	<p>Chair Clerk</p> <p>All Councillors Clerk</p> <p>Clerk Chair RFO</p>	<p>●</p> <p>●</p> <p>●</p>

Donington on Bain Parish Council Risk Register
Ratified February 2025

2/

<i>continues</i>	d. Receipts not banked or not banked promptly.	Regular checks by RFO and Council. Internal audit checks.	Internal auditor	●
	e. Debts not pursued promptly.	As at 8c above.	RFO	●
Aim	Risk	Method used to Minimise Risk	Person(s) Responsible	Status ● ● ●
<i>continued</i>				
8. To explore all possible sources of income, and ensure that expected income is fully received.	f. VAT claims not made promptly or made incorrectly.	Ensure Clerk has appropriate and up-to-date VAT official publications. Regular checks by RFO. Internal audit checks.	RFO	●
9. To ensure that salaries paid to employees and amounts paid to contractors are paid in line with Council regulations and budget and statutory legislation. Ensure payments are adequately monitored.	a. Inappropriate rate of pay to employees.	Ensure employee regulations are available and understood by Clerk. Checks by RFO. Internal audit checks.	RFO Clerk Internal audit	●
	b. Tax and NI arrangements not in accordance with regulations.	As at 1 above.	RFO Clerk Internal audit	●
	c. Amounts paid to contractors not in accordance with contract and inadequately monitored.	Checks by RFO and internal audit. Monitoring of contract expenditure by the Property Services Committee.	RFO All councillors	●
10. To ensure that year end accounts are prepared on	a. Lack of knowledge of Council regulations and procedures.	Compliance with Financial Regulations and Standing Orders. Attend training seminars where available.	Clerk RFO	●

Donington on Bain Parish Council Risk Register
Ratified February 2025

2/

the correct accounting basis, on time, and supported by an adequate audit trail.	b. Late or non- submission of annual accounts.	Compliance with the instructions of the External auditor. RFO to monitor progress against timetable and report to Council meetings.	All Councillors Clerk RFO Internal auditor All Councillors	●
<i>continues</i>				
Aim	Risk	Method used to Minimise Risk	Person(s) Responsible	Status ● ● ●
<i>continued</i>				
10. To ensure that year end accounts are prepared on the correct accounting basis, on time, and supported by an adequate audit trail.	c. Year end accounts not prepared, inaccurate, or not in accordance with Council requirements.	Checks by RFO. Internal audit checks.	Clerk RFO Internal auditor All Councillors	●
	d. Inadequate audit trail from records to final accounts.	As at 10c above.	Clerk RFO Internal auditor All Councillors	●
11. To identify, value, and maintain all the assets of the Parish Council, and ensure that asset and investment registers are complete, accurate and properly maintained.	a. Lack of knowledge of assets of Parish Council.	Ascertain and record all significant assets for which Parish council is responsible. Create and maintain a permanent asset register.	RFO	●
	b. Assets lost or misappropriated	Establish who is responsible for security and maintenance of each asset. Regular monitoring of location and use of assets.	RFO	●
	c. Inadequate or inaccurate valuation of the council's assets.	Arrange for periodic review of valuations and arrange for professional valuation where necessary. Internal audit checks.	RFO All Councillors	●
	d. Asset register not established or inadequately maintained.	Create asset register in accordance with Audit Commission requirements.	RFO All Councillors	●

Donington on Bain Parish Council Risk Register
Ratified February 2025

2/

Aim	Risk	Method used to Minimise Risk	Person(s) Responsible	Status ● ● ●
12. To comply with appropriate Government legislation regarding disability, racial equality, safeguarding children etc.	<p>a. Lack of knowledge of applicable legislation.</p> <p>b. Lack of public awareness of applicable legislation.</p> <p>c. Failure to comply with applicable legislation.</p>	<p>Clerk to have all appropriate legislation available.</p> <p>Review liabilities and responsibilities periodically at PC meetings.</p> <p>Include as appropriate in any public consultations.</p> <p>As at a. Above</p>	<p>Clerk Chairman</p> <p>All councillors</p>	<p>●</p> <p>●</p> <p>●</p>
13. To carry out adequate safety checks on all properties and equipment for which the Council is responsible	<p>a. Lack of information on property and equipment.</p> <p>b. Lack of knowledge of safety requirements</p> <p>c. Lack of commitment and inadequate programme of carrying out safety checks for such as trip hazards.</p>	<p>Ensure that all current legislation and advice is held by clerk.</p> <p>Include in Asset Register all properties for which the council is responsible.</p> <p>Place subject as item on PC Meeting agenda at regular intervals.</p> <p>Delegate responsibility for particular properties to individual councillors or appoint Working Parties to inspect and report regularly to the council</p>	<p>Clerk Chairman</p> <p>Individual members Working Party</p>	<p>●</p> <p>●</p> <p>●</p>
14. To ensure weekly visual inspections of MUGA and play equipment is recorded, signed with date and time completed	<p>a. An accident occurs without the council having a written record of weekly visual safety inspections or repairs carried out</p>	<p>A volunteer has been appointed by the council to carry out safety inspections and to forward signed record sheets to the clerk for the council file at the end of each month.</p> <p>Clerk of members to be informed of hazards.</p>	<p>Volunteer Clerk</p>	<p>●</p>

Donington on Bain Parish Council Risk Register
Ratified February 2025

2/

and held on council file to comply with conditions of insurance and Health and Safety Regulations.	when faults identified. No member trained to carry out visual checks on play equipment.	Councillors provided with advice on legal obligations. Councillor to be responsible for attending training. Any damaged equipment considered high risk to be taken out of use and reported to proper officer as soon as possible. All repairs to be at request of and under sole control of council in consultation with insurance provider and with written record on council file.	All Councillors Clerk Chairman Council	
Aim	Risk	Method used to Minimise Risk	Person(s) Responsible	Status ● ● ●
15. To ensure that the Allotment Field is as safe as possible for tenants, other users and members of the public and that all risks have been identified. Responsibility under 'Duty of Care' to public, employees and contractors.	a. Plots are open to the public including areas identified for car parking and turning. b. Short marker posts hidden in vegetation creating a hazard c. Not adhering to adopted Tenancy Agreement which is currently applicable.	Erecting a perimeter fence will restrict access to tenants, visitors and delivery vehicles only. Marker posts not provided with easily identified plot numbers as legally required with Allotment Register. Council needs to agree a firm policy which will apply to all tenants allowing them to be treated equally, as advised by the Lincolnshire Association of Local Councils.	Clerk Chairman All Councillors All councillors	● ●
16. To ensure safety in churchyard and Cemetery for members of the public and contractors. To ensure that correct regulations are in place for Cemetery as required by law Responsibility under 'Duty of Care' to public, employees and contractors.	Uneven ground a hidden hazard, unstable memorials can pose a danger. Lack of adequate checks and a maintenance programme for remedial Trees not inspected and no programme of work implemented can invalidate insurance	Regular inspection of Cemetery and churchyard with other council property. List on agenda for regular report to be presented to the council and resolve action to be taken where problems present a risk. Insurers require regular surveys and maintenance records to be kept.	All councillors Clerk Chairman All councillors.	
17. To ensure areas where there are hazards are made as safe as possible until repair work can be	Lack of knowledge of regulations and Council's agreed procedures to help prevent injury by not taking action to prevent public access to	Cordon off area to prevent public access to any hazard using tape, chains, locks stored in Cemetery shed.	Clerk Volunteer Cllr	

Donington on Bain Parish Council Risk Register
Ratified February 2025

2/

<p>undertaken. As required under 'Duty of Care' to public, contractors and volunteers.</p> <p>Written record to be kept on council file of date and time when council made aware of hazard- this will be required by insurance provider when dealing with claim.</p> <p>Minute 88.07.17.</p> <p>To earn maximum income from the MUGA</p>	<p>the hazard.</p> <p>Lack of knowledge of safety and insurance requirements.</p> <p>Risk of situation deteriorating and becoming more dangerous if appropriate not action to cordon area off to prevent public access.</p>	<p>Inform clerk, if not available volunteer councillor with access.</p> <p>If hazard on public highway (churchyard wall or trees) ring 101 to inform police and highways who will arrange for guards, lights and signs to be put in position by an accredited contractor (NRSWA) at council's expense until repaired /made safe.</p> <p>Diocesan Officer will need to be informed.</p> <p>No materials from wall to be moved from the site.</p>	<p>Chairman</p> <p>Proper Officer</p> <p>All councillors</p>	
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