

# Monk Fryston Parish Council

## NOTICE OF MEETING

I hereby give notice that a meeting of the Parish Council of the above-named Parish will be held at the Community Centre, Old Vicarage Lane on Tuesday 17 October 2023 at 7.30pm.

All members of the Council are hereby summoned to attend for the purpose of considering and resolving upon the business to be transacted at the meeting. Dated this 11th October 2023

## AGENDA

| Item |   | Lead  |
|------|---|-------|
| 1    | <ul style="list-style-type: none"> <li>a To receive apologies for absence given in advance of the meeting</li> <li>b To record apologies for absence not given in advance of the meeting</li> <li>c To consider the approval of reasons given for absence</li> </ul>  |       |
| 2    | <ul style="list-style-type: none"> <li>a To receive declarations of interest</li> <li>b To receive early verbal notice of any Councillor's intention to raise amendments to motions on the agenda as per Standing Order 1g.</li> </ul>  |       |
| 3    | Confirmation of Minutes   |       |
|      | <ul style="list-style-type: none"> <li>a To confirm as an accurate record the Minutes of the Meeting held on 19 September 2023</li> </ul>   |       |
| 4    | Residents Issues<br>(15mins allocated to receive residents representations to the Council)  |       |
|      | <ul style="list-style-type: none"> <li>a To receive advice from Cllr Grogan about appropriate ways of addressing noise and parking issues that affect residents</li> </ul>  |       |
| 5    | Planning  | Chair |
|      | 1) To agree consultation responses to the following planning proposals: <ul style="list-style-type: none"> <li>a Appeal against the decision of North Yorkshire Council to not determine planning permission for the erection of a general purpose agricultural building for the secure storage of agricultural machinery, fodder and seasonal housing of livestock. NYC email 22.09.23 issued under separate cover refers</li> </ul> 2) Decision notices received <ul style="list-style-type: none"> <li>a None received</li> </ul>  |       |
| 6    | Finances  | Clerk |
|      | <ul style="list-style-type: none"> <li>a <b>Authorised payments since last meeting:</b> <ul style="list-style-type: none"> <li>1 Unity Bank Statements (2) to 30 September refers (issued under separate cover).</li> <li>2 Mastercard Bank Statement to 2 October refers (issued under separate cover).</li> <li>3 HMRC Paye £284.80</li> </ul> </li> <li>b <b>Current Account</b> <ul style="list-style-type: none"> <li>Current Account as Statement to 1 October 2023 £34,563.64</li> <li>Previous Balance £25,632.11</li> <li>Cash received £10302.00</li> <li>Payments issued and cleared £1370.47</li> </ul> </li> </ul> |       |

# Monk Fryston Parish Council

| Item |  | Lead  |
|------|--|-------|
|      | <p>Payments not cleared <span style="float: right;">£724.14</span></p> <p>Cash available when all payments cleared <span style="float: right;">£33839.50</span></p> <p><b>c Savings Accounts</b></p> <p>Yorkshire Bank (after July interest of £9.53) <span style="float: right;">£19,213.33</span></p> <p>Skipton BS (including interest on maturity of £519.68) <span style="float: right;">£74,759.50</span></p> <p>Nationwide BS <span style="float: right;">£72,107.90</span></p> <p><b>d Future Commitments / Income</b></p> <p>Liabilities as set out in Balance Sheet schedule <span style="float: right;">(-) £8294.00</span></p> <p>Creditors <span style="float: right;">(+) £575.02</span></p> <p>Total Commitments (-) / Income (+) <span style="float: right;">(-) £7718.98</span></p> <p><b>e Cash Book</b></p> <p>Cash Book Balance at 7 October 2023 <span style="float: right;">£33839.50</span></p> <p><b>f Current Account / Cash Book Reconciliation</b></p> <p>The 'Cash available when all cheques cleared' (b above) reconciles with the 'Cash Book balance when all cheques cleared' (e above)</p> <p><b>g Expenditure / Budget comparison</b></p> <p>The comparative expenditure through to the end of September was £14,365.06 against a forecast of £10,582</p> <p><b>h Capital Reserve Statement</b></p> <p>Amount ring-fenced for capital expenditure is £147,203.</p> <p>Amount ring-fenced for CIL expenditure is £5,128.</p> <p>Remaining reserve for non-capital expenditure is £36,339</p> <p><b>i Audit Control</b></p> <p>Councillors to confirm that they are satisfied that the above demonstrates that the PC is maintaining an effective system of audit and control including taking account of commitments and liabilities as required by the annual audit.</p> |       |
| 7    | <p>Clerks Update</p> <p>a The wreath has been ordered for the Remembrance Service</p> <p>b The National Association of Local Councils (NALC) solicitor has confirmed that there the legislation imposes no restriction how much a PC can expend on traffic calming works such as speed cushions etc and pedestrian crossings.</p> <p>c The order for the power points for the Christmas decorations has been placed with NYC</p> <p>d Cllr Geldard attended YLCA's Off to a Flying Start Part 1 training session</p> <p>e The Community Association has been reimbursed for the cheques it historically failed to present for payment (£100)</p> <p>f The Precept for second half of the year has been received from NYC</p> <p>g The footpaths authority (NYC) have confirmed that there is no longer a temporary closure order on the footpath behind the school.</p> <p>h The Clerk's SLCC membership fee (£112) is due for renewal on 1 December. The PC agreed at it's annual meeting to pay the fee when due.</p>  | Clerk |
| 8    | <p>Motions (<i>in bold italic</i>)</p> <p>a <b><i>To make payments in accordance with payments schedule</i></b> (issued under separate cover)</p> <p>b <b><i>To consider the mid year review of expenditure including projections for the remainder of the year.</i></b> Document issued under separate cover</p> <p>c <b><i>To rescind the decision taken at the August meeting (minute 8h) agreeing to the cost of £2400 for power to 6 lamp poles to be taken from CIL monies.</i></b><br/>The CIL authority at NYC has advised the PC that this is not an allowable use of CIL funds. The re-allocation of the funding to be determined under item 8f below</p>  | Chair |

# Monk Fryston Parish Council

| Item |   | Lead  |
|------|---|-------|
| d    | <b>To remove Susan Scott from the Virgin Bank mandate and to appoint two new members to sit alongside Cllrs Burton and Spofforth on the mandate</b>   |       |
| e    | <b>To agree in principle to implementation of a 20mph speed limit on Water Lane (with traffic calming measures as advised by North Yorkshire Council) and to take the next steps of asking NYC to provide a fully costed proposal for consideration.</b>  |       |
| f    | <b>To approve October edition of the PC newsletter and allocate maximum of £300 for printing and distribution</b> (draft issued under separate cover)   |       |
| g    | <b>To consider the Accounting Software Report produced by the Clerk and:-</b><br><b>a) To agree in principle to the purchase of accounting software</b><br><b>b) If a) agreed, to determine whether to purchase a laptop based system or a web/cloud based system and to agree the preferred supplier of the chosen system</b><br><b>c) If a web/cloud based system is agreed to determine the number of Councillors to be granted access and to nominate specific Councillor(s) to this role</b><br>(Report issued under separate cover) |       |
| h    | <b>To review, revise and agree the revised budget and virements and that any additional monies are taken from the current account.</b> (draft issued under separate cover)  |       |
| i    | <b>To locate the Tommy Statue at the junction of Water Lane and Old Vicarage lane.</b>  |       |
| j    | <b>To approve the spend for the installation and removal of the Christmas motifs up to £1800 quote received as guide.</b>   |       |
| k    | <b>To allow Cllr Holmes to remove the Christmas lights power supplies from the Triangle and Chestnut Green and have them tested. Agree value for testing £150</b>   |       |
| l    | <b>To allow Cllr Holmes to remove and dispose of the Christmas tree lights on the central tree at the Triangle.</b>   |       |
| m    | <b>To allow Cllr Holmes to remove the Christmas tree lights from the tree adjacent to the gate at the Triangle.</b>   |       |
| n    | <b>Clerk to arrange for trimming of the tree adjacent to the Triangle prior to the reinstallation of the lights (last week in November)</b>   |       |
| o    | <b>To set up working group to dress the trees and install decorations at the Triangle and Chestnut Green.</b>   |       |
| p    | <b>To purchase a steel shed to the value of £800 to be located at the Triangle.</b>   |       |
| q    | <b>To agree that Cllrs Holmes and Spofforth can act as working party to install foundation and shed at the Triangle value agreed up to £400 for materials only. Materials to be purchased via the Clerk.</b>  |       |
| r    | <b>Clerk to seek advice from Planning as to whether planning permission is required for placement of shed</b>   |       |
| s    | <b>To agree for council to place a wreath at the remembrance service at St Wilfrid's and agree who is to attend (normally chair)</b>  |       |
| t    | <b>To set up working group to review budget for 2024/25 prior to agreement at the November meeting.</b>   |       |
| u    | <b>To delegate any miscellaneous spend for Christmas tree lights to the Clerk up to the value of the agreed revised budget and to be agreed with the Chair.</b>   |       |
| v    | <b>To receive the draft minutes of the two MF, H and BS Joint Burial Committee meetings held on 3 October 2023</b> (issued under separate cover)  |       |
| w    | <b>To identify any items requiring repair and / or maintenance and to agree action</b>  |       |
| 9    | Discussion Items  | Chair |
| a    | Residents issues received under item 4  |       |
| b    | Consideration of the draft Council Risk Management Policy prior to it be presented  |       |

# Monk Fryston Parish Council

| Item |   | Lead   |
|------|---|--|
|      | <p>for formal adoption. Document issued under separate cover</p> <p>c Consideration of the draft Council Risk Management Scheme prior to it being presented for formal adoption. Document issued under separate cover.</p> <p>d Should the Parish Council Newsletter be a Community newsletter?</p> <p>e The nomination of members to have specific stewardship duties associated with financial matters to comply with the requirements of the PC's Standing Orders and Financial Regulations.</p> |  |
| 10   | Updates on actions agreed at previous meetings  |  |
| 11   | Committee and Group updates   | Various  |
|      | <p>a Burial Committee.</p> <p>b Planting Group</p> <p>c Road Safety Working Group</p> <p>d Highways and Footpaths Group</p> <p>e Comms Group</p>  | <p>Cllr NS</p> <p>Cllr AS</p> <p>Cllr MB</p><br><p>Cllr MB</p> |
| 12   | Correspondence  |  |
|      | <p style="text-align: center;"><b>POST IN</b></p> <p>a None</p> <p style="text-align: center;"><b>POST OUT</b></p> <p>a None</p>  |  |
| 13   | Items For Next Meeting  | All  |
|      | a Items to be with Clerk before 11 November for next meeting on 21 November   |  |

| <b>SCHEDULE OF PAYMENTS</b>          |                   |                | <b>Meeting</b> | <b>Tuesday, 17 October 2023</b>         |                |
|--------------------------------------|-------------------|----------------|----------------|---|----------------|
| <b>Payee</b>                         | <b>Invoice No</b> | <b>Amount</b>  | <b>Vat</b>     | <b>Item</b>                             | <b>Pay Ref</b> |
| YLCA                                 | Inv-1027          | 33.40          | n/a            | Training fee for Cllr Geldard           | 2105           |
| MF and H Community Association       | 23156             | 20.00          | n/a            | room hire                               | 2106           |
| Clearvision Window Cleaning Services | n/a               | 70.00          | n/a            | Bus shelter and bench cleaning          | 2107           |
| S G Parkin Landscapes                | 3146              | 20.00          | n/a            | weed spraying                           | 2108           |
| William Holmes                       | n/a               | 31.50          | n/a            | mileage reimbursement (collecting lats) | 2109           |
|                                      |                   |                |                |   |                |
|                                      |                   |                |                |   |                |
|                                      |                   |                |                |   |                |
| <b>Total</b>                         |                   | <b>£174.90</b> |                |   |                |



## Accounting Software Report

### Mission Statement

This report has been prepared to assist in the selection of a digital software approach to the council's accounting requirement, should the PC determine to proceed in that direction.

If so, Council will have to consider

1. Whether it wants the new system to be used only on the PC's computer (i.e the one used by the Clerk) or
2. Whether it wants to have a web / cloud based package that allows usage by the Clerk with 'read only' access by Councillors
3. If Councillor access on that basis is considered to be a requirement it will then have to determine the number of councillors that it considers should be granted access. Councillors should bear in mind that members granted access will be required to dedicate time for their training.
4. Dependent upon the determination under 3) Council will have to nominate specific Councillor(s) to this role

### Background

The PC has traditionally used a 'manual' excel based accounting system, primarily using a base consisting of a series of interlinked spreadsheets that initially recorded the Precept, Annual Budget, Running Balance and Receipts and Payments.

Over the years this has been expanded to include spreadsheets for a cash book, VAT return, audit and budget analysis and two or three other databases that provide reporting information for the PC's monthly meetings and for submitting to the internal auditor. Providing the information in this way is quite labour intensive because all the spreadsheets are not interlinked.

Theoretically this information could be regarded as web or cloud based because all the information is accessible in Sharepoint.

Recent years has seen the development of specific digitally based Town and Parish Council targeted software packages that simplify the task of producing appropriate records and reporting documentation. The two most widely used packages are Rialtas and Scribe. The packages aim to reduce the amount of time needed to fulfil the respective requirements.

Following attendance at introductory webinars provided by both suppliers it is thought that both packages would be suitable for MFPC and both packages would simplify the amount of work required to produce the end products required for accounting, reporting and transparency purposes.

**Scribe** is a web based package that allows access to the Council's accounts from any device, anywhere and it would be accessible by all members of the Council.

**Rialtas** provide both a software package for use on a single computer and a cloud based package that can be accessed by any number of members on a cost plus basis per member.

**Testimonials.** Following a request to YLCA for information from any parish council that use either package several responses were received, all of which gave good testimonials for Scribe. No responses relating to Rialtas have been forthcoming.

### Costings (ex vat)

The Scribe package involves a one off set up fee of £249 followed by an annual subscription fee of £408

The Rialtas package for a single computer installation involves a one off set up fee of £650 followed by an annual subscription fee of £175

The Rialtas package for a web based installation with access to 2 to 8 members involves a one off set up fee of £825 followed by an annual subscription fee of £775.

### **Further Information**

Scribe: <https://www.scribeaccounts.com/features>

Rialtas: <https://www.rialtas.co.uk/solutions/alpha-accounting/>

Testimonials and supplier information:

<https://teams.microsoft.com/l/channel/19%3af36afdeb80aa40cda0b473d7e31c8953%40thread.skype/Accounting%2520Software?groupId=c31941fd-d3b4-42e0-b25b-d7df71f2a0b4&tenantId=2509072a-78cf-40e2-9296-2bcb5e55d145>

### **Commentary**

The Clerks package of choice would be that provided by Scribe. Both packages are suitable for the requirement but the testimonials received from other clerks who already use it are unanimously in its favour. The package will provide access for all members providing transparency across the system and it is less expensive than the equivalent package provided by Rialtas



| Revised Vierment Budget        | Original       | Revised        | Vierment       | Inc/Dec         | Expenditure to date | Revised Remaining to spend |                                    |
|--------------------------------|----------------|----------------|----------------|-----------------|---------------------|----------------------------|------------------------------------|
|                                | <b>£21,875</b> | <b>£30,547</b> | <b>-£8,672</b> | <b>Increase</b> | <b>£9,187</b>       | <b>£21,359</b>             |                                    |
| Clerks Salary                  | 4979           | 4979           | 0              | No Change       | 2,583               | 2,396                      |                                    |
| Statutory Insurance            | 491            | 416            | 75             | Decrease        | 416                 | 0                          |                                    |
| Burial Committee Precept       | 1584           | 1584           | 0              | No Change       | 0                   | 1,584                      |                                    |
| Internal and external Audits   | 328            | 410            | (82)           | Increase        | 410                 | 0                          |                                    |
| Grass Cutting                  | 3441           | 3441           | 0              | No Change       | 2,555               | 886                        |                                    |
| Electricity for lighting       | 1200           | 993            | 207            | Decrease        | 993                 | 0                          |                                    |
| Lighting repairs               | 218            | 100            | 118            | Decrease        | 0                   | 100                        |                                    |
| Office Running Expenses        | 819            | 202            | 617            | Decrease        | 52                  | 150                        |                                    |
| Room Hire                      | 378            | 378            | 0              | No Change       | 125                 | 253                        |                                    |
| Cllr Expenses                  | 196            | 50             | 146            | Decrease        | 0                   | 50                         |                                    |
| Winter Gritsand                | 219            | 219            | 0              | No Change       | 0                   | 219                        |                                    |
| Grants                         | 1607           | 0              | 1607           | Decrease        | 0                   | 0                          |                                    |
| training and Prof Membership   | 1200           | 700            | 500            | Decrease        | 509                 | 191                        | Christmas Decoration Breakdown     |
| village decoration (Planting)  | 3749           | 2124           | 1625           | Decrease        | 1,124               | 1,000                      | Lights and Motifs 4000             |
| Christmas Decorations          | 0              | 10000          | (10000)        | Increase        | 0                   | 10,000                     | power to poles 2400                |
| Storage Shed (Triangle)        | 0              | 1500           | (1500)         | Increase        | 0                   | 1,500                      | installation of lights 1800        |
| Fence Painting (Mount)         | 0              | 1500           | (1500)         | Increase        | 0                   | 1,500                      | Pat Testing of existing lights 150 |
| Bench and bus shelter cleaning | 407            | 350            | 57             | Decrease        | 140                 | 210                        | Replacement plugs for 16a Blue 150 |
| newsletter x2                  | 525            | 465            | 60             | Decrease        | 155                 | 310                        |                                    |
| Legal advice                   | 524            | 0              | 524            | Decrease        | 0                   | 0                          |                                    |
| Vas sign maintenance           | 10             | 10             | 0              | No Change       | 0                   | £10                        |                                    |
| <b>Non budgeted items</b>      | <b>0</b>       | <b>125</b>     | <b>-125</b>    | <b>Increase</b> | <b>125</b>          | <b>£0</b>                  |                                    |
| Muga Planning Application      | 0              | 500            | (500)          | Increase        | 0                   | £500                       |                                    |
| Accounting Software            | 0              | 500            | (500)          | Increase        | 0                   | £500                       |                                    |

# MONK FRYSTON PARISH COUNCIL RISK MANAGEMENT POLICY

## 1 Introduction

1.1 This document forms the Council's Risk Management Policy. It sets out:

· What is risk management; · Why does the Council need a risk management Policy; · What is the Council's philosophy on risk management; · What is the risk management process · Roles and responsibilities; · Future monitoring

1.2 The objectives of this Policy are to:

· Further develop risk management and raise its profile across the Council; · Integrate risk management into the culture of the organisation; · Embed risk management through the ownership and management of risk as part of all decision making processes; and · Manage risk in accordance with best practice.

## 2 What is Risk Management?

2.1 'Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements.'

2.2 Risk management is an essential feature of good governance. An organisation that manages risk well is more likely to achieve its objectives. It is vital to recognise that risk management is not simply about health and safety, but applies to all aspects of the Council's work.

2.3 Risks can be classified into various types, but it is important to recognise that for all categories the direct financial losses may have less impact than the indirect costs such as disruption of normal working. The examples below are not exhaustive:

Strategic Risk - long-term adverse impacts from poor decision-making or poor implementation. Risks damage to the reputation of the Council, loss of public confidence, in a worst-case scenario Government intervention.

Compliance Risk - failure to comply with legislation, laid down procedures or the lack of documentation to prove compliance. Risks exposure to prosecution, judicial review, employment tribunals and the inability to enforce contracts.

Financial Risk - fraud and corruption, waste, excess demand for services, bad debts. Risk of additional audit investigation, objection to accounts, reduced service delivery, dramatically increased Council Tax levels/impact on Council reserves.

Operating Risk - failure to deliver services effectively, malfunctioning equipment, hazards to service users, the public or staff, damage to property. Risk of insurance claims, higher insurance premiums, lengthy recovery processes.

2.4 Not all these risks are insurable and for some the premiums may not be cost effective. Even where insurance is available, a monetary consideration might not be an adequate recompense. The emphasis should always be on eliminating or reducing risk before costly steps to transfer risk to another party are considered.

2.5 Risk is not restricted to potential threats but can relate to missed opportunities. Good risk management can facilitate proactive, rather than merely defensive responses. Measures to manage adverse risks are likely to help with managing positive ones.

## 3 Why does the Council need to have Risk Management

3.1 Risk management will strengthen the ability of the Council to achieve its objectives and enhance the value of services provided.

3.2 Effective Risk Management will help to ensure that all Committees/service areas understand risk and that the Council adopts a uniform approach to identifying and prioritising risks. This should in turn lead to conscious choices as to the most appropriate method of dealing with each risk, be it elimination, reduction, transfer or acceptance.

3.3 Strategic risk management is also an important element in demonstrating continuous service improvement.

3.4 There is a requirement under the Accounts and Audit Regulations to establish and maintain a systematic Policy, framework and process for managing risk.

#### 4. Risk Management Scheme

Monk Fryston Parish Council recognises that it has a responsibility to manage risks effectively in order to protect its employees, assets, liabilities and community against potential losses, to minimise uncertainty in achieving its goals and objectives and to maximise the opportunities to achieve its vision.

The Council is aware that some risks can never be eliminated fully, and it has in place a scheme that provides a structured, systematic and focussed approach to managing risk.

Risk management is an integral part of the Council's management processes.

#### 5. Implementing the Scheme

##### 5.1 Risk Control

Risk control is the process of taking action to minimise the likelihood of the risk event occurring and/or reducing the severity of the consequences should it occur. Typically, risk control requires the identification and implementation of revised operating procedures, but in exceptional cases more drastic action will be required to reduce the risk to an acceptable level.

Options for control include:

Elimination – the circumstances from which the risk arises are removed so that the risk no longer exists;

Reduction – loss control measures are implemented to reduce the impact/ likelihood of the risk occurring;

Transfer – the financial impact is passed to others e.g. by revising contractual terms; Sharing - the risk is shared with another party;

Insuring - insure against some or all of the risk to mitigate financial impact; Acceptance – documenting a conscious decision after assessment of areas where the Council accepts or tolerates risk.

##### 5.2 Risk Monitoring

The risk management process does not finish with putting any risk control procedures in place. Their effectiveness in controlling risk must be monitored and reviewed. It is also important to assess whether the nature of any risk has changed over time.

The information generated from applying the risk management process will help to ensure that risks can be avoided or minimised in the future. It will also inform judgements on the nature and extent of insurance cover and the balance to be reached between self-insurance and external protection.

##### 5.3 Identifying, assessing and prioritising risk

Identifying and understanding the hazards and risks facing the Council is crucial if informed decisions are to be made about policies or service delivery methods. The risks associated with these decisions can then be effectively managed.

Risk Analysis – Once risks have been identified they need to be systematically and accurately assessed using proven techniques. Analysis should make full use of any available data on the potential frequency

of events and their consequences. If a risk is seen to be unacceptable, then steps need to be taken to control or respond to the risk.

Risk Prioritisation - An assessment should be undertaken of the impact and likelihood of risks occurring, with impact and likelihood being scored using a matrix. This will require a numeric value to be given to both the likelihood of the risk happening and the severity of the impact if it did, based upon the following scoring: Low = 1 to 5 Medium = 6 to 11 High = 12 to 25 Where a residual risk is low further action will only be taken where it is viable to do so. Medium risks will be addressed within the next **3 to 6 months**. High risks will require action as soon as possible.

## 6. Roles and Responsibilities

6.1 It is important that risk management becomes embedded into the everyday culture and performance management process of the Council. The roles and responsibilities set out below, are designed to ensure that risk is managed effectively right across the Council and its operations, and responsibility for risk is in the right place. The process must be driven from the top but must also involve staff throughout the organisation.

6.2 Elected Members – risk management is seen as a key part of the Elected Member's stewardship role and there is an expectation that Elected Members will lead and monitor the approach adopted, including

(a) Approval of the Risk Management Scheme;

(b) Analysis of key risks in reports on major projects, ensuring that all future projects and services undertaken are adequately risk managed;

(c) Consideration and endorsement of the Annual Governance Statement;

(d) Assessment of risks whilst setting the budget, including any bids for resources to tackle specific issues.

6.3 Employees – will undertake their job within risk management guidelines ensuring that their skills and knowledge are used effectively. All employees will maintain an awareness of the impact and costs of risks and how to feed data into the formal process. They will work to control risks or threats within their jobs, monitor progress and report on job related risks to the Clerk.

6.4 The Clerk – will act as the Lead Officer on Risk Management and be responsible for overseeing the implementation of the Risk Management Policy. The Clerk will:

(a) provide advice as to the legality of policy and service delivery choices;

(b) provide advice on the implications for service areas of the Council's corporate aims and objectives;

(c) update the Council on the implications of new or revised legislation;

(d) assist in handling any litigation claims;

(e) provide advice on any human resource issues relating to strategic policy options or the risks associated with operational decisions and assist in handling cases of work related illness or injury;

(e) advise on any health and safety implications of the chosen or proposed arrangements for service delivery;

6.5 Responsible Finance Officer –the RFO will:

(a) assess and implement the Council's insurance requirements;

(b) assess the financial implications of strategic policy options;

(c) provide assistance and advice on budgetary planning and control;

(d) ensure that the council's financial information systems allow effective budgetary control and internal control generally;

(e) maintain the Council's Risk Register;

(f) effectively manage the Council's investment and loan portfolio.

6.6 Role of Internal Audit – Internal Audit provides an important scrutiny role by carrying out audits to provide independent assurance to the Council that the necessary risk management systems are in place and all significant business risks are being managed effectively.

Internal Audit assists the Council in identifying both its financial and operational risks and seeks to assist the Council in developing and implementing proper arrangements to manage them, including adequate and effective systems of internal control to reduce or eliminate the likelihood of errors or fraud.

Internal Audit reports, and any recommendations contained within, will help to shape the Annual Governance Statement.

The council will appoint the internal auditor annually and will ensure that the person/company appointed is competent to do the work required.

6.7 Review and future development – Review and future development of the Risk Management Policy and Scheme will be overseen by the whole council

6.8 Training – Councillors and employees will attend risk management training where available. The aim will be to ensure that both councillors and staff have the skills necessary to identify, evaluate and control the risks associated with the services the council provides.

6.9 In addition to the roles and responsibilities set out above, the Council is keen to promote an environment within which individuals/groups are encouraged to report adverse incidents promptly and openly.

## 7 Future Monitoring

7.1 Review of Risk Management Policy - This Policy will be reviewed annually.

## 8 Conclusion

The adoption of a sound risk management approach should achieve many benefits for the Council. It will assist in demonstrating that the Council is committed to continuous service improvement and effective corporate governance.

## RISK MANAGEMENT SCHEME

Monk Fryston Parish Council

| CATEGORY/AREA         | RISK   | LEVEL                              | MITIGATIONS  |
|-----------------------|--|------------------------------------|--|
| <b>FINANCE</b>        |  |                                    |  |
| Bank & Banking        | Inadequate checks<br>Bank mistakes<br>Loss<br>Charges<br>BACS payments   | Low<br>Low<br>Low<br>Low<br>Medium | Council applies the requirements of the Financial Regulations which are reviewed annually. Bank mistakes are dealt with as and when they arise and are identified as a result of monthly reconciliation. Annual audit process ensures that proper accounting processes are kept. There is a comprehensive policy in the Council's financial regulations for the effective management of electronic payments  |
| Savings accounts      | Loss of passbook   | Low                                | Passbooks kept in <b>fireproof cabinet</b> and updated regularly   |
| Cash                  | Loss through, theft or dishonesty  | Medium                             | <del>Cash is banked on the date of receipt. There is no petty cash or float. Fidelity insurance is in place.</del>   |
| Direct Costs<br>Debts | Goods not supplied but billed<br>Incorrect invoicing<br>Cheque payable incorrect<br>Loss of stock<br>Unpaid invoices | Low<br>Low<br>Low<br>Low<br>Low    | The Council complies with its financial regulations. No payment is made for goods not received or services not supplied. All invoices are checked for accuracy. <b>Cheque</b> payments are signed by two Councillors <b>or Councillor and Clerk</b> , usually at Council meetings and are checked against the payments schedule. The Council generally does not hold stock but buys in as required. Any unpaid invoices are chased and there is no evidence of bad debt. |
| Credit Card           | Loss of card<br>Fraudulent use   | Low<br>Med                         | The card is stored in a locked cabinet when not on the person of the Clerk. Card details are not stored on any online sites. Additional level of security activated for all online transactions. Account is reconciled every month.  |
| Precept               | Adequacy of precept<br>Precept requirement not submitted<br>Precept requirement not received by District Council     | Low<br>Low<br>Low                  | Precept established by reference to budget developed by the Clerk and subsequently considered/approved by the Council. Budget developed by reference to previous year's actuals, projected and budget figures and in consideration of future projects. Draft budget prepared November with budget/precept approval usually December. Submitted to North Yorkshire Council (NYC) in December following NYC's request. Precept received in two payments, May and October.  |
| Financial Recording   | Inadequate records<br>Financial irregularities   | Low<br>Low                         | <b>Internal Audit Committee reviews financial records, minutes etc twice a year.</b> Bank reconciliations and payments/receipt schedules are produced for each meeting and payments approved. Analyses of budget vs. actual are also provided periodically. The Responsible Financial Officer is responsible to ensure proper procedure is followed.   |

|                            |   |                   |  |
|----------------------------|---|-------------------|--|
| Election Costs             | Risk of election costs  | Low               | Covered by budgeted sum set aside to reserves  |
| Legal Powers               | Acting Ultra Vires  | Med               | Clerk and Councillor training. All activity and payments resolved/agreed and recorded.   |
| Insurance                  | Adequacy<br>Costs<br>Compliance   | Low<br>Low<br>Low | Council has agreed a 3-year arrangement with an insurance provider and reviews content ..... months prior to renewal. New assets are added to the policy immediately.  |
| <b>PROPERTY</b>            |   |                   | (An asset register is maintained for all assets)   |
| Play Equipment             | Damage to equipment.<br>Injury to third party   | Low/Med           | Third party (Public) liability insurance and equipment insured. Annual (ROSPA) and weekly inspections (by trained individual) of play areas ensures play facilities are well maintained and repaired as required.  |
| Skate Park                 | Damage to equipment.<br>Injury to third party   | Med/High          | Third party liability insurance and equipment insured. Daily litter pick to remove any glass etc. Annual and weekly inspections of skate park ensure facilities are well maintained and repaired as required. Notice displayed at park (guidance for safe use and who to contact in different situations). |
| Benches & Street Furniture | Damage to item/injury to third party  | Low               | Third party liability insurance and furniture insured. Regular inspection to identify any items needing repair or replacement.   |
| Public Open Spaces         | Injury to third parties   | Low               | Areas kept well maintained, grass and bushes cut back. Weekly walk through by clerk (or nominated councillor(s)). Any reported problems acted upon quickly   |
| Notice Boards              | Damage to item/injury to third party  | Low               | Insurance and maintenance. Clerk to inspect when putting up notices  |
| Trees                      | Possible danger to third parties from: low hanging branches, dead wood falling, dropping branches and collapse    | Low/High          | Third Party Liability Insurance. An annual tree survey by arboriculturist provides a risk-based report on which the Council may act. Regular inspection by grounds maintenance contractor picks up ongoing issues. Any report from members of the public acted on swiftly                                  |
| Christmas Lights           | Damage to lighting installations. Erection of display and taking down. Electrical faults. Injury to third parties | Med               | Lights included in Parish insurance. Erection and taking down carried out by competent qualified contractor carrying their own insurance. Installation tested for electrical safety each season. Guidelines and regulations followed in siting display.  |
| <b>ACTIVITIES</b>          |   |                   |  |
| Members Interests          | Conflict of Interests/Members acting outside of Nolan Principals  | Med               | A standing item on the agenda serves as a reminder to Councillors to declare pecuniary interests and conflicts of interest in meetings. Register of members interest forms are reviewed by Councillors, particularly when personal circumstances alter.  |
| Storage of Personal Data   | Data Protection Act compliance<br>Freedom of Information compliance   | Med<br>Low        | Staff training in this area. The Council is registered as a data controller under the DPA<br>The Council has a Publication Scheme which is reviewed annually. The Council's document retention policy controls how long information is retained and disposed of.   |

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| Storage of Documents (Paper)   | Loss from fire, water or other damage   | Low  | Essential documents now held in a fireproof secure cabinet. Arrangements in place to transfer old documents held in the attic to secure storage at archives.   |
| Storage of Documents (Digital) | Loss of vital data, breach of data security   | Med  | The Council's electronic records are stored on the Council's computer(s). Backups are taken at regular intervals. All documents are backed up onto computers and on cloud storage. Passwords changed on a regular basis.   |
| Events – [List them]           | Third party injury. Illegal activities bring Council into disrepute. Risks posed by moving vehicles and pedestrians sharing space                       | Low  | Events covered by Council's insurance policy. Risk assessment kept for all activities. Caterers required to provide copies of certificates etc. External groups required to have Public Liability Insurance.   |
| Events – Bonfire               | Third party injury. Risks caused by firework display and bonfire. Risks managing large crowd. Possibility of injury and illness to member of the public | High | Event very carefully planned. Insurance to cover public liability. Professional firework display company used with own insurance. Use of safety barriers to keep crowd at safe distance from fireworks. Fire Brigade in attendance to put out fire. First aiders and community first responders for public. Sufficient marshals with good communications to keep crowd safe. Emergency services informed of event. |
| Events – Market                | Third party injury. Movement of vehicles in pedestrianised area   | Low  | Public Liability Insurance. Market superintendent employed to supervise setting up of market.  |
| <b>EMPLOYEES</b>               |   |      |  |
| Business Continuity            | Risk of Council not being able to continue its business due to unexpected circumstances.  | Low  | The Council has a separate Business Continuity Plan  |
| Staff Management               | Actions undertaken by staff   | Low  | The Employment Committee acts as the employer for exercise of duty of care with regular review meetings. The Chairman of the Council meets with the Clerk/RFO on a weekly basis.   |
| Staff Health                   | Injury at work or illness as a result of work   |      | Employers Liability Insurance, Safe Working Policy to cover Lone Working. Risk assessments for all activities undertaken by staff. H&S policies including First Aid for staff, manual handling, Safe use of Equipment and reporting of Incidents (RIDDOR and HSE)  |

Date of Last Review.....

Next Review due .....