



## LONDON COLNEY PARISH COUNCIL

To: All Councillors

1 March 2023

You are hereby summoned to attend the Council Meeting of **LONDON COLNEY PARISH COUNCIL** to be held on **WEDNESDAY 8 MARCH 2023** at **7.00PM** at **CALEDON COMMUNITY CENTRE, CALEDON ROAD, LONDON COLNEY AL2 1PU** for the purposes of transacting the following business:

**Emma Payne**  
Clerk to the Council

---

### AGENDA

	Page No
<b>1. APOLOGIES</b> To receive and accept apologies for absence.	
<b>2. DECLARATIONS OF INTEREST</b> To receive declarations of disclosable pecuniary interests and other interests from Councillors on matters to be considered at the meeting. The disclosure must include the nature of the interest. If you become aware, during the meeting, of an interest that has not been disclosed under this item you must immediately disclose it. Whether you can remain in the meeting and the extent to which you can participate depends on the type of interest you have	
<b>3. QUESTION TIME</b> The Chairman will suspend Standing Orders for a period of 15 minutes to receive any questions or observations from members of the public on matters affecting the parish. Any motions arising from the matters raised cannot be considered at this meeting and may be referred to a future meeting or Committee of the Council.	
<b>4. COUNCILLORS ON OTHER AUTHORITIES</b> To receive a written or verbal report from Councillors on other authorities	
<b>5. COMMUNITY SAFETY REPORT</b> To receive a report on community safety.	
<b>6. MINUTES</b> To approve the minutes of the meeting held 18 January 2023	3
<b>7. MATTERS ARISING FROM THE MINUTES NOT APPEARING ON THE AGENDA FOR INFORMATION ONLY</b>	



## **8. CHAIR'S REPORT AND URGENT ITEMS (FOR INFORMATION ONLY)**

- 8.1 Coronation of King Charles III

## **9. COMMITTEE MEETINGS**

To receive the minutes of the following committee meetings and to ratify any recommendations

<b>9.1 Environment &amp; Neighbourhood Committee – 24 January 2023</b>	<b>7</b>
<b>5.2 – Green Flag Award</b>	
To recommend to Council that:	
<i>The <u>Management Plan for Morris Recreation Ground</u> is adopted.</i>	
<b>9.2 Events &amp; Community Committee – 24 January 2023</b>	<b>10</b>
<b>9.3 Human Resources Committee – 7 February 2023</b>	<b>11</b>
 <b>10. FINANCE &amp; RISK MANAGEMENT</b>	
10.1 To ratify payments made from 1/12/2022-31/12/2023	14
10.2 To review Effectiveness of Internal Audit and Control	16
10.3 To review Risk Management Strategy and Risk Register	23
 <b>11. CALENDAR OF MEETINGS 2023-24</b>	<b>46</b>
To approve the Calendar of Meetings	
 <b>11. MEMBER'S ITEMS</b>	
11.1 Blue Plaque for Louis Wain (Cllr Gordon)	49
 <b>12. WORK PROGRAMME</b>	<b>50</b>
To receive the work programme for Council	
 <b>13. DATE OF NEXT MEETING</b>	
Annual Parish Meeting – 22 March 2023	

**LONDON COLNEY PARISH COUNCIL**  
**MINUTES OF COUNCIL MEETING HELD ON**  
**WEDNESDAY 18 JANUARY 2023, 7PM**  
**CALEDON COMMUNITY CENTRE, CALEDON ROAD, LONDON COLNEY AL2 1PU**

**PRESENT:** Councillors M MacMillan (Chairman), K Gardner, D Gordon, T Lillico, S Pearl, and L Winstone

**VIRTUALLY:** Cllr H Pakenham (who did not vote)

**IN ATTENDANCE:** E Payne, Clerk  
2 Members of the Public  
2 Officers from Herts Police  
Cllr Nuala Webb, District Councillor for Park Street

**137/23. APOLOGIES**

No apologies were received. Cllr Mahony was absent.

**138/23. DECLARATIONS OF INTEREST**

There were no declarations of interest declared on items on this agenda.

**138/23. QUESTION TIME**

It was **RESOLVED** to:

***Suspend Standing Orders for purposes of public participation.***

A member of the public thanked Cllr Lillico for raising the installation of signage without advertising consent on a building in the conservation area.

**139/23. COUNCILLORS ON OTHER AUTHORITIES**

139/23.1 Cllr Lillico gave a verbal update on the district council budget and local plan developments.

139/23.2 Cllr Pakenham asked if Cllr Lillico could report back to a meeting on the distribution of green home grants, and whether they had been received in London Colney.

139/23.3 Cllr Lillico reported back on Cllr Gordon's question about the eligibility of areas in London Colney not being eligible to apply for a Veolia grant. He had been advised that most of London Colney was not in the area of designation for grants. Cllr Gordon responded that there were some areas which did qualify for grants and the Clerk forwarded to Cllr Lillico the email from Cllr Gordon outlining those areas where grant applications could be made.

**140/23. COMMUNITY SAFETY REPORT**

PCSO Daniels and Jackson attended the meeting and gave an update on crimes in the area including theft of tool kits and catalytic converters; drug dealing; ASB in Haseldine Road; ASB at High Street toilets; fly tipping in Cotlandswick; parking in Richardson Close; speeding and e-scooters.

***Standing Orders were reinstated.***

**141/23. MINUTES**

The minutes of the meeting held on 2 November 2022 and Extraordinary Meeting held on 29 November 2022 were received. It was **RESOLVED** to:

*Adopt the minutes as a true record of the meeting.*

**142/23. MATTERS ARISING FROM THE MINUTES NOT APPEARING ON THE AGENDA**

There were no matters arising.

**143/23. CHAIR'S REPORT AND URGENT ITEMS (FOR INFORMATION ONLY)**

The Chairman reported on the resignation of Cllr Mortuza.

**144/23. COMMITTEE MEETINGS**

**144/23/1 Finance & General Purposes Committee – 9 November 2022**

The minutes of this committee were received. Members were asked to adopt the Reserves Policy. It was **RESOLVED** to:

*Adopt the Reserves Policy*

**144/23.2 Events & Community Committee – 15 November 2022**

The minutes of this committee were received. There were no recommendations. Cllr Gardner asked how attendees could buy tickets for the Elvis tribute night. The Clerk will circulate this to Members.

**144/23.3 Environment & Neighbourhood Committee – 22 November 2022**

The minutes of this committee were received. There were no recommendations.

**144/23.4 Planning Committee – 24 November 2022**

The minutes of this committee were received. There were no recommendations.

**144/22.5 Human Resources Committee – 14 December 2022**

The minutes of this committee were received. There were no recommendations.

**144/22.6 Finance & General Purposes Community Committee – 14 December 2022**

The minutes of this committee were received. Members were asked to adopt the Freedom of Information Procedure. It was **RESOLVED** to:

*Adopt the Freedom of Information Procedure*

**145.22 FINANCE AND RISK MANAGEMENT**

**145/22.1 Income and Expenditure Report for Period ending 31/12/22**

Members received this report, and it was **RESOLVED** to:

*Note the report*

#### **145/23.2 Payments made 1/10/22-31/12/22**

Members received a schedule of payments, and it was **RESOLVED** to:

***Approve the schedule of payments***

#### **145/22.3 Interim Internal Audit 2022-23**

Members received the interim internal audit for 2022-23. Members noted the recommendations in relation to having dedicated Parish Council email addresses and the aged debtor situation. Members were advised that progress into the aged debtors' situation had been made. The Finance & General Purposes Committee had considered the recommendation regarding Parish Council email address, and felt that it could be implemented after the elections in May 2023. It was **RESOLVED** to:

***Adopt the Interim Internal Audit.***

#### **145/22.4 Precept and Budget 2023-24**

The Chairman of the Finance & General Purposes Committee presented the budget to Members and thanked her colleagues on the Budget Working Party, and Officers, for their time in preparing this budget. It was **RESOLVED** to:

- a) Approve the fees and charges for 2023-24***
- b) Approve the budget for 2023-24***
- c) Agree the precept for 2023-24 at £315,000.***

#### **146/23. MEMBERS ITEMS**

- 146/23.1 Cllr Gordon raised concerns about the condition of the car park in Haseldine Road. During the refurbishment of Cyril Dumpleton House, the District Council's maintenance contractors had used one end of the car park as a holding area, with cabins. The refurbishment had been concluded for some time, and there was no evidence of the contractors clearing up this area. Equally, the surface of the car park has extensive potholes, and the parking bay markings have worn away. It was **RESOLVED** to:

***Write to SADC about the condition of Haseldine Road Car Park.***

- 146/23.1 Cllr Lillico presented a motion for Members to resolve to agree on the sale of the HCC land at the Railfreight Terminal Site to SEGRO. Amendments were made to the proposed motion, and it was **RESOLVED** to:

***Send a letter to HCC outlining the Parish Council's concerns regarding the sale and subsequent development of the site.***

#### **147.23 EXTERNAL MEETINGS**

##### **147/22.1 St Albans District Association of Local Councils**

Members received the minutes of this meeting held on 9 January 2023. There were no questions.

#### **148/23. WORK PROGRAMME**

Members noted the Council's work programme and that the reserve meeting scheduled for 25 January 2023, was not needed as the budget had been agreed.

**149/22. CONFIDENTIAL ITEMS**

It was **RESOLVED** to:

***Exclude the Press and Public from the following items in accordance with the Public Bodies (Admissions to Meetings) Act 1960.***

**150/23.1 The Village Club**

Members received a proposed statement to be issued to the public on the legal advice from the Parish Council's solicitors. Amendments were made and the statement would be approved by the Parish Council's solicitors prior to release.

**151/23. DATE OF NEXT MEETING**

Wednesday 8 March 2023  
Annual Parish Meeting – 22 March 2023

The meeting closed at 2025.

Signed .....

Date .....

## **LONDON COLNEY PARISH COUNCIL**

### **MINUTES OF THE ENVIRONMENT & NEIGHBOURHOOD COMMITTEE MEETING HELD ON TUESDAY 24 JANUARY 2022, 5.00PM CALEDON COMMUNITY CENTRE, CALEDON ROAD, LONDON COLNEY AL2 1PU**

**PRESENT:** Councillors Gardner (Chairman), M MacMillan (arrived 1730), L Winstone  
Mrs J Barker, Mr Osborne  
Cllr H Pakenham (virtual)

**IN ATTENDANCE:** E Payne, Clerk

*The meeting was not quorate so commenced as a Working Party until 1730, when Cllr MacMillan arrived.*

#### **1. APOLOGIES**

Apologies were received from Mr Casling, Grounds Maintenance Manager. Cllr Mahony was absent.

#### **2. NOTIFICATION OF SUBSTITUTES**

There were no substitutions.

#### **3. DECLARATION OF INTEREST**

Mrs Barker declared an interest in item 5.3 as an allotment tenant.

#### **4. MINUTES**

The minutes of the meeting held on 22 November 2022 were approved as a true record of the meeting.

#### **5. REPORTS TO COMMITTEE**

##### **5.1 Grounds Maintenance Manager's Report**

In the Grounds Maintenance Manager's absence, the Clerk presented this report. There were no questions arising from the report. Members were very pleased with the planted Christmas tree.

##### **5.2 Green Flag Award**

Prior to the meeting, Members had received a proposed management plan for Morris Recreation Ground. This would be submitted to support the Parish Council's application for a Green Flag. Members were advised that there is no inclusion on the Parish Council's website for these recreational facilities and the Clerk would be undertaking to update the website with details of the facilities at the sites around London Colney. Members went onto have a conversation about the possibility of improving the income generation from the sites, for example, renting out the kitchen at the pavilion to support birthday parties being held in the park. It was considered that this was something from the next administration to consider.

Members asked if a log could be kept of rubbish left on the park and the amount of time it took to clear up. Members were advised by the Clerk that this was not something that feasible. Members asked about the signage on site, and it was explained that it was part of

the management plan to replace the existing signage with a new one which was more welcoming. By adopting the management plan, it would feed into future budgets. It was **RESOLVED to RECOMMEND TO COUNCIL** that:

***The Management Plan for Morris Recreation Ground is adopted.***

### **5.3 Allotment Report**

Members received a report on the allotments.

Members noted the current condition of the sites and that they are well administered by the Admin Officer. Members considered a date for the allotment holders meeting, and agreed to hold it on 28 March 2023, at 7pm which is the same date at the next meeting of this committee.

Members noted that allotment inspections would be held in June, after the parish council elections.

***1730 - Cllr MacMillan joined the meeting – the meeting was now quorate.***

Members considered the current level of allotment rent and noted the research undertaken to benchmark London Colney's rents against those of other authorities in the area. Members considered that the allotments were good value for money and that as the allotment rents had not been increased last year. Members acknowledged all the benefits of having an allotment, and didn't want to put people off by putting up the price. They were also aware that if they were too cheap, then people didn't cultivate them. Members considered a 15% increase would be appropriate, rounded up to the nearest pound. New prices would be:

Full plot	£43.00/£29.00
Half Plot	£29.00/£17.00
Quarter Plot	£17.00/£12.00

It was **RESOLVED** to:

- a) Note the current situation regarding the allotments and the waiting list.***
- b) To hold an allotments holders meeting on 28 March 2023, at 7pm***
- c) Recommend to Finance & General Purposes Committee that allotment rent is increased in line with above.***

### **5.4 Play Areas**

#### **a) Accessible Play Equipment**

Members received a report on play areas. Members noted that the Clerk had struggled to get quotations for the installation of accessible play equipment. It was noted that one quotation had been received for an accessible swing at Morris Way Play Area. Members noted that the quotation was within the level of funding available from S106. It was **RESOLVED** to:

***Submit a proposal to SADC for the release of S106 funding for accessible play equipment at Morris Way Play Area and Caledon Road Play Area.***

#### **b) Email regarding Play Areas**

Members received an email from a resident enquiring about the modernisation of the play areas. Members agreed with the sentiment in the email and can understand their



frustration. Members welcomed any fund raising opportunities and the Clerk will write to them regarding their suggestion.

#### **5.5 Bridge at Lowbell Lake**

Members received a report regarding repairs to this bridge. Members noted that there was not sufficient budget to undertake the work. The estimate for the wood is £875. Members asked if the wood could be replaced by 'plastic wood' made from recycled material. They were advised that this would delay the repairs until prices could be obtained. It would have to be treated to prevent slipping.

It was **RESOLVED** to:

- a) Note the repairs to be undertaken.***
- b) Authorize the virement from the budgets outlined in the report.***
- c) Increase the longevity of the bridge by installing chicken wire instead of bitumen to prevent slipping.***

#### **6. WORK PROGRAMME**

Members noted the forward work programme. Members noted the tennis booking report would go to the next meeting.

#### **7. DATE OF NEXT MEETING**

28 March 2023.

The meeting closed at 1830.

Signed .....

Date .....

# LONDON COLNEY PARISH COUNCIL

## MINUTES OF THE EXTRA EVENTS AND COMMUNITY COMMITTEE TUESDAY 24 JANUARY 2023, 6.30PM

CALEDON COMMUNITY CENTRE, CALEDON ROAD, LONDON COLNEY AL2 1PU

**PRESENT:** Cllr McMillan (Chair), S Pearl and L Winstone  
Cllr Pakenham (virtual)

**IN ATTENDANCE:** Cllr Gardner  
Emma Payne, Clerk

### 1. APOLOGIES

Apologies were received from Cllr Lillico (SADC meeting)

### 2. NOTIFICATIONS OF SUBSTITUTES

Cllr Winstone substituted for Cllr Lillico

### 3. DECLARATION INTEREST

There were no declarations on any item on the agenda.

### 4. REPORTS TO COMMITTEE

#### 4.1 Larks in the Park 2023

Members received a report outlining the withdrawal of support by SADC for this event. Members were advised on the financial support received which included entertainment, an art activity and first aid cover. The other support includes administrative help with the paperwork required to ensure the event was safe, as well as marketing. Members received a proposed amended budget which included additional funding for first aid cover and marketing.

Everyone Active, the contractor who is responsible for the organisation of the event, were endeavouring to find grant funding to support the event.

The event has been run for approximately 16 years and Members considered that this would be an opportunity to replace it with something else. Members were advised that the Picnic in the Park was also in danger of not happening in its existing format due to the supplier not wanting to be involved in 2023.

Members had a robust discussion about potential sponsorship for the event, the lack of the Events Officer and the proximity of a potential Coronation event in early May. Members acknowledged the value of a community event, with sports and dance club along with more ethnic groups, to represent the diversity of London Colney.

It was **RESOLVED** to:

***Not organise Larks in the Parks in 2023.***

### 5. DATE OF NEXT MEETING

21 March 2023

The meeting closed at 1848.

Signed .....

Date .....

**LONDON COLNEY PARISH COUNCIL**  
**MINUTES OF HUMAN RESOURCES COMMITTEE MEETING**  
**TUESDAY 7 FEBRUARY 2023, 6.00PM**  
**CALEDON COMMUNITY CENTRE, CALEDON ROAD, LONDON COLNEY AL2 1PU**

**PRESENT:** Councillors K Gardner, M MacMillan & L Winstone  
Cllr H Pakenham (virtual)

**IN ATTENDANCE:** Emma Payne, Clerk

**1. ELECTION OF CHAIRMAN**

As Cllr Pakenham was attending remotely, they were not able to chair the meeting. It was **RESOLVED** that:

*Cllr Gardner is elected as Chairman of HR Committee for this meeting.*

**2. APOLOGIES**

All present.

**3. NOTIFICATION OF SUBSTITUTES**

There were no substitutions.

**4. DECLARATIONS OF INTEREST**

There were no declarations of interest on items on this agenda.

**5. MINUTES OF THE PREVIOUS MEETING AND MATTERS ARISING (FOR INFORMATION ONLY)**

The minutes of the previous meeting held on 30 November 2022 were adopted as a true record of the meeting.

**6. REPORTS TO COMMITTEES**

**6.1 Recruitment**

Members were advised that recruitment of the Deputy Clerk had not brought forward any suitable candidates. The Clerk had liaised with the HR advisor who had advised them that recruitment at the moment is very difficult and recommended a different approach, separating the role into two separate positions – Events Officer and Environment Officer.

Members considered the proposal and received a report with costs associated with both roles. Members noted that there was a small saving achieved with this approach. Members thought that this might be more attractive, especially for parents who wanted to work around childcare and school hours. It might also appeal to an older person who didn't want to work fulltime. Members noted that this approach would not provide the additional support that had been envisaged for the Clerk.

Members asked what the employer's pension contribution would be for the roles. It was explained that this would depend on which pension the employee wanted to join, if any. This figures are to provided to Members outside of the meeting.

Members were asked to consider additional support for the Clerk with a locum Clerk for 10 hours per week. This would cost from £25 per hour and could be undertaken remotely. They would not be employed by the parish council, but directly or through a company.

Members considered the costs relating to these roles and wanted to know what savings had been achieved to date by not employing an Events & Community Officer. This should include pension and NI contributions. Members were advised that the National Insurance employer's figure was hard to calculate and would be an estimate.

It was **RESOLVED** to:

- a) Advertise two positions: Events & Community Officer and Environment & Neighbourhood Officer at the salary scales in the report.***
- b) Ask the HR advisor to undertake recruitment for the roles at a cost not exceeding £600.00.***
- c) Provide information on savings achieved to date through not employing an Events Officer***
- d) Seek additional support for the Clerk through a locum Clerk for 10 hours per week. This decision is to be delegated to the Chair of HR and the Clerk***

## **6.2 Staff Handbook**

Members were advised that the HR consultant's advisor on the staff handbook had to be changed and the new advisor was in the process of producing the handbook.

## **7. WORK PROGRAMME**

Members noted the work programme for this committee.

## **8. CONFIDENTIAL ITEMS**

To resolve to exclude the Press and public from the following items in accordance with the Public Bodies (Admissions to Meetings) Act 1960.

### **8.1 Grounds Maintenance Staff**

Members received a verbal report regarding a health condition affecting a member of staff and how this was will affect the delivery of the ground's maintenance function. The Grounds Maintenance Manager had advised the Clerk that he had a plan in place to cover the absence and Members asked to see this plan.

Members were advised that this would be an additional cost, and this needed to be agreed by Finance & General Purposes Committee.

Members also considered that as this was a business continuity issue, that the Grounds Maintenance Manager should produce a specification for the grounds maintenance at all sites so that it could be outsourced in the event of staff absence. It was **RESOLVED** that:

- a) The Grounds Maintenance Manager to provide a summary to HR committee of how they will cover grounds staff absence.***

- b) The Grounds Maintenance Manager will provide a Grounds Maintenance specification for all sites for the Finance & General Purposes Committee.*
- c) The costs relating to cover grounds staff absence will be referred to the Finance & General Purposes Committee.*

**9. DATE OF NEXT MEETING**

14 March 2023.

The meeting closed at 1845.

Signed: ..... Date: .....

## Co-op Current Account

## List of Payments made between 01/12/2022 and 31/12/2022

<u>Date Paid</u>	<u>Payee Name</u>	<u>Reference</u>	<u>Amount Paid</u>	<u>Authorized Ref</u>	<u>Transaction Detail</u>
01/12/2022	TV LICENCE	DD TV LIC	13.37		TV LICENCE
01/12/2022	St Albans District Council	01122022	131.00		LCCC RATES 010422-310323
01/12/2022	Catercare Catering Equipment	49652	102.00		6M SERVICE LINCAT WATER BOILER
01/12/2022	Serebus Holistic Therapies	AMCH527	630.00		SEATED EXERCISE CLASSES OCT 20
01/12/2022	Hertfordshire Catering Ltd	011222	1,800.00		LUNCH CLUB COSTS
05/12/2022	Castle Water Ltd	051222	5.00		Purchase Ledger DDR Payment
07/12/2022	Allstar Business Solutions Lim	071222	121.68		FUEL 251122
08/12/2022	DEA	DEA	539.08		DEA
14/12/2022	Allstar Business Solutions Lim	141222	32.83		Purchase Ledger DDR Payment
15/12/2022	Hertscom IT Ltd	151222	853.09		Purchase Ledger DDR Payment
16/12/2022	Gas Heating & Plumbing Solutio	2481	129.83		P/Ledger Electronic Payment
16/12/2022	Gas Heating & Plumbing Solutio	2476	180.00		P/Ledger Electronic Payment
16/12/2022	Gas Heating & Plumbing Solutio	2475	264.00		P/Ledger Electronic Payment
16/12/2022	Speedy Hire	7302132185	241.27		F/WORKS BARRIERS DEL/COLL
16/12/2022	Communic8 Hire Ltd	1564	282.00		RADIOS - XMAS LIGHTS
16/12/2022	Serebus Holistic Therapies	AMCH533	560.00		P/Ledger Electronic Payment
16/12/2022	Dream Clean	021535	550.00		P/Ledger Electronic Payment
16/12/2022	Avanti Gas ON Ltd	400435996	163.82		P/Ledger Electronic Payment
16/12/2022	Avanti Gas ON Ltd	400436009	597.43		P/Ledger Electronic Payment
16/12/2022	CASUAL STAFF	CASUAL STA	67.55		P TWIGG WE 111222
16/12/2022	CASUAL STAFF	CASUAL STA	100.84		P TWIGG WE 041222
19/12/2022	Corona Energy - Electricity	191222	11.56		Purchase Ledger DDR Payment
20/12/2022	Dayla & James Pettit	201222	1,002.31		BAR STOCK
21/12/2022	Allstar Business Solutions Lim	211222	135.25		Purchase Ledger DDR Payment
21/12/2022	WORLDPAY	211222	91.76		Purchase Ledger DDR Payment
21/12/2022	Chagos Consulting Ltd	000246	100.00		P/Ledger Electronic Payment
21/12/2022	Communic8 Hire Ltd	1598	129.80		P/Ledger Electronic Payment
21/12/2022	CASUAL STAFF	CASUAL STA	62.73		P TWIGG WE 181222
22/12/2022	Konica Minolta	DD 221222	254.81		P/Ledger Electronic Payment
22/12/2022	Alban Locksmiths Ltd	195.06	21.00		P/Ledger Electronic Payment
22/12/2022	Gas Heating & Plumbing Solutio	2517	1,221.60		P/Ledger Electronic Payment
22/12/2022	The Manson Group	60536	1,406.00		DEC 2022 LC NEWS PRINTING
22/12/2022	Lamps & Tubes Illuminations Lt	70977	2,862.00		P/Ledger Electronic Payment
22/12/2022	Lamps & Tubes Illuminations Lt	70889	3,564.00		P/Ledger Electronic Payment
22/12/2022	Lamps & Tubes Illuminations Lt	70862	4,618.80		XMAS LIGHTS 2022 COL INSPECT
22/12/2022	Hertfordshire Catering Ltd	2700123397	1,800.00		P/Ledger Electronic Payment
23/12/2022	Nisbets	25972098	23.38		P/Ledger Electronic Payment
23/12/2022	Pro medicus Ltd	1324	100.00		P/Ledger Electronic Payment
23/12/2022	Print Shop St Albans	00017275	468.00		DEC LC NEWS DELIVERY
23/12/2022	Hertfordshire Catering Ltd	2700121178	1,800.00		LUNCH CLUB COSTS
23/12/2022	WinterHalter Ltd	49156	1,238.40		P/Ledger Electronic Payment
23/12/2022	N & P Windows Limited	87705	2,734.99		P/Ledger Electronic Payment
23/12/2022	N & P Windows Limited	87686	3,466.03		LCCC WINDOWS 1ST APPLICATION
23/12/2022	DEA	DEA	276.83		DEA
23/12/2022	DECEMBER 2022 SALARIES	DEC 22 SAL	10,183.20		DECEMBER 2022 SALARIES
28/12/2022	Castle Water Ltd	281222	5.00		Purchase Ledger DDR Payment
28/12/2022	Castle Water Ltd	281222	18.67		Purchase Ledger DDR Payment
28/12/2022	Castle Water Ltd	281222	59.13		Purchase Ledger DDR Payment

Continued on Page 2

## Co-op Current Account

## List of Payments made between 01/12/2022 and 31/12/2022

<u>Date Paid</u>	<u>Payee Name</u>	<u>Reference</u>	<u>Amount Paid</u>	<u>Authorized Ref</u>	<u>Transaction Detail</u>
28/12/2022	Allstar Business Solutions Lim	281222	85.91		Purchase Ledger DDR Payment
28/12/2022	Veolia ES (UK) Ltd	281222 A	688.08		TRADE WASTE 0111-301122
30/12/2022	Hertscom IT Ltd	301222	33.72		Purchase Ledger DDR Payment
30/12/2022	Onecom Services Ltd	301222	23.94		Purchase Ledger DDR Payment
<b>Total Payments</b>			<u>45,851.69</u>		

## **LONDON COLNEY PARISH COUNCIL**

**COMMITTEE: COUNCIL**

**DATE: 8 MARCH 2023**

**REPORT BY: EMMA PAYNE, CLERK**

**SUBJECT: REVIEW OF INTERNAL AUDIT AND CONTROL**

### **1. SUMMARY**

- 1.1 There is a requirement under the Accounts and Audit (England) Regulations that the Parish Council undertakes and approves a review of the effectiveness of its internal control arrangements annually.

### **2. RECOMMENDATION**

- 2.1 Members are asked to approve:
- a) the attached review of internal control and internal audit arrangements

### **3. BACKGROUND**

- 3.1 Local Councils are responsible for putting in place proper arrangements for the governance of their affairs and the stewardship of the resources under their control. These arrangements should enable the Council to carry out its activities effectively whilst managing risk.
- 3.2 Regular reviews of internal control provide assurances on their effectiveness and where appropriate a management action plan can be used to address any identified weaknesses.

### **4. SYSTEM OF INTERNAL CONTROL**

- 4.1 A review checklist of the current Internal Control systems in place is shown at in the attached document. Members are asked to review this to ensure that the current arrangements continue to be efficient and effective for the Council.

### **5. REVIEW OF INTERNAL AUDIT ARRANGEMENTS**

- 5.1 The assessment at Appendix 1 covers the main areas of review as set out in the advice from the Joint Practitioners Council which includes members from the National Association of Local Councils and the Society of Local Council Clerks. This guidance is set out in the Joint Panel on Accountability and Governance Practitioners' Guide (March 2021).
- 5.2 The Internal Auditor is not involved in the financial decision making or management or administrative control of the Parish Council. The current internal auditor is Mulberry & Co, who were appointed from 1 April 2022. They are appropriately qualified and have significant financial experience and knowledge of accounting and auditing processes. They understand accounting requirements and the legal framework and powers of local councils.



- 5.3 The Internal Auditor undertakes two views in a financial year (at 6 months and at year end). Findings from the Internal Auditor are reported to Council with details of any matters which require attention, and these reports are received and resolved to be adopted.

**6. FINANCIAL IMPLICATIONS**

- 6.1 There is an adequate budget for the internal audit process.

**7. IMPACT ASSESSMENT**

Strategic Plan	Objective five
Equalities	N/A
Environmental/Sustainability	N/A
Crime & Disorder	N/A
Financial	N/A
Resources (including workforce)	N/A
Risk Management	Annual review of Risk Management

## APPENDIX 1 – REVIEW OF INTERNAL AUDIT ARRANGEMENTS

AGAR Certificate reference	Internal Audit action for expected controls
<p>A. Appropriate accounting records have been kept throughout the year.</p> <p>AND</p> <p>I. Periodic bank account reconciliations were properly carried out during the year.</p>	<ul style="list-style-type: none"> <li>• Ensure the correct roll forward of the prior year cashbook balances to the new financial year.</li> <li>• Check a sample of financial transactions in cashbooks to bank statements, etc.: the sample size dependent on the size of the authority and nature of accounting records maintained</li> <li>• Ensure that bank reconciliations are prepared routinely, are subject to independent scrutiny and sign-off by members</li> <li>• Verify the accuracy of the year-end bank reconciliation detail and ensure accurate disclosure of the combined cash and bank balances in the AGAR, <u>Section 2, Box 8</u>.</li> <li>• Where the authority has bank balances more than £100,000 it has an appropriate investment strategy.</li> </ul>
<p>B. The authority complied with its financial regulations, payments were supported by invoices, all expenditure was approved, and VAT was appropriately accounted for.</p>	<ul style="list-style-type: none"> <li>• Review the procedures in place for acquisition of formal tenders and quotes, ensuring they are in line with the <u>SOs and FRs</u> which should be based on the latest version.</li> <li>• Ensure that consistent values are in place for the acquisition of formal tenders between SOs and FRs (frequently different limits are recorded in the two documents)</li> <li>• Review the procedures for receipt of invoices, agreement of invoice detail and confirmation of goods /services delivery and approval for payment: ideally, a suitably designed certification stamp should be in place providing for evidencing of these checks and payment authorization</li> <li>• Check that there is effective segregation between the writing of cheques or the setting up of online payments, and physical release of payments</li> <li>• Check that VAT reclaims are prepared and submitted in a timely manner in line with the underlying records and in accordance with current HMRC requirements.</li> <li>• Where debit / credit cards are in use, establish the total monthly and individual transaction limits and ensure appropriate controls over physical security and usage of the cards are in place</li> </ul>

<p>C. The authority assessed the significant risks to achieving its objectives and reviewed the adequacy of arrangements to manage these.</p>	<ul style="list-style-type: none"> <li>• Ensure that authorities have prepared, and formally adopted, at least once annually, an appropriate and comprehensive register of assessed risks, both regular and ad hoc</li> <li>• Ensure that appropriate levels of insurance cover are in place for land, buildings, public, employers', and hirers' (where applicable) liability, fidelity / employees (including councillors) liability, business interruption and cyber security</li> <li>• Ensure that appropriate arrangements are in place for monitoring play areas, open spaces, and sports pitches: such reviews should be undertaken by appropriately qualified external inspectors or, if by officers or members, that they have received the appropriate training and accreditation</li> <li>• Review the effectiveness of internal control carried out by the authority.</li> </ul>
<p>D. The Precept or rates requirement resulted from an adequate budgetary process, progress against the budget was regularly monitored; and reserves are appropriate.</p>	<ul style="list-style-type: none"> <li>• Ensure that the full Authority, not a committee, has considered, approved and adopted the annual precept in accordance with the required parent Authority timetable</li> <li>• Ensure that budget reports are prepared and submitted to Authority / Committees periodically during the year with appropriate commentary on any significant variances</li> <li>• Review the budget performance either during the year or at the financial year-end seeking explanations for any significant or unanticipated variances</li> <li>• Ensure that the Authority has considered the establishment of specific earmarked reserves and, ideally, reviews them annually as part of the budget assessment process</li> <li>• Ensure that the precept in the accounts matches the submission form to the relevant authority and the public record of precepted amounts</li> </ul>
<p>E. Expected income was fully received based on correct prices, properly recorded and promptly banked; and VAT appropriately accounted for.</p>	<ul style="list-style-type: none"> <li>• Review "Aged debtor" listings to ensure appropriate follow up action is in place</li> <li>• Allotments: ensure that appropriate signed tenancy agreements exist, that an appropriate register of tenants is maintained identifying, that debtors are monitored.</li> <li>• Hall hire: ensure that an effective diary system for bookings is in place identifying the hirer, hire times and ideally cross-referenced to invoices raised</li> <li>• Leases: ensure that leases are reviewed in a timely manner in accordance with the terms of the lease and rents similarly reviewed appropriately at the due time</li> <li>• Other variable income streams: ensure that appropriate control procedures and documentation are in existence to provide a clear audit trail through to invoicing and recovery of all such income</li> <li>• Where amounts are receivable on set dates during the year, ensure that an appropriate control record is maintained duly identifying the date(s) on which income is due and actually received / banked</li> </ul>

<p>F. Petty Cash payments were properly supported by receipts, all petty cash expenditure was approved and VAT appropriately accounted for</p>	<ul style="list-style-type: none"> <li>• A number of Authorities are now running down and closing their petty cash accounts and using debit / credit cards for ad hoc purchases. Consequently, a “Not covered” response is frequently required in this area.</li> <li>• Review the systems in place for controlling any petty cash and also cash floats (used for bar, catering, etc)</li> <li>• Check a sample of transactions during the financial year to ensure appropriate supporting documentation is held</li> <li>• Review the existence of evidenced periodic independent verification of the petty cash and any other cash floats held</li> <li>• Ensure that VAT is identified wherever incurred and appropriate.</li> <li>• Physically check the petty cash and other cash floats held.</li> <li>• Where bar or catering facilities are in place, ensure that appropriate cashing-up procedures are in place reconciling the physical cash takings to the till “Z” total readings</li> </ul>
<p>G. Salaries to employees and allowances to members were paid in accordance with the authority’s approvals, and PAYE and NI requirements were properly applied.</p>	<ul style="list-style-type: none"> <li>• Ensure that, for all staff, a formal employment contract is in place together with a confirmatory letter setting out any changes to the contract</li> <li>• Ensure that appropriate procedures are in place for the payment of members allowances and deduction of any tax liability</li> <li>• Ensure that, for a sample of staff salaries, gross pay due is calculated in accordance with the approved spinal point on the NJC scale or hourly rate, if off-scale, and also with the contracted hours</li> <li>• Ensure that appropriate tax codes are being applied to each employee.</li> <li>• Where free or paid for software is used, ensure that it is up to date.</li> <li>• For the test sample of employees, ensure that tax is calculated appropriately</li> <li>• Check the correct treatment of Pension contributions.</li> <li>• For NI, ensure that the correct deduction and employer’s contributions are applied: NB. The employers’ allowance is not available to councils but may be used by other authorities.</li> <li>• Ensure that the correct employers’ pension percentage contribution is being applied.</li> <li>• Ensure that for the test sample, the correct net pay is paid to the employee with tax, NI and pension contributions correctly paid to the respective agencies.</li> </ul>

<p>H. Asset and investment registers were complete and accurate and properly maintained.</p> <p>This section / assurance should be extended to include loans to or by the authority</p>	<ul style="list-style-type: none"> <li>• Ensure that the Authority is maintaining a formal asset register and updating it routinely to record new assets at historic cost price, net of VAT and removing any disposed of / no longer serviceable assets</li> <li>• Physically verifying the existence and condition of high value, high risk assets may be appropriate.</li> <li>• Ideally, the register should identify for each asset the purchase cost and, if practicable, the replacement / insured cost, the latter being updated annually and used to assist in forward planning for asset replacement</li> <li>• Additions and disposals records should allow tracking from the prior year to the current</li> <li>• Ensure that the asset value to be reported in the AGAR at Section 2, Box 9 equates to the prior year reported value, adjusted for the nominal value of any new acquisitions and / or disposals</li> </ul> <p>Fixed asset investments:</p> <ul style="list-style-type: none"> <li>• Ensure that all long-term investments (i.e., those for more than 12 month terms) are covered by the “Investment Strategy” and reported as Assets in the AGAR at section 2, line 9.</li> </ul> <p>Borrowing and Lending:</p> <ul style="list-style-type: none"> <li>• Ensure that the authority has sought and obtained appropriate DMO approval for all loans acquired.</li> <li>• Ensured that the authority has accounted for the loan appropriately (i.e., recorded the full value of the loan. Any arrangement fee should be regarded as an admin expense) in the year of receipt.</li> <li>• Ensure that the combined principal loan repayment and interest for the year is correctly recorded in the AGAR at section 2 line 5</li> <li>• Ensure that the outstanding loan liability as at 31st March each year is correctly recorded in the AGAR at section 2, line 10 (value should be verified via the DMO website)</li> <li>• Where the Authority has issued loans to local bodies, they should ideally seek signed indemnities from the recipient body, or their members, agreeing to underwrite the loan debt</li> </ul>
---	---

<p>J. Accounting statements prepared during the year were prepared on the correct accounting basis (receipts and payments or income and expenditure), agreed to the cashbook, supported by an adequate audit trail from underlying records and, where appropriate, debtors and creditors were properly recorded.</p>	<p>Whilst IAs are not required to verify the accuracy of detail to be disclosed in the AGAR, this assertion, together with the expectation of most Authorities, effectively requires IAs to ensure that the financial detail reported at Section 2 of the AGAR reflects the detail in the accounting records maintained for the financial year.</p> <ul style="list-style-type: none"> <li>• Consequently, IAs should</li> <li>• Ensure that, where annual turnover exceeds £200,000, appropriate records are maintained throughout the year on an Income and Expenditure basis to facilitate budget reporting in that vein.</li> <li>• Ensure that appropriate accounting arrangements are in place to account for debtors and creditors during the year</li> </ul>
<p>M. The authority, during the previous year, correctly provided for the period for the exercise of public rights as required by the Accounts and Audit Regulations.</p>	<p>IAs should acquire / examine a copy of the required “Public Notice” ensuring that it clearly identifies the statutory 30 working day period when the Authority’s records are available for public inspection. IAs may also check whether councils have minuted the relevant dates at the same time as approving the AGAR</p>
<p>N. The authority complied with the publication requirements for the prior year AGAR.</p>	<p>IAs should ensure that the statutory disclosure / publication requirements in relation to the prior year’s AGAR have been met as detailed on the front page of the current year’s AGAR.</p>
<p>O. Trust funds (including charitable) - the Council met its responsibilities as a trustee</p>	<ul style="list-style-type: none"> <li>• Confirm that all charities of which the council is a Trustee are up to date with CC filing requirements</li> <li>• that the council is the sole trustee on the Charity 33 Commission register</li> <li>• that the council is acting in accordance with the Trust deed</li> <li>• that the Charity meetings and accounts recorded separately from those of the council</li> <li>• review the level and activity of the charity and where a risk based approach suggests such, review the Independent Examiners report</li> </ul>

## **LONDON COLNEY PARISH COUNCIL**

**COMMITTEE: COUNCIL**

**DATE: 8 MARCH 2023**

**REPORT BY: EMMA PAYNE, CLERK**

**SUBJECT: RISK MANAGEMENT STRATEGY AND RISK REGISTER 2023-24**

### **1. SUMMARY**

- 1.1 As part of the AGAR statement, which needs to be approved by Council, Members must have considered all risks to the Council, and how best to mitigate or remove them.
- 1.2 This report outlines the Council's Risk Management Strategy and Risk Register.

### **2. RECOMMENDATION**

- 2.1 Members are asked to approve:
  - a) The Risk Management Strategy 2023
  - b) The Risk Register for 2023-24

### **3. BACKGROUND**

- 3.1 The Council has adopted a Risk Management Strategy which is reviewed annually. In addition to this, it regularly reviews Internal Controls, Financial Regulations and Standing Orders. An internal auditor has been appointed, who considers the Council's response to risk.
- 3.2 The attached Risk Register has been reviewed and bench marked against other parish/town councils of a similar size. The following have been updated:
  - 1.1.01 Failure to comply with legislation and/or regulations.
  - 1.1.03 Failure to inform councillors
  - 1.1.04 No knowledge of changes to regulations or new regulations
  - 1.1.05 Reputational Damage
  - 1.1.05 Lack of Strategic Leadership
  - 1.2.03 Loss funds
  - 1.2.12 Bank Failure
  - 1.2.16 Business Continuity Planning
  - 1.3.02 Employment Law
  - 1.4.02 Loss of IT
  - 1.5.09 Asset Management Policy
  - 1.9.01 Climate Emergency Response

### **4. FINANCE**

- 4.1 Budgets are available for the implementation of relevant actions, with new budget items considered for exceptional projects, e.g., asset revaluation.

## 5. IMPACT ASSESSMENT

Strategic Plan	Objective Five
Equalities	N/A
Environmental/Sustainability	N/A
Crime & Disorder	N/A
Financial	N/A
Resources (including workforce)	N/A
Risk Management	Risk Management Strategy Adopted.





## **LONDON COLNEY PARISH COUNCIL**

### **RISK MANAGEMENT STRATEGY 2023**

In order to identify risk, an authority needs to know what risks it faces. Identifying risks is therefore the first step in the risk management process. This risk management scheme has been devised and is tailored to the individual needs of London Colney Parish Council.

Risk is a threat of an event or action which will adversely affect an organisation's ability to achieve its objectives. Risk management is the process where risks are identified, evaluated, and controlled. By managing risks appropriately, London Colney Parish Council is more likely to achieve its objectives. The Guidance of Governance and Accountability for Local Councils in England (published by the Joint Practitioners' Advisory Group) makes the following observations regarding risk management:

- Risk management is not just about financial management it is about ensuring the achievement of objectives set by the council to deliver high quality public services; and,
- the local council audit approach seeks to encourage local councils to address these issues by placing emphasis on the need to keep under review and, if need be, to strengthen their own corporate governance arrangements, thereby improving their stewardship of public funds and providing positive and continuing assurance to taxpayers.

It is important to understand the risks of any decision. A structured approach to risk management can achieve this by enabling a decision to be made within a framework of better information about the potential outcome of a course of action.

The aim of this strategy is to develop an awareness of the benefits of risk management within the Council. It also encourages everyone involved to adopt an open and structured approach to risk management. The Council intends that effective risk management will help deliver:

- Better management of threats to cost, time and performance.
- Better understanding of opportunities to improve services.
- More effective management of change
- Clear ownership and accountability for risk and its management
- Better value for money for residents

The process for the management of risk is set out below and the risk management strategy is implemented by the Clerk.

#### **What types of risk are there?**

Strategic risk – long term adverse impacts from poor decision making or poor implementation. Risk causing damage to the reputation of the Council, loss of public confidence or statutory intervention.

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

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

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

Not all of these risks are insurable and some of the premiums may not be cost effective. Even where insurance is available, money may not be an adequate recompense. The emphasis should always be on eliminating or minimising the risks. Risks can be connected to opportunities as well as potential threats.

### How do we assess risk?

Each risk will be assessed in terms of its probability of occurrence and the potential impact on the Council. The following are the criteria by which risk is assessed:

#### Probability of Occurrence

Category	Probability	Possible Indicators
Almost Certain (4)	>90%	Frequent occurrence
Likely (3)	>60%	Regular occurrence
Possible (2)	>10%	Occasional occurrence
Unlikely (1)	<10%	Has never occurred

#### Evaluation of impact

Impact on Performance	Risk Threat
Major (4)	Financial Implication > £25,000 Fatality/disability injuries to public or staff Adverse national media attention External intervention Total service disruption Extensive legal action against Council
Serious (3)	Financial implication > £15,000 Adverse local media attention Extensive public complaints Adverse comments by regulators or auditors Significant service disruption Failure to deliver projects. Service disruption Injuries to public or staff Legal action against the Council
Significant (2)	Financial Impact >£5,000 Adverse service user complaints Service disruption Minor injuries and near misses to staff and public
Minor (1)	Financial impact <£5,000 Isolated complaints Minor service disruption

## Priority Ranking

The ranking of an individual risk is calculated by a simple combination of its probability and impact.

## Risk Matrix

The risk, using the above impact and likelihood ratings can then be plotted onto the risk matrix and its classification identified.

LIKELIHOOD	4	8	12	16
	3	6	9	12
	2	4	6	8
	1	2	3	4
IMPACT				

Summary		Suggested Time Frame
12-25	High	As soon as possible
6-11	Medium	Within next 3-6 months
1-5	Low	Whenever viable to do so

The scores for impact and likelihood are scored as above and multiplied to arrive at the rating. Risks scoring 12 and above will be subject to detailed consideration and preparation of a contingency/action plan to appropriately control the risk.

Risks rated as green (1 to 5) are reasonably acceptable to the Council. It is unlikely that further additional measures are required to control these risks. However, the risk will remain monitored as part of the risk management.

Risks rated as amber are reasonably acceptable to the Council. However, further additional measures may be needed to treat (i.e., control) the risks and so reduce exposure or to consider risk transfer e.g., insurance or a contractual arrangement. The Council must be periodically advised of amber risks and the action planned and /or taken to control them.

Risks rated as red are not acceptable to the Council. Immediate action is required to bring the risk down to a lower category risk or, if this is not possible or desired, to terminate the activity that creates the risk. The Council must be immediately advised of red risks and regularly updated on the action planned and taken to control them until they are within the spectrum of reasonably acceptable risk for the Council. Any action taken must be in accordance with the Council's Standing Orders and Financial Regulations.

## **Who is responsible for risk?**

Risk management is only considered to be truly embedded when it functions as part of the Council's day to day operations. In order for this to be achieved it is vital that clarity exists to determine the various roles and responsibilities of individuals involved throughout the Council in the risk management process.

acceptable risk for the Council. Any action taken must be in accordance with the Council's Standing Orders and Financial Regulations.

### Who is responsible for risk?

Risk management is only considered to be truly embedded when it functions as part of the Council's day to day operations. In order for this to be achieved it is vital that clarity exists to determine the various roles and responsibilities of individuals involved throughout the Council in the risk management process.

To ensure that this level of clarity exists, the Council has established a structure that shows how Members, Officers and Committees, Working Parties and individuals contribute to the overall risk management process.

<b>Council</b>	<ul style="list-style-type: none"> <li>• Monitor risk management strategy via Finance &amp; General Purposes Committee</li> <li>• Certification of Council's Annual Statement of Internal Control</li> </ul>
<b>Finance &amp; General Purposes Committee</b>	<ul style="list-style-type: none"> <li>• General oversight of the Council's Risk Management Strategy</li> <li>• Approve risk management strategy and related documents.</li> <li>• Approve content of risk registers and proposed risk mitigation plans and monitor implementation.</li> <li>• Receive regular reports to review/scrutinise/challenge current and proposed risk management processes.</li> <li>• To recommend any amendments to the risk management framework, strategy, and process</li> <li>• Identify, analyse, and prioritise risk.</li> <li>• Determine responsibilities and actions to control risk.</li> <li>• Monitor progress on managing risks against action plans/projects.</li> <li>• Review implementation of the risk management strategy and process</li> </ul>
<b>Human Resources Committee</b>	<ul style="list-style-type: none"> <li>• Review of Health and Safety Policy, and any breaches or incidents relating to its performance</li> </ul>
<b>Clerk</b>	<ul style="list-style-type: none"> <li>• Report to Members on the strategy and process</li> <li>• Provide advice and support on risk management matters.</li> <li>• Maintain the risk management strategy and framework through review with officers (at team meetings or individually)</li> <li>• Identify, analyse and priority risks.</li> <li>• Determine risk management action plans and delegate responsibility for control.</li> <li>• Monitor progress on the management of risks</li> </ul>
<b>Staff and other stakeholders</b>	<ul style="list-style-type: none"> <li>• Maintain awareness of risks, their impact and costs and feed these into the formal risk management process</li> <li>• Control risks in their everyday work</li> <li>• Monitor progress in managing job related risks.</li> <li>• Receive training to identify and manage risks</li> </ul>
<b>Internal Auditor</b>	<ul style="list-style-type: none"> <li>• Provide independent assurance to the Council in identifying both its operational and financial risks including adequate and effective systems of internal control to reduce or eliminate the likelihood of errors or fraud.</li> </ul>

## How do we manage risk?

Risks and their management may be identified at any stage and should be included in the Risk Register. In order to capture as many risks as possible facing an activity or project, the following methods could be used:

- Brainstorming sessions with individuals, committees, and various levels of management
- Checklists
- Questionnaires
- Learning from other projects, authorities, and auditors

As risks are identified, they should be added to the Risk Register. Each risk must be described in terms of the source of the risk, the consequences of it happening and the effect it would have on the Council's activities or project.

Once a risk has been identified, it will be given an owner who is the person best able to manage the risk. The owner will be responsible for all aspects of the management of the risk.

Each risk will be evaluated in accordance with the process outlined in this strategy. This information will be entered into the Risk Register and will enable prioritisation of the risk within a certain area.

Once each risk has been identified and evaluated, actions for dealing with the risk will be developed. These are known as risk responses and fall into one of four categories:

Terminate:	An action that allows the risk to be avoided
Treat:	An action that will reduce the impact and or the probability of a risk
Transfer:	Is there a stakeholder or another organisation better able to manage the risk?
Tolerate:	Accept the consequences if the risk occurs.

The risk register will identify the option selected to deal with each risk together with any actions that might be required. Once the risk responses have been developed, the risk owner must then decide which option to adopt. In reaching decisions as to which response should be used, a cost/benefit comparison should be made. For mitigating activities attracting significant costs (>£5,000) results will need to be recorded. It may be that external help is required to help decide the appropriate course of action, in which case, the risk owner should record the date the decision was made and the potential consequences if the decision is not taken by that date.

Following the decision to adopt a particular risk response, the risk owner must ensure that:

- The secondary risks associated with implementing the risk response are assessed and recorded.
- Where one exists, the project plan is updated to include the activities associated with the risk response.
- Entries are made in the risk register detailing the predicted probability and impact evaluation once the response activities are completed.
- A fallback/contingency plan is developed to address the consequences of the risk happening of the response activities.

Risk owners must monitor the progress and success of their chosen response to risk on a regular basis. They should review all their risks and provide an evaluation of probability and impact on a regular basis.

The highest priority risks are reviewed by the Finance and General Purposes Committee on a regular basis. They should review all risks and provide an evaluation of probability and impact on a regular basis.

The effectiveness of the process will be reviewed by the Council annually.

REF	Activity	Risk/Hazard Description	Who is at risk / Risk Category	Risk Score				EXISTING CONTROLS Key points	FURTHER ACTIONS (if required)	RISK OWNER	REVIEW DATES	
				Impact	Probability	Total	Red / Yellow / Green				LAST	NEXT
1.1.01	Democratic Representation & Management	Failure to comply with legislation and/or regulations	Council Compliance & Financial	4	1	4	Yellow	Councillor's handbook issued to all Councillors when they take office.  Standing Orders, Code of Conduct, and scheme of delegated functions.  Standing orders regularly reviewed.  Clerk attends professional conferences / seminars.  Clerk holds CiLCA  Procedures in place for regular production, distribution, and publication of Agendas & Minutes	Standing Orders reviewed July 2022. Next review due in 2023. Internal Auditor made advised Clerk to refer to NALC Standing Orders when reviewing.	Clerk	Mar 2023	Mar 2024
1.1.02	Democratic Representation & Management	Failure to provide timely and adequate – notice of Council Agendas and production of Council Minutes	Council Compliance	2	1	2	Green	Procedures in place for regular production, distribution, and publication of Agendas & Minutes.	Clerk is CiLCA qualified.	Clerk	Mar 2023	Mar 2024
1.1.03	Democratic Representation & Management – Failure to inform Councillors	Poor decision, poor staff morale, misinformed public	Council, Councillors Compliance	2	1	2	Green	Council business widely publicised through newsletter (quarterly), notices, press releases, website etc.  Clerk holds regular meetings with Chairman to discuss Council Business.		Clerk	Mar 2023	Mar 2024
1.1.04	Democratic Representation & Management	No knowledge of changes to regulations or new regulations.	Council Finance, Compliance & Operational	2	1	2	Green	Advice received via SLCC/HAPTC on changes in regulation.  Policies are reviewed regularly and updated if necessary in light with best practice.	Clerk reviews all policies against other parish/town councils.	Clerk	Mar 2023	Mar 2024
1.1.05	Democratic Representation & Management	Reputational damage – poor public understanding of the role of the council and its services	Council	3	1	3	Green	Website up to date and accurate, well-trained staff, careful management of services, deliberate and positive publicity concerning services and issues, use of social media	Consider public consultation where appropriate	Clerk	Mar 2023	Mar 2024
1.1.06	Democratic Representation & Management	Lack of strategic direction and leadership – ability of Council to set objectives aligned to service delivery	Council	1	2	3	Green	Careful management of services  Adopted strategic plan which is consulted upon with the public and reviewed annually	Ongoing development of the Council's vision, objectives, and Strategic Plan	Clerk	Mar 2023	Mar 2024

REF	Activity	Risk/Hazard Description	Who is at risk / Risk Category	Risk Score				EXISTING CONTROLS Key points	FURTHER ACTIONS (if required)	RISK OWNER	REVIEW DATES	
				Impact	Probability	Total	Red/ Yellow/ Green				LAST	NEXT
1.2.01	Financial Management	Insufficient funds - Failure to agree precept or precept set at inadequate level.	Council Financial, Compliance & Operational	4	1	4	Yellow	<p>Council sets an Annual budget.</p> <p>Level of reserves agreed by Council during budget process.</p> <p>RFO checks precept received from SADC agrees with precept requested.</p> <p>Reserves Policy adopted and reviewed regularly after end of year to consider robustness of level of reserves</p>		Clerk / Finance Officer	Mar 2023	Mar 2024
1.2.02	Financial Management	Insufficient funds - Council expenditure significantly exceeding budget.	Council Financial, Compliance & Operational	3	1	3	Yellow	<p>Quarterly Income &amp; Expenditure report provided to Council with accompanying report on variances.</p> <p>Regular budgetary control reviews undertaken by Finance Officer and significant issues reported to Clerk.</p> <p>Action taken to respond to variances.</p> <p>Level of reserves, general and earmarked, reviewed by Council during budget process.</p> <p>Level of general and earmarked reserves reported to Council with Annual Return at year end.</p>		Clerk / Finance Officer	Mar 2023	Mar 2024



REF	Activity	Risk/Hazard Description	Who is at risk / Risk Category	Risk Score				EXISTING CONTROLS Key points	FURTHER ACTIONS (if required)	RISK OWNER	REVIEW DATES	
				Impact	Probability	Total	Red/ Yellow/ Green				LAST	NEXT
1.2.03	Financial Management	Loss of funds due to error, theft, fraud, or misappropriation due to failure to keep proper financial records.	Council  Financial, Compliance & Operational	4	1	4	Yellow	<p>Financial Records: Financial management system (RBS) in place together with office procedures.</p> <p>Payments (excluding payroll) are approved by two councillors, including debit card transactions.</p> <p>All bank payments made via system and authorised by Clerk or Finance Officer.</p> <p>Income received kept securely and banked regularly. Official receipts issued for cash at reception. Till for bar sales.</p> <p>Payroll Records: payroll contract in place.</p> <p>Staff returns collated by Clerk and draft payslips reviewed for consistency.</p> <p>Payments checked to pay slips by Clerk.</p> <p>Standing Orders &amp; Financial Regulations in place.</p> <p>Monthly bank reconciliations prepared by Finance Officer, reviewed by Clerk, and signed off quarterly by two councillors, which is minuted at Finance &amp; General Purposes Committee</p> <p>Income and expenditure reviewed against budget regularly and reported quarterly to Council.</p> <p>Internal Audit review procedures and sample check transactions.</p>	<p>Written office financial procedures to be put in place.</p> <p>Investigate linking bank payments to the financial system to avoid duplication of input and remove risk of error between systems.</p> <p>Fidelity Insurance in place, reviewed by Internal Auditor</p> <p>Clerk and Finance Officer undertaking FiLCA training.</p>	Clerk / Finance Officer	Mar 2023	Mar 2024

REF	Activity	Risk/Hazard Description	Who is at risk / Risk Category	Risk Score				EXISTING CONTROLS Key points	FURTHER ACTIONS (if required)	RISK OWNER	REVIEW DATES	
				Impact	Probability	Total	Red/ Yellow/ Green				LAST	NEXT
1.2.04	Financial Management	Insufficient funds for Council due to poor cash management planning.	Council Financial, Operational	4	1	4	Yellow	Cashflow monitored regularly by RFO and Finance Officer with transfers between accounts to ensure adequate funds in relevant accounts.		Clerk / Finance Officer	Mar 2023	Mar 2024
1.2.05	Financial Management	Expenditure incurred without proper authority.	Council Financial & Compliance	2	1	2	Green	Standing Orders and Financial Regulations in place and subject to regular review.  Expenditure under S137 restricted under legislation and maximum level calculated annually.  Financial procedures in place. Payments require authorisation by Clerk or Finance Officer.  Internal Audits conducted.		Clerk / Finance Officer	Mar 2023	Mar 2024
1.2.06	Financial Management	Failure to comply with HMRC regulations. Financial penalty.	Council Financial & Compliance	4	1	4	Yellow	VAT – returns completed quarterly by Finance Officer online via RBS system.  Finance system accounts for VAT on purchases and sales.  PAYE / NIC calculated by Payroll service supplier. To be reviewed on a monthly basis and annually by Clerk.		Clerk / Finance Officer	Mar 2023	Mar 2024
1.2.07	Financial Management	Unable to recover VAT paid out on exempt activities e.g., Community Hall	Council Financial & Compliance	4	1	4	Yellow	None	Annual partial exemption review to be undertaken on budget and at year end.  Members made aware of impact of large schemes on exempt or partially exempt activities.  Professional advice sought for major projects.	Clerk / Finance Officer	Mar 2023	Mar 2024

REF	Activity	Risk/Hazard Description	Who is at risk / Risk Category	Risk Score				EXISTING CONTROLS Key points	FURTHER ACTIONS (if required)	RISK OWNER	REVIEW DATES	
				Impact	Probability	Total	Red/ Yellow/ Green				LAST	NEXT
1.2.08	Financial Management	Items not insured or cover too low.  Loss and damage to parish council assets  Damage to third party property or individuals  Loss of income or need to provide essential services following critical damage, loss, or non-performance by third party	Council  Public liability  Financial	4	1	4	Yellow	Insurance held with Aviva and reviewed annually at Annual Parish Council Meeting.  Insurance checked by Internal Auditor  Asset register reviewed annually at Annual Parish Council Meeting. Deeds stored by Council Solicitor.	Review insurance property values and check asset records up to date.	Clerk / Finance Officer	Mar 2023	Mar 2024
1.2.09	Financial Management	Financial risk to 3 <sup>rd</sup> Party in connection with service provision e.g., through loss of information.	Council & Third Parties  Financial	2	1	2	Green	Leases & licences kept by Council Solicitors  Insurance in place		Clerk / Finance Officer	Mar 2023	Mar 2024
1.2.10	Financial Management	Failure of payroll supplier – Contractor terminates agreement & provides insufficient staff and payroll records.	Council, Employees, Contractor,  Financial & Compliance	2	1	2	Green	Annual contract in place for 2022/23.  Copies of any instructions retained by Parish Council.  Details of monthly and year end payment analysis provided by the supplier and stored securely locally.		Clerk / Finance Officer	Mar 2023	Mar 2024
1.2.11	Financial Management	Failure of payroll supplier - Incorrect payment made or incorrect information provided to Pension fund / HMRC.	Staff, Council, Contractor,  Financial & Compliance	2	1	2	Green	Monthly monitoring of performance, all payments made by Parish Council.  Internal Auditor undertakes relevant checks to ensure payroll processed accurately and staff paid to relevant salary scales.		Clerk / Finance Officer	Mar 2023	Mar 2024
1.2.12	Financial Management	Bank failure causing significant loss of Council funds.	Council  Financial & Compliance	4	1	4	Yellow	Council maintains accounts with separate banks to spread the potential loss.  Council has Investment Policy in place which is reviewed annually.		Clerk / Finance Officer	Mar 2023	Mar 2024
1.2.13	Financial Management - Banking	Conveyance of cash / cheques to bank.  Injury / death / mugging / theft	Council, Employees  Financial	3	1	3	Yellow	Cash is banked regularly to avoid build-up of funds. Member of staff takes funds to Post Office.  Staff advised not to resist if a theft is attempted and to take mobile phone with them.		Clerk / Finance Officer	Mar 2023	Mar 2024

REF	Activity	Risk/Hazard Description	Who is at risk / Risk Category	Risk Score				EXISTING CONTROLS Key points	FURTHER ACTIONS (if required)	RISK OWNER	REVIEW DATES	
				Impact	Probability	Total	Red/ Yellow/ Green				LAST	NEXT
1.2.16	Financial Management – Business Continuity	Failure to undertake continuity planning, including business continuity.  Delivery of services is compromised	Council  Operational  Staff	3	3	9	Yellow	Business continuity plan in place and reviewed regularly.  Officers have ability to work from home, cloud-based storage, mobile phone app for office phones	Consider Business Continuity Insurance	Clerk	Mar 2023	Mar 2024
1.3.01	Staffing & Employment	Inadequate staffing resources.	Council  Operational	3	2	6	Yellow	Employment contracts with notice period.  Ensure vacancies advertised and filled as soon as possible.  Monitor sickness absence and perform regular staff appraisals.		Clerk	Mar 2023	Mar 2024
1.3.02	Staffing & Employment	Failure to comply with employment law.	Council  Financial & Compliance	2	2	4	Yellow	Contracts of employment in place for all staff.  Council has contract with HR advisor.  Staff Handbook provided by HR Advisor which is regularly updated.  Contracts of employment follow National Joint Council for Local Government Service for issue and revision of National Agreement on Pay and Conditions of Service.		Clerk	Mar 2023	Mar 2024
1.3.03	Staffing & Employment	Loss of key staff.	Council  Operational	3	2	6	Yellow	All staff have job descriptions.  Option to use short term vacancy cover from suitably qualified professional via contacts with SLCC or HAPTC.	Review staff development training.	Clerk	Mar 2023	Mar 2024
1.3.04	Staffing & Employment	Long term sickness / loss of knowledge & experience	Council, Employees  Financial & Operational	2	2	4	Yellow	All staff have job descriptions, recently revised as part of staff review.  Option to use short term vacancy cover from suitably qualified professional via contacts with SLCC or HAPTC.		Clerk	Mar 2023	Mar 2024
1.3.05	Staffing & Employment	Low staff morale / performance / absenteeism.	Council, Employees  Financial & Operational	2	1	2	Green	Job descriptions for all officers and regular staff appraisal scheme.		Clerk	Mar 2023	Mar 2024

REF	Activity	Risk/Hazard Description	Who is at risk / Risk Category	Risk Score				EXISTING CONTROLS Key points	FURTHER ACTIONS (if required)	RISK OWNER	REVIEW DATES	
				Impact	Probability	Total	Red/ Yellow/ Green				LAST	NEXT
1.3.07	Staffing & Employment	Inadequate training.	Council  Financial, Compliance, Delivery & Operational	2	2	4	Yellow	Staff appraisal identifies training needs.  Council sets annual training budget.  Staff offered local and national courses and conferences according to job description.		Clerk	Mar 2023	Mar 2024
1.3.08	Staffing & Employment	Inappropriate gifts to staff or Councillors	Council  Compliance	2	1	2	Green	All gifts over £25 to be recorded in Gift register.  Members Code of Conduct & signed declarations.		Clerk	Mar 2023	Mar 2024
1.3.09	Staffing & Employment	Personnel security / injury to staff	Council, Employees  Financial & Compliance.	2	2	4	Yellow	Access to office / and bar area via secure system and open only to Staff only.  Office and bar fitted with panic button direct to security firm.  Staff handbook includes Lone Working Policy.		Clerk	Mar 2023	Mar 2024
1.3.10	Staffing & Employment	Health & safety.	Council, Employees  Financial & Compliance	2	2	4	Yellow	Review of Health & Safety undertaken with new Health & Safety Policy adopted by Council September 2020.  Grounds Staff undertake IOSH Working Safely courses.  Grounds Maintenance Manager has IOSH safety qualification.	Officers trained as first aider.  Fire Warden appointed.	Clerk	Mar 2023	Sep 2019
1.3.11	Staffing & Employment	Employee qualifications & employment history incorrect / fraud / inappropriate behaviour.	Council, Employees Public  Financial, Compliance & Legal, Delivery & Quality of Service	2	1	2	Green	All employees subject to standard recruitment process.  References taken before contracts signed.	Ensure that references covering three years' work history are taken for those responsible for financial controls.	Clerk	Mar 2023	Mar 2024

REF	Activity	Risk/Hazard Description	Who is at risk / Risk Category	Risk Score				EXISTING CONTROLS Key points	FURTHER ACTIONS (if required)	RISK OWNER	REVIEW DATES	
				Impact	Probability	Total	Red/ Yellow/ Green				LAST	NEXT
1.3.12	Staffing & Employment – Driving on official business	Use of own motor vehicle / or Council vehicle - RTA.	Council, Employees Public  Financial & Compliance	3	2	6	Yellow	Road Traffic Legislation and the Highway Code  Any incidents must be reported immediately to the Clerk and a written incident form completed.  Staff handbook includes a driving policy which was updated in V12 of the staff handbook.	Remind staff that they cannot use a mobile phone whilst driving in line with Staff Handbook.  Carry out annual driving licence check for staff driving on Council business.  Carry out annual checks of business use insurance and vehicle test certificates for employees who use their own vehicle for work purposes.	Clerk	Mar 2023	Mar 2024
1.3.13	Staffing & Employment – Driving on official business	Personal Safety	Public, Staff, Council  Financial & Compliance	2	1	2	Green	Staff advised to avoid confrontation with other road users.  Staff should always carry a mobile phone when cycling or driving but should not use these unless legal and safe to do so.		Clerk	Mar 2023	Mar 2024
1.4.01	Information, Website & Social Media	Loss of data & information - theft, fire, flood, or damage.	Council, Employees, Councillors, Suppliers & Debtors, Public  Financial & Compliance	2	2	4	Yellow	Legal and important documents are stored safely.  Insurance in place  Server back-up and stored in the cloud. Hardware upgrades carried out regularly.  Computers and network managed by computer provider.		Clerk	Mar 2023	Mar 2024
1.4.02	Information, Website & Social Media	IT – Loss of service, loss through loss of building/ability to do business, loss of IT	Council, service users  Financial & operational	3	4	12	Red	Maintenance of building and IT systems, IT backup systems, use of external storage, use of cloud-based storage	Review of Business Continuity Plan	Clerk	Mar 2023	Mar 2024
1.4.03	Information, Website & Social Media	Non-compliance under Freedom of Information Act.	Council  Financial & Compliance,	2	2	4	Yellow	Freedom of Information Policy, procedure, and information request log in place.		Clerk	Mar 2023	Mar 2024



REF	Activity	Risk/Hazard Description	Who is at risk / Risk Category	Risk Score				EXISTING CONTROLS Key points	FURTHER ACTIONS (if required)	RISK OWNER	REVIEW DATES	
				Impact	Probability	Total	Red/ Yellow/ Green				LAST	NEXT
1.4.04	Information, Website & Social Media	Loss of sensitive personal data from Payroll supplier	Council, Employees, Councillors  Financial & Compliance	2	1	1	Green	Electronic sensitive data to be transferred between Council and payroll supplier with password protection.  Payroll supplier selected based on experience.		Clerk	Mar 2023	Mar 2024
1.4.05	Information, Website & Social Media	Major IT failure	Council, Employees, Councillors, Suppliers & Debtors, Public  Financial, Compliance & Operational	2	2	4	Yellow	Server backed up in the cloud.  Contract with IT provider for support.  Password protection	Review hardware to ensure fit for purpose.	Clerk	Mar 2023	Mar 2024
1.4.06	Information, Website & Social Media	Website out of date, incorrect or misleading	Council, Public  Compliance & Operational	2	2	4	Yellow	Web pages updated when required.  Periodic review of website contents.		Clerk	Mar 2023	Mar 2024
1.4.07	Information, Website & Social Media	Lack of Council ownership of website.	Council, Public  Compliance & Operational	2	1	2	Green	Domain name and owned by Parish Council.  Annual contract held for hosting service with IT contractor.		Clerk	Mar 2023	Mar 2024
1.4.08	Information, Website & Social Media	Failure of website or internet provider.	Council, Public  Compliance & Operational	2	1	2	Green	Domain name and owned by Parish Council.  Annual contract held for hosting service with IT contractor.		Clerk	Mar 2023	Mar 2024
1.4.09	Information, Website & Social Media	Outside infiltration to social media accounts – being locked out / defamatory posts made in Council's name	Council, Public,  Compliance	2	1	2	Green	The Clerk approves all social media posts.  Access password controlled.		Clerk	Mar 2023	Mar 2024
1.4.10	Information, Website & Social Media	Unlicensed use of images in marketing materials – financial and legal implications	Council,  Financial	2	1	2	Green	The Clerk approves all social media posts.  Promotional material signed off by Clerk and Chairman.		Clerk	Mar 2023	Mar 2024
1.4.11	Information, Website & Social Media	Images / footage of vulnerable children or adults used.	Council  Compliance	2	2	4	Yellow	Parental consent forms collected prior to image capture.		Clerk	Mar 2023	Mar 2024
1.4.12	Information, Website & Social Media	Data protection registration & compliance.	Council, Employees, Councillors, Suppliers & Debtors, Public  Financial & Compliance,	2	2	4	Yellow	Annual renewal of registration with ICO  Firewall in place on network – managed by IT provider.		Clerk	Mar 2023	Mar 2024

REF	Activity	Risk/Hazard Description	Who is at risk / Risk Category	Risk Score				EXISTING CONTROLS Key points	FURTHER ACTIONS (if required)	RISK OWNER	REVIEW DATES	
				Impact	Probabil- ity	Total	Red/ Yellow/ Green				LAST	NEXT
1.4.13	Data Protection breach on Social Media	Personal data (including images) is leaked resulting in a fine for the Council	Public, those who hold personal data for Service.  Compliance & Operational	2	1	2	Green	All posts and website updates are proofread and checked by the Clerk. No photos are used without relevant consent.		Clerk	Mar 2023	Mar 2024
1.4.14	Disclosure of personal, financial, and contractual information Inappropriate storage of data Loss of hard copy data Loss of electronic data	Data breach Financial loss Fines/prosecution	Council, Employees, Public, Contractors  Financial & Compliance	2	2	4	Yellow	Personal & sensitive data is filed on hard copy files which are stored in locked cupboards sited in the Community Centre.  Data is also stored on password protected files,  GDPR training given to employees.  Implementation of GDPR and data retention policy which is reviewed regularly.  Insurance cover in place	Ongoing review re. personal / sensitive data and retention of documents.  Sensitive data to be deleted on a regular basis when no longer needed.  Councillors and employees to be updated in accordance with any changes to GDPR guidelines.	Clerk	Mar 2023	Mar 2024
1.4.15	Unauthorised access to Council computers, emails, and files	Disruption or damage to IT system Disruption of service provision Data breach Fines/prosecution	Council, Employees, Public, Contractors  Financial & Compliance	2	1	2	Green	All Council computers and laptops are protected by anti-virus software/firewalls which are kept up to date by the Council's IT provider.  Regular back-ups and updates are carried out.  Council email address in use and each account is password protected  Guidance/information has been given to employees to delete emails if it is no longer necessary to keep them and to retain as little information as possible.		Clerk	Mar 2023	Mar 2024



REF	Activity	Risk/Hazard Description	Who is at risk / Risk Category	Risk Score				EXISTING CONTROLS Key points	FURTHER ACTIONS (if required)	RISK OWNER	REVIEW DATES	
				Impact	Probability	Total	Red/ Yellow/ Green				LAST	NEXT
1.5.01	Premises & Assets (general)	Theft / Loss of asset	Council,  Financial, Compliance & Operational	2	1	2	Green	Capital assets are recorded on the financial asset register, if appropriate.  Buildings have regularly maintained intruder alarms.  Insurance cover in place for larger assets.	All assets to be registered with Land Registry	Clerk	Mar 2023	Mar 2024
1.5.02	Premises & Assets (general)	Injury or death to person  Poor Condition – Dilapidation/ Fire / Flood / Vandalism - Damage to assets / Injury to staff or user	Council, Public  Financial, Compliance & Operational	2	2	4	Yellow	Systematic maintenance programme, training and procedures, use of risk assessments for events and high-risk activity. Health and Safety activity including consultant support. H&S input and management by members and Senior Officers.  Fire risk assessments in place for Community Centre and Pavilions – subject to two yearly review.  Buildings have regularly maintained intruder and fire alarms. Access to Community Centre restricted by security coded door.  CCTV in public areas of Community Centre saved to hard drive.  Insurance cover in place.  Repairs and maintenance budgets in place.	Condition survey should be put in place on a regular basis.  Asbestos register to be reviewed in line with current legislation.  Review of risk assessments for each property to be undertaken.  Fixed wiring reviewed every 5 years, PAT to be reviewed every 2 years.	Clerk	Mar 2023	Mar 2024
1.5.03	Premises & Assets (general)	Changes in market conditions or legislation - reduction in value of asset / increased costs due.	Council,  Financial, Compliance, & Operational	2	1	2	Green	Changes in legislation and environmental regulations monitored.  Where appropriate assets conform to current legislation in respect of Health & Safety & Environmental matters.		Clerk	Mar 2023	Mar 2024

REF	Activity	Risk/Hazard Description	Who is at risk / Risk Category	Risk Score				EXISTING CONTROLS Key points	FURTHER ACTIONS (if required)	RISK OWNER	REVIEW DATES	
				Impact	Probability	Total	Red/ Yellow/ Green				LAST	NEXT
1.5.04	Premises & Assets (general)	Failure of tenant - Loss of tenant income	Council, Financial & Compliance	1	2	2	Green	Payments in respect of leases and licences monitored and debts chased promptly.  Contracts in place for long term arrangements.		Clerk	Mar 2023	Mar 2024
1.5.05	Premises & Assets (general)	Assets not recorded properly.	Council, Financial & Compliance,	1	2	2	Green	Asset register in place.	Review list asset register <i>annually</i> and ensure insurance valuations reviewed periodically.	Clerk	Mar 2023	Mar 2024
1.5.06	Premises & Assets (general)	Bar Stock – loss of stock due to theft / spoilage	Council, Financial & Operational	1	2	2	Green	Bi-annual Bar audit / stock check.  Wastage record maintained.  Security code access to bar cellar.		Clerk	Mar 2023	Mar 2024
1.5.07	Premises & Assets (general)	Equipment – failure Injury and/or service disruption	Council, Service Users Financial & Operational	1	2	2	Green	Equipment regularly maintained.  Maintenance budget in place.  Health and safety clothing provided and to be worn by staff.	Ensure maintenance schedules in place for critical / potentially dangerous equipment.  Review / put in place risk assessments to ensure safe usage.	Clerk	Mar 2023	Mar 2024
1.5.08	Premises & Assets (general)	Playground equipment – failure. Injury and/or service disruption	Council, Service Users Financial & Operational	1	2	2	Green	Equipment regularly maintained.  Maintenance budget in place.  Annual inspections in place.	Ensure maintenance schedules in place for critical / potentially dangerous equipment.  Review / put in place risk assessments to ensure safe usage.	Clerk	Mar 2023	Mar 2024
1.5.09	Premises & Assets – Asset Management	Failure to manage, invest and maintain Council Assets  Gradual deterioration and long-term costs higher than necessary  Reputational risk, unexpected expenses incurred.	Council, Service Users	2	2	4	Yellow	Asset Management Policy in place including regular inspection regime in place.  Maintenance budget in place for regular programme of works	Continue with surveys when needed and planned maintenance costs updated as part of the asset management plan.  Continue to review maintenance budgets and reserves to ensure that sufficient funds are available to maintain Council assets	Clerk	Mar 2023	Mar 20245

REF	Activity	Risk/Hazard Description	Who is at risk / Risk Category	Risk Score				EXISTING CONTROLS Key points	FURTHER ACTIONS (if required)	RISK OWNER	REVIEW DATES	
				Impact	Probability	Total	Red/ Yellow/ Green				LAST	NEXT
1.6.01	General Public	Damage or injury to members of the public.	Council, Employees, Councillors, Public  Financial & Compliance	3	2	6	Yellow	<p>Health and safety policy in place.</p> <p>Events risk assessments undertaken and reviewed by Clerk prior to event.</p> <p>Staff risk aware and risk management regularly highlighted at staff meetings.</p> <p>Public liability insurance in place.</p> <p>Councillors made aware of risk management by adoption of risk management strategy and annual risk register annually.</p>	<p><i>Review Health &amp; Safety Policy annually</i></p> <p>All activities / services should have up to date risk assessments in place. These need to be reviewed.</p> <p>Fire risk assessments to be reviewed.</p> <p>Review staff training.</p>	Clerk	Mar 2023	Mar 2024
1.6.02	General Public	Libel, Slander	Council, Employees, Councillors, Public  Financial & Compliance	2	2	4	Yellow	<p>Councillors made aware of risk management by adoption of risk management.</p> <p>Code of Conduct adopted, and all councillors sign up to adhere to code when taking office.</p> <p>Press releases and publications reviewed by Clerk before publication.</p>	<p>Sign Up to Civility and Respect Project</p>	Clerk	Mar 2023	Mar 2024

REF	Activity	Risk/Hazard Description	Who is at risk / Risk Category	Risk Score				EXISTING CONTROLS Key points	FURTHER ACTIONS (if required)	RISK OWNER	REVIEW DATES	
				Impact	Probability	Total	Red/ Yellow/ Green				LAST	NEXT
1.6.03	Customer Satisfaction	Poor service to customer	Public, staff	2	1	3	Green	Staff training, equipment maintenance and purchase budgets in place, continued service review		Clerk	Mar 2023	Mar 2024
1.7.01	Events & Lunch Club – General	Events organised by the Council – injury / property damage / adverse publicity / litigation	Public, Councillors Staff, Contractors  Financial & Compliance	2	2	4	Yellow	<p>A separate risk assessment is completed for each Council event.</p> <p>For large events, an Event Management Plan should be prepared. To include a range of documents:</p> <ul style="list-style-type: none"> <li>• staffing.</li> <li>• traffic management (if applicable).</li> <li>• event control.</li> <li>• incident plan.</li> <li>• risk assessment.</li> <li>• insurance cover.</li> <li>• third party participators as appropriate – DBS, risk assessments / food hygiene / insurance etc.</li> <li>• first aid facilities, in-line with HSA Purple Guide according to size of event.</li> <li>• licences, i.e., road closures, in place and managed by suitably qualified staff (minimum NRSWA National Street Work Unit 2).</li> </ul>	Where the Council uses contractors or has stallholders at events, risk assessments, method statements and public insurances are obtained.	Clerk  Events Officer	Mar 2023	Mar 2024
1.7.02	Events & Lunch Club – General	Provision of Bar at Council / Hall Hire Events – underage drinking	Public, Councillors Staff, Contractors, Event organiser & staff  Financial & Compliance	1	2	2	Green	<p>Hall hire not permitted for teenage parties (13 -25 birthday)</p> <p>Staff to check the ages of any person who looks younger than 21 to ensure over the age of 18.</p>	<p>Review staff training for bar staff.</p> <p>Review and update risk assessment for bar activities.</p>	Clerk	Mar 2023	Mar 2024
1.7.03	Events & Lunch Club – General	Provision of Bar at Council / Hall Hire Events – drunkenness / abuse / confrontation.  Injury / stress	Public, Councillors Staff, Contractors, Event organiser & staff  Financial & Compliance	1	2	2	Green	<p>Staff to refuse to serve persons who are obviously drunk.</p> <p>Care to be taken to avoid a confrontation.</p> <p>Panic alarm in bar area connected to security company and police respond</p>	<p>Review staff training for bar staff.</p> <p>Review and update risk assessment for bar activities.</p> <p>Lone working policy to be reviewed.</p>	Clerk	Mar 2023	Mar 2024

REF	Activity	Risk/Hazard Description	Who is at risk / Risk Category	Risk Score				EXISTING CONTROLS Key points	FURTHER ACTIONS (if required)	RISK OWNER	REVIEW DATES	
				Impact	Probability	Total	Red/ Yellow/ Green				LAST	NEXT
1.8.01	Contractors – General	Site injury – injury / death	Public, Staff, Contractors  Compliance, Financial, Operational	4	2	8	Red	Council advise all contractors of any known hazards prior to contractors starting work.	Statutory Asbestos register not in place.  Asbestos inspection, plan and register to be put in place urgently.	Clerk	Mar 2023	Mar 2024
1.8.02	Contractors – General	Use of contractors – damage / fire / injury	Public, Councillors Staff, Contractors  Financial & Compliance	2	2	4	Yellow	All contractors are reviewed prior to being employed and references taken when appropriate.  Electricians and contractors servicing gas appliances or system should be fully qualified and registered. Electricians – NICEIC Gas – Gas Safety Registered Evidence of professional status must be provided, checked regularly by staff, and recorded.  Contractors handling sanitary waste, clinical waste, herbicides, pesticides etc. are appropriately licensed.  Work of all contractors is monitored and where appropriate records kept.	Contractors risk assessments should be reviewed, and their level of insurance cover should be checked.	Clerk	Mar 2023	Mar 2024
1.8.03	Contractors – General	Site safety - fire	Public, Staff, Contractors  Compliance	1	2	2	Green	Council to advise all contractors of fire procedures when they start work.  All contractors and visitors sign in/out of community centre.		Clerk	Mar 2023	Mar 2024
1.8.04	Contractors – General	Site safety – injury / damage	Public, Staff, Contractors  Compliance	1	2	2	Green	All parties are aware of the necessity to maintain a safe working environment.		Clerk	Mar 2023	Mar 2024
1.9.01	Climate Emergency Response	Failure to reduce carbon impact from services and Council activities and implement mitigation measures to meet Climate change and biodiversity  Loss of council reputation, loss of public support	Council  Public	1	2	2	Green	Council has adopted Climate Change and Biodiversity Plan which is reviewed regularly.  All reports have an implications section which includes Biodiversity section.	Appointment of Environment & Neighbourhood Officer to monitor the Council's response to the Climate Emergency	Clerk	Mar 2022	Mar 2024

## **LONDON COLNEY PARISH COUNCIL**

**COMMITTEE: COUNCIL**

**DATE: 8 MARCH 2023**

**REPORT BY: EMMA PAYNE, CLERK**

**SUBJECT: CALENDAR OF MEETINGS 2023-24**

### **1. SUMMARY**

- 1.1 This report suggests a calendar of meetings for the municipal year 2023-24.

### **2. RECOMMENDATION**

- 2.1 Members are asked to approve the Calendar of Meetings for 2023-24

### **3. CALENDAR OF MEETINGS 2023-24**

- 5.1 The calendar of meetings has been drawn up to effectively distribute the number of Council and committee meetings throughout the year. It allows time between meetings for projects to be progressed and for Officers to take annual leave.
- 5.2 There will be the following number of meetings:
- Council – 8, including a reserve date in January should an additional meeting be required to agree the budget, and a separate Annual Parish Meeting  
Events & Community Committee – 5 meetings  
Environment & Neighbourhood Committee – 5 meetings  
Finance & General Purposes – 4 meetings  
Human Resources – 4 meetings
- 5.3 There will be additional Working Party meetings called for the Budget, Neighbourhood Plan or to steer a specific project.
- 5.4 The District Council's calendar of meetings has been consulted to avoid any clash of meetings in the event of a District Councillor also sitting as a Parish Councillor.
- 5.5 All committee meetings have been scheduled for Tuesdays. The time for each committee meeting will be determined with the Chair of the committee.
- 5.6 Key deadlines have been considered when compiling this calendar including the approval of the Annual Governance Statement (by end of June) and the Precept Demand (end of January).
- 5.7 Each Committee would have a maximum of 4 nominated Members, appointed at the Annual Council Meeting. With 9 Councillors, this will spread the burden of sitting on Committees. In addition, there will be Non-Members on the Community Services Committee and relevant working parties.
- ### **6. FINANCE**
- 6.1 There are no financial implications to this report.

## 7. IMPACT ASSESSMENT

Strategic Plan	Objective Five
Equalities	N/A
Environmental/Sustainability	N/A
Crime & Disorder	N/A
Financial	N/A
Resources (including workforce)	Scheduling meetings in advance is an effective use of staff resources
Risk Management	N/A

	May-23		Jun-23		Jul-23		Aug-23		Sep-23		Oct-23		Nov-23		Dec-23		Jan-24		Feb-24		Mar-24		Apr-24		May-24			
Tue							1																				Wed	
Wed							2						1														Thu	
Thu			1				3						2						1								Fri	
Fri			2				4		1				3		1				2		1						Sat	
Sat			3	COUNCILLOR TRAINING	1		5		2				4		2				3		2						Sun	
Sun			4		2		6		3		1		5		3				4		3						Mon	
Mon	1	BANK HOLIDAY	5		3		7		4		2		6		4		1	NEW YEAR'S DAY	5		4		1	EASTER MONDAY			Tue	
Tue	2		6	ENVIRONMENT & NEIGHBOURHOOD	4		8		5		3	EVENTS & COMMUNITY	7		5		2	EVENTS & COMMUNITY	6		5	ENVIRONMENT & NEIGHBOURHOOD	2			Wed		
Wed	3		7		5		9		6		4		8		6		3		7		6		3		1	Thu		
Thu	4	PARISH COUNCIL ELECTIONS	8		6		10		7		5		9		7		4		8		7		4		2	DISTRICT COUNCIL ELECTIONS	Fri	
Fri	5		9		7		11		8		6		10		8		5		9		8		5		3		Sat	
Sat	6		10		8		12		9		7		11		9		6		10		9		6		4		Sun	
Sun	7		11		9		13		10		8		12		10		7		11		10		7		5		Mon	
Mon	8	BANK HOLIDAY	12		10		14		11		9		13		11		8		12		11		8		6	BANK HOLIDAY	Tue	
Tue	9		13	HUMAN RESOURCES	11		15		12	ENVIRONMENT & NEIGHBOURHOOD	10		14	ENVIRONMENT & NEIGHBOURHOOD	12	FINANCE & GENERAL PURPOSES	9	ENVIRONMENT & NEIGHBOURHOOD	13		12	HUMAN RESOURCES	9		7		Wed	
Wed	10		14		12		16		13		11		15		13		10		14		13		10		8		Thu	
Thu	11		15		13		17		14		12		16		14		11		15		14		11		9		Fri	
Fri	12		16		14		18		15		13		17		15		12		16		15		12		10		Sat	
Sat	13		17		15		19		16		14		18		16		13		17		16		13		11		Sun	
Sun	14		18		16		20		17		15		19		17		14		18		17		14		12		Mon	
Mon	15		19		17		21		18		16		20		18		15		19		18		15		13		Tue	
Tue	16		20	FINANCE & GENERAL PURPOSES	18		22		19	FINANCE & GENERAL PURPOSES	17		21	EVENTS & COMMUNITY	19		16		20	EVENTS & COMMUNITY	19		16		14		Wed	
Wed	17	ANNUAL COUNCIL MEETING	21		19		23		20		18		22		20		17	COUNCIL	21		20	ANNUAL PARISH MEETING	17		15	ANNUAL COUNCIL MEETING	Thu	
Thu	18		22		20		24		21		19		23		21		18		22		21		18		16		Fri	
Fri	19		23		21		25		22		20		24		22		19		23		22		19		17		Sat	
Sat	20		24		22		26		23		21		25		23		20		24		23		20		18		Sun	
Sun	21		25		23		27		24		22		26		24		21		25		24		21		19		Mon	
Mon	22		26		24		28	BANK HOLIDAY	25		23		27		25	CHRISTMAS DAY	22		26		25		22		20		Tue	
Tue	23		27		25		29		26	HUMAN RESOURCES	24		28		26	BOXING DAY	23		27	FINANCE & GENERAL PURPOSES	26		23		21		Wed	
Wed	24		28	COUNCIL	26		30		27	COUNCIL	25		29	COUNCIL	27		24	COUNCIL (RESERVE)	28		27	COUNCIL	24		22		Thu	
Thu	25		29		27		31		28		26		30		28		25		29		28		25		23		Fri	
Fri	26		30		28				29		27				29		26				29	GOOD FRIDAY	26		24		Sat	
Sat	27				29				30		28				30		27				30		27		25		Sun	
Sun	28				30						29				31	NEW YEAR'S EVE	28				31		28		26		Mon	
Mon	29	BANK HOLIDAY			31						30						29						29		27	BANK HOLIDAY	Tue	
Tue	30	EVENTS AND COMMUNITY									31						30	HUMAN RESOURCES					30		28		Wed	
Wed	31																31								29		Thu	
																										30		Fri
																										31		
	May-22		Jun-22		Jul-22		Aug-22		Sep-22		Oct-22		Nov-22		Dec-22		Jan-23		Feb-23		Mar-23		Apr-23		May-23			



## **COUNCIL – 8 MARCH 2023**

### **MEMBER'S ITEM – CLLR DREDA GORDON**

Cllr Gordon has suggested that a Blue Plaque is erected to commemorate Louis Wain at Napsbury.

She has liaised with the NPRA who are in favour of the proposal.

She has been in touch with St Albans Civic Society who facilitate the BPSA (Blue Plaque St Albans) scheme. Civic Society Chairman Tim Botswain informs her that the cost of the plaque and installation is £500. Cllr Gordon would ask that the Parish Council makes a contribution of 50% of that cost (£250.00) and that the remainder be sought from a third party.

This would tie in nicely with the erection of a mosaic, donated to the Parish Council, following an art project called 'Out of Sight, Out of Mind'.

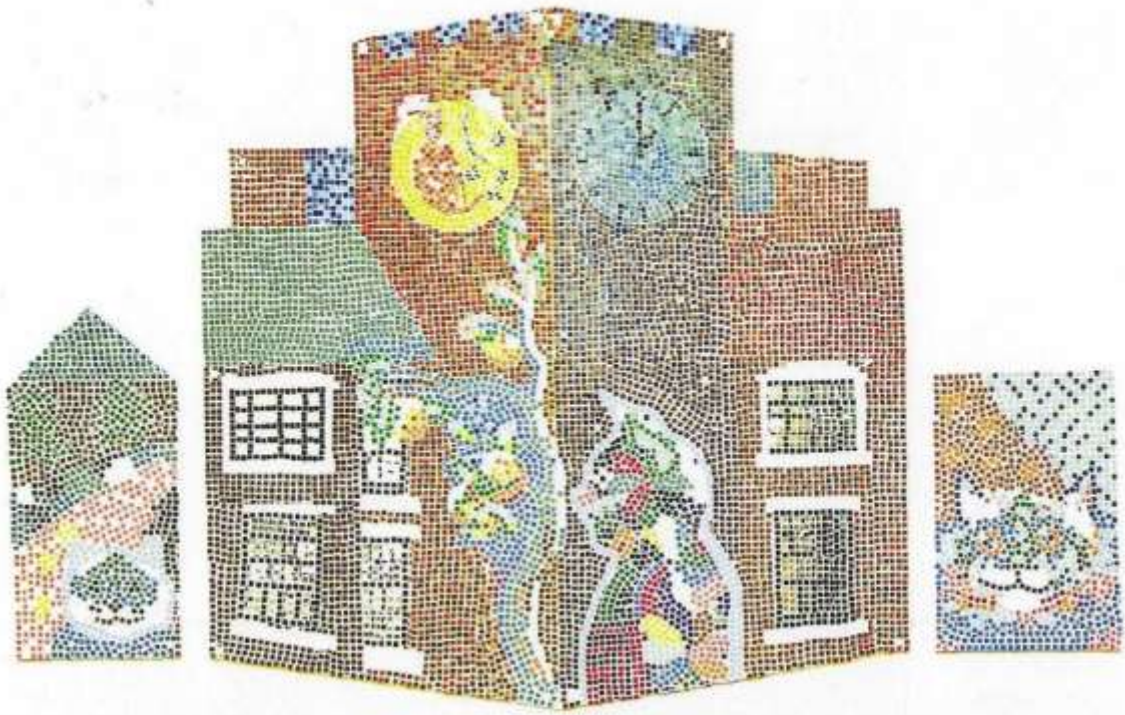
This mosaic was inspired by the paintings of Louis Wain, an artist famous for his pictures of cats. He was a patient at Napsbury Hospital from 1930 until his death in 1939. It was created as part of 'Out of Sight, Out of Mind' a project that gathered the memories of those who lived or worked at Hill End, Napsbury, and the other St Albans psychiatric hospitals.

The work was made by people attending St Albans Day Services and led by artist Natasha Rehman.

For more information about 'Out of Sight, Out of Mind' or the life of Louis Wain see:

<https://www.stalbansoutofsightoutofmind.org.uk/>

<https://www.hertsmemories.org.uk/content/herts-history/topics/cultural-connections-exhibition/louis-wain>



## Council Work Programme 2022-23

Date of Meeting	Matter for Consideration	Officer	Background Information	Source Document (if applicable)
22/03/2023				
Annual Parish Meeting				
17/05/2023 Annual Parish Council Meeting	Election of Chairman & Vice Chairman	Clerk	To elect a Chairman and Vice Chairman of the parish council for	Standing Order
	General Power of Competence	Clerk	To adopt to use the General Power of Competence (Localism Act 2011)	Standing Order
	Appointment of Committees	Clerk	To agree Membership of Committees	Internal Control
	Youth activity at Community Centre	Clerk	To review the operation of the youth activity at the community centre after trial period	Update from previous resolution
	Bank Mandate	Clerk	To ratify the bank mandate post elections	Internal Control
	Review of insurance and asset register	Clerk	To review the Council's insurance schedule and register of assets	Internal Control