

Dunholme Parish Council Risk Procedure and policy – Reviewed June 2025
Review Date – May 2026



Introduction

In any activity for which the parish council has responsibility there will be the potential for unexpected incidents to arise which might negatively affect the council or its members.

In attempting to exclude or avoid such negative outcomes, it is recognised that the council needs to build into its strategic planning a system of assessment and management of risk which is itself subject to frequent review.

This document has been produced to enable Dunholme Parish Council to quantify and assess the risks that it might face and satisfy itself that it has taken all practical steps to reduce or eliminate the risks, insofar as might be practically possible. It must be accepted that risk can never be fully avoided, so it is important for the council also to make plans to mitigate the impact of any negative events which might occur.

A list of specific areas has been identified to consider in this procedure and policy.

FINANCIAL AND MANAGEMENT

Subject	Risk (s) Identified	Risk Level	Management / Control of Risk	Review/Assess/Revise	Risk Level following Review	Review Findings (June 2023)
Precept	Adequacy of precept in order for the Council to carry out its	H	To determine the precept amount required, the Council receives budget update information monthly. At the	Existing procedure satisfactory.	L	Monthly accounts are circulated prior to each meeting.

	Statutory duties		precept meeting, held not later than the end of November each year, the Council receives a budget report, including actual position and projected position to the end of year, and indicative figures or costings obtained by the RFO. With this information the Council maps out the required monies for standing costs and projects for the following year and applies specific figures to budget headings, the total of which is resolved to be the precept amount to be requested from West Lindsey District Council. The figure is submitted to the PC by the Clerk.			The draft budget was circulated at the November 2025 meeting. This was reviewed by Councillors for agreement at the January 2026 meeting. This was submitted to WLDC within the deadline dates set. Precept received 1.4.26
Financial Records	Unsatisfactory records	L	The Council has Financial Regulations in place.	Existing procedure satisfactory	L	Reviewed and approved June 2026. Review date set for May 2027.
	Financial irregularities	L	Reconciliation completed by the Clerk/RFO.	Existing procedure satisfactory.	L	
		L	All financial obligations are resolved and clearly minuted before any commitment.	Existing procedure satisfactory.	L	

		L	3 Councillors are listed on the bank mandate for signatory purposes. The Clerk is on the mandate for admin purposes only	Existing procedure satisfactory.	M	Bank mandate to be updated with 2 further councillors
		M	Online payments now used – always made with the Clerk and one other Councillor in presence.	Existing procedure satisfactory.	M	Online payments can only be made with 2 people present
Bank and banking	Insatisfactory checks	L	The Council has Financial Regulations which set out banking requirements.	Existing procedure satisfactory	L	Financial regulation reviewed and approved June 2026.
	Errors by bank	L	Monthly reconciliation of accounts		L	Monthly bank mandates are drawn up by the Clerk. Any issues raised with the Chairman
Cash	Loss through dishonesty or error	L	The council hold no petty cash or cash float	No change required	L	
Reporting and auditing	Information communication	L	Financial information is a fixed agenda item.	Existing procedures satisfactory.	L	
		L	The Finance Report is discussed or reviewed and approved at each meeting.	Existing procedure satisfactory.	L	

Grants	Receipt of grant	L	Parish Council does not presently receive any regular grants.	Procedure would be established, if required	L	
Grants and support payable	Power to pay. Authorisation of Council to pay	L	Any such expenditure must go through the agreed Council process of approval, minuted and listed accordingly if a payment is made using S137 powers of expenditure	Existing procedure satisfactory.	M	Grants and donation policy reviewed June 2025. Next review May 2026.
Election Costs	Risk of election Costs	L	The Council will allow a reserve amount of funds in order to fund any contested elections.	Should be included in financial statement when setting precept	M	
Best value accountability	Work awarded Incorrectly.	L	Normal Parish Council practice is to endeavour to get three quotations for any substantial purchase/work to be undertaken (purchases over £500).	Existing procedure satisfactory.	L	
	Overspend on services.	L	If problems encountered with a contract the Clerk investigates the situation and reports to the Council.	Include when reviewing Financial regulations.	L	
	Use of funds not giving value for money	L	Effective budget management, Forward planning		L	
Business continuity	Council not being able to continue its	L	All files and records are kept in secure locked cabinet in the	Existing Procedures satisfactory.	L	

	<p>business due to unexpected or unfortunate circumstances.</p>	<p>L</p>	<p>village hall locked store room. Both the Clerk and Chairman have access to these records.</p> <p>Clerk ensures a weekly back up takes place – more frequently in peak admin times such as meeting week to external hard drive.</p>			<p>Back ups taken weekly using One Drive</p>
		<p>L</p>	<p>In the event of short term illness, the Clerk will inform the Chair/Vice – Chairman of absence as soon as possible. If the Clerk has failed to arrive within 10 minutes of meeting start time and no contact has been made, the meeting will continue, and one of the councillors will note the minutes of the meeting.</p>			
		<p>L</p>	<p>In the event the Clerk is unavailable longer term (more than 1 month), the Chairman/Vice – Chairman will contact WLDC members' services for further advice.</p>			
		<p>L</p>	<p>A full review of all additional expenditure should be undertaken, activity prioritised and a budget impact analysis produced</p>			

	Loss of grants from District and County Councils. Drain on limited funds. Pressure regarding precept setting	M		Council to seek alternative funding sources where possible. Council to maintain very close watch on spending and ensure effective budget planning process.	L	
Clerk/RFO	Loss of Clerk	M	Set aside contingency in budget to pay for this type of eventuality.	Performance appraisals to be undertaken.	L	Appraisal up to date. Next due September 2026.
	Limited funds for advertising.	L	Clerk supported in role by Councillors.	Existing procedures satisfactory.	L	
	Actions taken by Clerk/performance in post	L	LALC training when required and access to relevant assistance and legal advice if necessary.			
	Fraud	M	Requirements of Employee dishonesty (Cover by insurance LALC) adhered to.		L	
	Health and safety	L	All employees to be provided with satisfactory clothing, equipment and training needed to undertake their roles	Monitor health and safety requirements and insurance annually.	L	Employers insurance in place.

						All necessary equipment supplied.
VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out requirements regarding VAT recovery.	Existing procedures satisfactory	L	
Annual Return	Must be submitted within time limits (normally mid-June)	L	Annual Return is completed and submitted within the prescribed time frame by the Clerk. Annual Return completed and signed by the Council, submitted to Internal Auditor for completion and signing, then checked and sent to External Auditor within time frame/extension if required.	Existing procedures satisfactory.	M	No mid term internal audit completed 2025 (Best practise only).
Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved at full Council Meetings, including reference to the power used under the Finance section of agenda and Finance report monthly. Appropriate policies and procedures in place	Existing procedures satisfactory Policies and procedures to be reviewed as appropriate	L	

Minutes/agendas/ Notices and Statutory Documents	Accuracy and legality	L	Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements.	Existing procedures satisfactory.	L	Code of conduct resigned May 2024.
	Conduct of Business	L	Minutes are approved and signed at a subsequent Council meeting.	Members adhere to Code of Conduct.	L	
	Non-compliance with statutory requirements	L	Agenda displayed according to legal requirements. Business conducted at Council meetings is managed by the Chair (or vice chair in his/her absence). Clerk advises Council of statutory requirements		L	
Members' interests	Conflict of interests	M	Declarations of interest by members at Council meetings	Existing procedures satisfactory.	L	
	Register of members interests	M	Register of members' interests' forms reviewed regularly.	Members take responsibility to update register	L	
Insurance	Adequacy	L	An annual review is undertaken of all insurance arrangements.	Existing procedure satisfactory. Insurance reviewed annually.	L	
	Cost	L	Employers and Employee liabilities a necessity and		L	

	Compliance	L	within policies. Ensure compliance measures are in place.			
	LALC Insurance	L	Fidelity checks in place.		L	
	Legal action taken against Councillors/Council	L	Public liability insurance is held.	Members to adhere to Code of Conduct.	L	
		L	Employee dishonesty insurance is held. Public liability insurance is held.			
Data protection	Policy provision	L	The Parish Council is registered with the Data Protection Agency and an annual standing order is in place to ensure continued registration.	Ensure annual renewal of Registration	M	GDPR policy review set June 2026.
Freedom of Information	Policy Provision	M	The Council has a Model Publication scheme in place. A FOI policy is now in place	Monitor any requests made under FOI.	L	Publication scheme next review September 2026.
		M	The Parish Council is aware that if a substantial request came in it could create a number of additional hours' work.	Fee to be applied for FOI requests which require more than 2 hours of Clerk time to research.	L	
Communication	Lack of effective communication with residents.	M	Notice board used to publicise meetings, including agendas	Further work on Council's website to bring it up to date	M	New website now in place and up to date.

	Lack of support for Council	M	and minutes. Articles in parish newsletter. Councillor information leaflet circulated. Website – includes details of meetings, councillor information, policies and procedures, planning news, useful contacts and points of interest. Neighbourhood plan & Character Assessment made for 2014 – 2039. Included on website	and include further items of interest to residents and visitors. Consultation on key issues to test residents' views and raise profile of Council	L	
PHYSICAL EQUIPMENT OR AREAS						
Assets	Loss or damage	L	An annual review of assets is undertaken for insurance provision	Existing procedures satisfactory	L	
	Risk/damage to third party property	L	Public liability is held.	Existing procedures satisfactory	L	
Maintenance	Disrepair of assets	L	All assets owned by the Parish Council to be regularly reviewed and maintained.	Existing procedures satisfactory	L	

			All repairs and relevant expenditure for any repair is actioned/authorised in accordance with the correct procedures of the Parish Council. Assets are insured. The Clerk can undertake emergency expenditure after consultation with the Chairman.			
Dunholme Parish Council Notice board (at Co-op and village hall)	Risk of damage/Theft	L	No formal inspection procedures are in place but the notice board is regularly visited by either Clerk or Councillors.	Existing procedures satisfactory	L	
Street furniture		M	Any reports of damage or faults are reported to the Parish Council and dealt with in accordance of the correct procedures of the Council. No inspection procedures in place	Quarterly inspections to be undertaken by an appointed councillor	L	Councillors regularly walk the village and report any issues.

Meeting locations	Adequacy	L/M	The Parish Council meeting is held in the Jubilee Room at the village hall. This venue is considered to have appropriate facilities for the Clerk, members and the general public.	Existing procedures satisfactory	L	
	Health & Safety	L		Existing procedures satisfactory.	L	
	Loss of current facility	L		Council to procure/identify an alternative facility	L	
Council records – paper	Loss through: Theft Fire Damage	M M M	The Parish Council records are stored at the village hall. Records include historical correspondences, minutes, insurance, and bank records. The documents are stored in lockable cabinets.	Damage (apart from fire) and theft is unlikely, so provision is satisfactory.	L L L	
Council records - Electronic	Loss through: Theft, fire damage or corruption of computer	L	The Parish Council electronic records are stored on the Council laptop held with the Clerk at her home. Back-ups of electronic data are made at minimum on a weekly basis. Anti-virus measures in place.	Existing procedures considered satisfactory	L	

COUNCIL FUNCTIONS						
Public functions organised by the Parish Council	Health and safety of general public	L	Apart from monthly meetings, the Parish Council very infrequently hold public functions. As and when these functions are organised the Parish Council will undertake an independent health and safety risk assessment.	Existing procedure satisfactory	L	

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Approving committee: Full Council

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