

Carlby Parish Council

Risk Assessment and Management

INTRODUCTION

The Parish Council is responsible for establishing arrangements for the management of risk. Risk policy statements and consequential risk management arrangements should be reviewed by the Council annually.

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that enable the Parish Council to identify any and all potential risks inherent in the place or practices. Based on the assessment the Council should take all practical and necessary steps to reduce or eliminate the risks.

When considering any new activity, the Clerk will prepare a draft risk assessment including risk management proposals for consideration and adoption by the council.

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

The management of risk requires assessment of the likelihood of an incident occurring, and its impact if it does occur. It is usual to express these as 'High', 'Medium' or 'Low'. when the 'likelihood' and 'impact' figures are multiplied. If the likelihood and impact are both high, special measures need to be taken to reduce the level of risk, or the risky activity removed completely. If the score is low, moderate measures may be sufficient to control or eliminate the risk.

The Parish Council has a duty to have in place a system to help it to manage risk and to review the scheme from time to time. The following table outlines the areas of risk and the control and improvements required

| | | Likelihood | Impact | Risk Assessment | | |
|--------------------------------------|---|------------|--------|-----------------|---|--|
| Subject | Risk Identified (Description) | Level | Level | Level | Control of risk | Review/Assess/Revise |
| Precept | Precept requirement inadequate | L | L | L | The budget is set annually by the Responsible Financial Officer (RFO) and presented to full Parish Council for adoption | 2024/25 resolved-2024/Jan/16 2025/26 budget to be resolved at the January 2025 meeting at full council. |
| | Precept requirement not submitted to RCC | L | L | L | The RFO submits the precept figures to RCC in writing in January each year and confirm submission has happened to the Parish Council | |
| | Precept submitted to RCC not accurate | L | L | L | The precept will be for a fixed sum of money and will only be finally determined the full Parish Council. Precept derived directly from this Income and Expenditure against budget which is to be reported to Council every meeting. | |
| Financial Records | Records are not accurate | L | H | M | The Parish council has Financial Regulation that set out the requirements Council to receive financial report at each meeting | Existing procedure is adequate |
| | Financial irregularities exist | L | H | M | Chair or nominee to check financial documents mid-financial year Council to examine accounts prior to audit Ensure adequate internal audit process. Follow external audit process. | Financial Regulations Last Reviewed 22/5/24 Next review May 2025 |
| | Bank & Banking Checks on accuracy are inadequate | L | M | L | Bank reconciliation framework All payments recorded in Parish minutes Two authorise signatures required on all cheques and BACS authorisation Losses would result from a bank error and these would be immediately reported to the bank. | Monitoring bank statements at every meeting |
| | Loss through poor administration | L | H | L | Unauthorised access to council bank accounts is unlikely as online security procedures are stringent and undated regularly Maintain a minimum of 3 signatories. | |
| Governance Data Protection | Data Protection Policy | L | M | M | Annual review Register with Information Commissioner (ICO) Follow GDPR Ensure Clerk adequately trained Parish Councillors should have dedicated email for Parish Council business | Last reviewed 22 May 2024 Existing procedure adequate Annual subscription to ICO. New councillors advised to set up asap. NOT FULLY IMPLIMENTED IN PROCEED |

| | | Likelihood | Impact | Risk Assessment | | |
|------------------------|---|------------|--------|-----------------|---|---|
| Subject | Risk Identified (Description) | Level | Level | Level | Control of risk | Review/Assess/Revise |
| Freedom of Information | Access Request Policy | L | L | L | Parish Council conforms with the Freedom of Information Act and responds to individual request in accordance with it. Archive documents are stored by the clerk in accordance with the retention regulations. Verbal recording of meetings allowed for minuting purposes and deleted after minutes signed at the following meeting. | Reviewed annually Clerk to delete recording at the following meeting |
| Files & Records | Loss through fire, theft or damage | L | H | M | Accounting documents are stored with the Clerk at their residence and kept in a secure manner. PC password protected. Other documents are stored in a designated box in a locked cupboard in the village hall. | Chairman has access to dropbox and all file data Review every May Full Parish council meeting. |
| | | L | L | L | A weekly back up on to a hardrive will be undertaken by the Clerk. Files are stored on Dropbox Chair to retain a separate back-up and login in details off site | |
| | VAT not reclaimed | L | L | L | VAT payments and claims calculated by Clerk annually reclaimed. | |
| | Loans | L | L | L | No borrowing likely at present | |
| | Comply with Customs and Excise Regulations Complying with borrowing restrictions | L | L | L | Ensure Standing orders and Financial Regulations are up to date Ensure internal audit adequate Ensure Parish Councillors adequately trained Ensure Clerk adequately trained Develop training programme | |
| | Reputational loss | L | L | L | Retain membership of LRALC | |
| Insurance | Adequacy – policy cover council requirements Compliance Libel and slander Officials Indemnity Comply with Employment Law Comply with Inland Revenue requirements Safety of staff and visitors | L | M | L | A 3 year agreement for public liability insurance entered into with a prior full review of cover requirements. Cover for members and clerk for any negligent act, accidental error or omission committed Advice sought from National Association of Local Councils when required. Existing insurance adequate. Clerk's PAYE deducted and submitted to Inland Revenue on quarterly basis via HMRC Pay tools The office is the Clerk's home. Provisions to be made with the village hall for meetings etc | August 2024 Process reviewed on purchase of lawn mower for adequate cover confirmation. |

| | | Likelihood | Impact | Risk Assessment | | |
|--|--|------------|--------|-----------------|--|---|
| Subject | Risk Identified (Description) | Level | Level | Level | Control of risk | Review/Assess/Revise |
| Election Costs | Risk to budget from an unforeseen election cost | L | M | M | The risk is higher in an election year. Th Clerk obtains an estimate of costs from RCC for a full election and an uncontested election. There are no measures that can be adopted to minimise the risk of having a contested election as this is a democratic process | Parish Council to ensure the sufficient budget allocation to cover by-election costs. |
| Reporting and Auditing | Information and communication Compliance | L | M | L | A budget monitoring statements is produced for presentation to full council The accounts are open to public examination each year as required by the Accounting and Audit Regulations. The annual report is published on the Parish Council website. Auditing take place on an annual basis | |
| Legal Powers | Illegal activity or payments | L | M | L | All activity and payment within the powers of the Council are resolved and minuted at meetings. Guidance and advice is provide to the meeting by the RFO. | Existing procedure adequate |
| Councillors | Loss of Councillors below quorum | L | L | L | Ensure Councillors numbers retained Create a Vice-Chair for resilience Follow up Councillors not attending meetings Offer training to support role | Co-option of new councillors when vacancies occur |
| | Conflict of Interest | M | M | M | Register of interest completed and updated by Councillors when their circumstances change and is reviewed annually. All registers are declared to the Monitoring Officer at RCC. Declaration of Acceptance completed | Councillor to take responsibility to update their entry in the Register Clerk to remind all Councillors at the May meetings each year. |
| Employees Salaries and associated costs | Salary paid incorrectly Unpaid tax and NIC to HMRC | L | L | L | The Parish Council authorises the appointment of employees Salary rates are based on the National Joint Council (NJC) for Local Government Services pay scales. Salary analysis and pay slips are produce by the Clerk on a quarterly basis using the HMRC Government Basic Pay tools | |
| | Fraud by staff Actions undertaken by staff are unsatisfactory | L | L | L | Financial risks are low as no cash is held The Council can provide relevant training, reference books, access to assistance and legal advice required to undertake the role Conduct regular performance reviews | To offer appropriate training when required |
| | Health and safety for employees inadequate | L | L | L | Health and Safety policy Competent person to be employed as Clerk Work place assessment | Policy review annually May |
| | Pension provision for auto-enrolment legislation | L | L | L | All employees have got be taken through the enrolment process by the staging date otherwise councils can face fines. | Re-enrolment every 3 years |

| | | Likelihood | Impact | Risk Assessment | | |
|--|---|------------|--------|-----------------|--|---|
| Subject | Risk Identified (Description) | Level | Level | Level | Control of risk | Review/Assess/Revise |
| | Loss of Parish Clerk | M | H | H | Ensure Councillor signatories up to date Identify Councillor to act as Clerk Address issues affecting clerk as they arise | Last Clerk appraisal : Next Review: |
| Assets | Protection of physical assets Loss or damage Risk/damage to third party/property | L | L | L | An annual review of assets is undertaken for insurance purposes. Keep Asset Register up to date Regular Checks Risk Assessment Ensure Insurance cover adequate | Existing procedure adequate External Storage Risk assessment reviewed Sept 24 Next Review |
| | Security of buildings, equipment etc | L | L | L | Emergency kit stored in village hall and external unit at the side of village hall Mower storage | Presently mower in Chairman's garage to consider alternative long term storage. |
| | Security of buildings, equipment etc | L | L | L | Village Hall managed and risks controlled by Village Hall Management Committee Village Hall managed and risks controlled by Village Hall Management Committee | Copy of village hall Risk Assessment to be held by the Clerk |
| Parish Council Meetings Agenda/Minutes/ Notices/Statutory Documents | Accuracy and legality records | L | M | L | Agendas and minutes are produced in the prescribed method by the Clerk and adhered to the legal requirements. Agendas are displayed and minutes are available in accordance with the legal requirements Minutes are approved and signed at the following Council meeting. | Existing procedure adequate – guidance/training given to Chairman where required. |
| | Business Conduct | L | L | L | Business conducted at council meetings is managed by the Chairman Public conduct at council meetings is managed b the Chairman | Members adhere to the SKDC Code of Conduct contained within the Standing Orders. Adopted 18/7/2023 Public requested to follow the rules of the public forum. |
| Carlby pc Green Spaces and maintenance of areas | Mowing Grass using pc mower. Accident employee or public (including on the highway) | L | H | M | Rechargeable flashing warning beacon when in operation. Where possible workman and banksman to work in pairs. High viz vests to be worn while working. Drivers trained in the steering and operation of the machine. Only nominated operators to use. Machine only to be used in daylight | Visual check of area to be mown advised. |

| | | Likelihood | Impact | Risk Assessment | | |
|---------|--|------------|--------|-----------------|--|--|
| Subject | Risk Identified (Description) | Level | Level | Level | Control of risk | Review/Assess/Revise |
| | Safe storage/theft | L | H | M | Lawn mower to be stored in locked facility when not in use. Mower not to be left unattended. Fuel to be stored securely in proper containers | Council to consider alternative long term stored currently stored in chairman garage. |
| | Breakdown of mower Costs escalating | L | M | L | Costing/services. Guarantee | Guaranteed until 2027 July. Following expiry of guarantee pc to considered a regular service plan. |
| | Grass areas | L | M | L | Make sure area accessed by public mown | |
| | Injury to public. | L | M | L | Areas kept free of debris/litter. Visual checks of trees for dead wood and disease Visual checks of village sign | |
| | | | | | | |

Chairman: John Bavister

Date Reviewed: 18/09/2024