

Langtoft 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		Actions		
Subject	Risk Identification	Level	Level	Level	Control of risk /Review criteria/Assessment - remove Control objectives	Action Required.	by whom	by when
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 resolution.	Budget is developed by each working party and consolidated into Precept to ensure correct projections/assumption are incorporated.	Each working group	October
	Precept requirement not submitted to SKDC				The RFO submits the precept figures to SKDC in writing in January each year and confirm submission has happened to the Parish Council	Annual budget preparation commences in October.	Clerk/Finance working group	
	Precept submitted to SKDC not accurate				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.	Annual precept is reviewed in November and approved by council at January meeting.	Full Council	
Financial	Records are not accurate Financial irregularities exist	L	M	L	The Parish council has Financial Regulation that set out the requirements Council to receive financial report at each meeting 6 Monthly independent internal audit. All payments (cheque or bank transfer) require authorisation by two Councillors	External Audit October and April Financial Regulation reviewed annually in May or when updates come from NALC		
	<u>Bank and Banking</u> Checks on accuracy are inadequate Loss through poor administration	L	M	L	Council to examine accounts prior to audit Ensure adequate internal audit process. Follow external audit process. Councillors to conduct spot checks For transparency all Council financial transactions are published on council website Bank reconciliation framework All payments recorded in Parish minutes Two signatures required on all cheques and BACS authorisation Losses would result from a bank error and these would be immediately reported to the bank. Possible losses from unauthorised access to the council bank accounts are minimal as security procedures used to access the account are in place. Banking online passwords	Clerk to produce Receipts and Payment account reconciled to the bank at each meeting		
	Illegal activities 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.			
	<u>Reporting and Auditing</u> 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 6 monthly basis	A standard chart of accounts is in place to ensure consistency in reporting YTD and VBA		
	<u>Risk of loss of Income</u>	L	L	L	Precept and budgeting procedure in place	Insurance cover in place		
	Loss of cash through theft	L	L	L	No cash is held.			
Election Costs	Risk to budget from an unforeseen election cost	L	M	M	The risk is higher in an election year. The Clerk obtains an estimate of costs from SKDC 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 allocations to cover by-election costs.	Snap election costs cover from reserves		
Governance	Data Protection	L	M	M	Annual review Register with Information Commissioner (ICO) annually Follow GDPR – clerk undertaken training Ensure Clerk adequately trained Parish Councillors have dedicated email for Parish Council business	Reviewed annual in May Annual Subscription All councillors undertake regular training. Newly elected councillors to complete training within 2 months of co-option if training available		
	<u>Freedom of Information</u> Access Request Policy	L	L	L	Parish Council conforms with the Freedom of Information Act and responds to individual request in accordance with it.	Policy reviewed annually May		
	<u>Files & Records</u> Loss through fire, theft or damage	L	H	L	Archive documents are stored by the clerk in accordance with the retention regulations. All Parish Council equipment and documents are stored with the Clerk at their residence and kept in a secure manner. PC password protected. A weekly back up on to a hard drive will be undertaken by the Clerk (2x external hard drives alternately backed up weekly + onedrive Chair to retain a separate back-up login in details off site			

Legal Liabilities	VAT not reclaimed	L	L	L	VAT payments and claims calculated by Clerk annually reclaimed. No borrowing likely at present			
	Loans	L	L	L				
Legal Liabilities	Non compliance with Customs and Excise Regulations Non compliance with borrowing restrictions	L	L	L	Ensure Standing orders (SO) and Financial Regulations (FR) are up to date Ensure internal audit adequate Ensure Parish Councillors adequately trained Ensure Clerk adequately trained Retain membership of LALC	Standing orders and Financial regulations reviewed annual in May LALC training offered		
	Ensuring activities are within legal powers Risk to third party property or individuals	M	M	H	Clerk clarifies legal position on any new proposals. Legal advice would be sought where necessary. Risk to third party property or individuals Adequate insurance cover Development and training programme LALC membership	All councillors to review STO's on an annual basis. LALC training by all councillors undertaken on annual basis. LALC training available		
Insurance	Adequacy – policy cover council requirements Compliance Libel and slander Officials Indemnity Equipment Comply with Employment Law Comply with Inland Revenue requirements Safety of staff and visitors Equipment assets	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.	Clear Insurance 3 year scheme offer blanket cover for parish councils covering all events and equipment		
Councillors	Loss of Councillors below quorum	L	H	M	Ensure Councillors numbers retained Create a Vice-Chair for resilience Follow up Councillors not attending meetings Co option of new councillors when vacancies occur	Co-option of new councillors to fill vacancies.		
	Conflict of Interest	M	M	M	Register of interest completed and updated by Councillors when their circumstances change and is reviewed annually. Councillors to take responsibility to update their entry in the Register. All registers are declared to the Monitoring Officer at SKDC. Declaration of Acceptance completed	All councillors to receive an annual reminder to declare where required.		
	Gifts and hospitality in place	M	M	M	Register of interests completed. Members to declare any gifts or hospitality (over £25 in value) as and when received.	Councillors annual responsibility for updating with Monitoring Officer of SKDC. Clerk to remind this annual at the May meeting.		

	Reputational loss	L	L	L	Code of conduct in place Retain LALC membership	Question who set limit level, should it not be all gifts declared? SKDC Code of Conduct adopted 22/11/2022		
	Information Sharing	L	L	L	Councillor agree to use their designated council email address for all correspondence for parish matters	New Councillors to activate generic IONOS emails		
Employment	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 monthly basis using the HMRC Government Basic Pay tools 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			
	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			
	Health and safety for employees inadequate	L	L	L	Health and Safety policy Competent person to be employed as Clerk	Annual review May Training offered when available from LALC/NALC		
	Pension provision for auto-enrolment legislation	L	M	H	All employees have got be taken through the enrolment process by the staging date otherwise councils can face fines.	Re-enrolment every 3 years next due: 2025		
	Loss of Parish Clerk	L	H	H	Ensure Councillor signatories up to date Identify Councillor to act as Clerk Address issues affecting clerk as they arise Conduct annual appraisal To offer appropriate training when required regular appraisals	Clerk Appraisal : 22 Oct 2024 Next Due : Oct 2025		
	Loss of Handyman/Gardener	L	M	M	Regular contact from Clerk to Gardner Annual Monitoring of work and hours Annual appraisal Appropriate equipment	Clerk monitor's Gardeners annual hours Gardener Appraisal: 20/05/2025 Next Due: May 2026		

Assets	Protection of physical assets Loss or damage Risk/damage to third party/property Security of buildings, equipment etc Security of buildings, maintenance and equipment etc	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 for Street furniture, noticeboards, planters and waste bins owned by the Parish Council are insured The Council's computer equipment, filing cabinet & strong box is kept at Clerk's home and is insured under the Council's existing insurance policy	Asset registered updated annual as part of the AGAR process		
	Noticeboards Risk/damage/injury to third parties Road side safety	L	L	L	Parish Council has 5 notice boards sited around the Parish. All locations have approval by relevant parties, insurance cover, inspected regularly by the Clerk - any repairs/maintenance requirements brought to the attention of the Parish Council. Keys held by the Clerk			
	Buildings	n/a	n/a	n/a	buildings owned. Village hall controlled and insured by Village Hall Management Committee			
Parish Council Meetings Agenda/Minutes/ Notices/Statutory Documents	inaccuracy 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.			
	Business Conduct	L	L	L	Business conducted at council meetings is managed by the Chairperson Members adhere to the SKDC code of conduct contained within the Standing Orders			
Social Media	Inaccurate postings Poor quality data Criticism Fake news or spoofing Discriminatory behaviour Rouge Posts	M	M	M	Agreed phrases of response Administrators for the site Social media for feel good story platform All factual documents referred to website. Good knowledge and understanding of protocols Remove rouge posts as soon as possible Data protection	Social Media and Communication policy to be adopted All councillors undertake annual training. Newly elected councillors to complete training within 2 months of co-option	Coms Group	October meeting
Play Area	Risk/damage/injury to third parties Uneven/slippy surfaces Unsupervised area Misuse of equipment Damage to equipment Lack of maintenance	M	H	M	Weekly visual inspection of the equipment is recorded by the Gardener/Handyman Annual ROSPA inspection to take place which are used as a template for future budgeting purposes and repair works Amenities working group to monitor and put	To consider ¼ external inspection reports	Gardener Rospa	Weekly Annually (Sept)

	Cleanliness Equipment which is dangerous is not identified Equipment which is damaged is not dealt with correctly Falling tree branches	M	M	L	forward proposals for works Remedial works and repairs to be undertaken as necessary Maintenance repair contractors properly insured and licenced equipment in BBG & East End park Insurance cover with adequate cover Grass cut regularly during growing season by contractor on behalf of the Parish Council. Gates and Fencing monitored by Councillors and repaired as required. Dog foaling/problems with dog walkers reported in the correct manor Fencing check Any issues raised by any inspection will be brought immediately to the Parish Council's attention. Any questions will be raised with the Annual Inspecting Body, and in the event of immediate remedial action needing to be taken the Chair or Vice Chair of the Parish Council will have delegated powers to close any piece of play equipment by either its removal, isolation or rendering harmless any dangers found. Regular checks for dead wood or disease A bi annual external tree survey	Tree condition survey : Nov 2023 Next Due: Nov 2025		
	<u>Residual Pond in East End Park</u> Risk/damage/injury to third parties/accident Unsupervised access Pond edges Brambles	M	M	M	Pond is now mostly above level of surrounding water table but does occasionally part fill with water in wet weather. Drowning risk low. Water levels monitored Renovation works in progress Fencing separating park area from pond Signage installed	An individual risk assessment for this project produced by Pete Coles		
Cemetery	<u>Vehicle and Equipment</u> Lawn mowers, hearses Mechanised digging equipment Injury to operatives/burns/cuts/foreign bodies in eyes/smoke inhalation/ingestion <u>Excavations/ground works</u> Falling/tripping injuries to back, sprains, strains, musculoskeletal	L	L	L	Only authorised vehicle and equipment allowed in the cemetery Contractors and funeral directors liable for their own risk assessment to protect their employees and member so the public The Parish Council ensures they employ reliable and competent Staff/Contractors Very busy A15 highway, ensure layby kept clear Funeral Directors will be liable for their own Health & Safety measures			

	injuries, cuts and bruises Injury to members of the public and employees of Funeral Directors <u>Memorial stone inspections</u> Cuts, bruises, crush injuries Injury to members of the public, contractors or funeral directors employees Unstable headstones <u>Paths</u> Uneven surface Tripping/injury to third parties <u>Gates and fencing</u> In poor repair <u>Benches</u> In poor repair	L	L	L	Cemetery Group Once every 5 years memorials are hand checked to ensure stability. Memorials that are unstable will be laid down and the family notified in order that they can arrange refixing.	This was done inhouse Mar 2023 resulting in one stone being rectified by Stone & Co. Next Due: Aug 2025		
		L	M	M	Notice at gate of uneven pathway Monitor uneven surface regularly			
		L	L	L	Gates and fencing maintained in good repair Gardener to report any needs of repair			
		L	L	L	benches maintained in good repair Gardener to report any needs of repair			
Gritting of local roads in winter	Liability of accident if road not gritted Decisions on when to grit or not	H	H	H	Council employs contractor to grit roads when icy conditions are expected in winter months. Public Liability Insurance cover Procedure when to grit/app used Road to be gritted only Stowe Road	Review procedure annually Oct/Nov pc meeting.		
Speed Camera	Separate Risk Assessment is done for this – see file				See Separate Risk Assessment			
Events	Individual public events				To undertake specific risk assessment for each event	Community Engagement Working Group		
Penfield Nature Reserve					See separate Risk Assessment			

Adopted: at Parish Council Meeting : 18 May 2021

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