

## Clavering Parish Council

### Risk Management Policy and Risk Register

#### **For Adoption following a review on 9<sup>th</sup> November 2020**

*“The greatest risk facing a local authority is not being able to deliver the activity or services expected of the Council.”*

The management of risk is an important part of the Council's work; making sure that the people who use our facilities are safe, giving the staff the protection to get on with their work, and protecting the assets that the council hold. 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 inherent risks. The Parish Council, based on this assessment, will take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible and making sure that all employees are made aware of the results of the risk assessment.

Topic	Possible Risks	Actual			Management/Mitigation	Review/Assess/Revise	Residual		
		Likelihood	Severity	Risk			Likelihood	Severity	Risk
<b>Financial</b>									
Business Continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance Loss of Clerk/RFO or loss of Council papers / electronic records	1	3	3	The Clerk/RFO makes regular back-ups of files to Cloud Storage. In the event of the Clerk being indisposed the Chairman to contact the Essex Association of Local Councils for advice.	Appropriate back-up arrangements in place.	1	2	2
		2	3	6		Review plan when necessary.	2	1	2
Precept	Adequacy of precept	2	2	4	The Council regularly receives budget update information through the year to check the adequacy of the precept which is fixed by full Council. At the Precept meeting the Council receives a budget update report, including actual and projected year-end indicative figures provided by the Clerk/RFO. Once the Council has formally agreed the level of precept required the Clerk/RFO requests this amount from the District Council.	Existing procedures adequate	1	1	1
	Requirements not submitted to District Council	1	2	2			1	1	1
	Amount not received by District Council	1	2	2			1	1	1

					The Clerk/RFO informs Council when precept income is received.					
Financial Records	Inadequate records	1	2	2	The Council has adopted Financial Regulations which set out the requirements for reporting financial information to the council. This includes procedures that are designed to prevent fraud and irregularities.	Existing procedure adequate.	1	1	1	
	Financial irregularities	1	3	3			Review the Financial Regulations at least yearly. Fidelity Insurance for the Clerk/RFO, 2 signatories required and rotated regularly, Cllr assigned to check book keeping twice a year.	1	2	2
Bank and Banking	Inadequate checks	2	3	6	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts. The Clerk/RFO reconciles the bank accounts monthly to ensure transactions are correctly reflected in the financial information presented to the council. The Clerk/RFO reviews the Councils banking arrangements regularly.	Existing procedures adequate.	1	1	2	
	Bank mistakes									
	Loss	1	3	3			Review Financial Regulations annually.	1	2	2
	Charges	1	3	3						
		2	2	4		Review bank signatory list as required, especially after Annual Council Meeting and after an election. Reconcile accounts and bank statements Monthly and present to Council.	1	2	2	
							1	2	2	
Cash	Loss through theft or dishonesty	1	3	3	The Council has Financial Regulations which set out the requirements for the handling of cash. No petty cash or cash float is held	Existing procedures adequate.	1	2	2	

					by any staff.				
Election costs	Financial risk to the council of an election.	2	3	6	Risk is higher in an election year. An earmarked financial reserve is held to cater for an election if this becomes necessary.	Existing procedure adequate	2	1	2
VAT	Re-claiming/charging	2	1	2 4	The Council has Financial Regulations which set out the required processes.	Existing procedure adequate	1	1	1
Annual Return	Submit within time limits.	2	2	4	Annual Return is completed and approved by the Council and submitted to the External Auditor on time (or an exemption certificate is signed and returned if appropriate).  Internal Auditor completes the relevant paperwork.	Existing procedures adequate	1	1	1
Direct costs	Goods billed but not supplied	2	3	6 4	The Council has Financial Regulations which set out the underlying requirements.	Existing procedures adequate.	2	1	2
Orders and invoices		2	2	2					
Debts	Incorrect invoicing	1	2	2	At each Council meeting the list of invoices awaiting approval is distributed to Councillors for consideration and approval.	Review the Financial Regulations annually.	2	1	2
	Unpaid invoices				Unpaid invoices to the Council are pursued and where possible, payment is obtained in advance.		2	1	2

Grants payable	Power to pay	1	2	2	Council reviews compliance with the criteria to use the GPC at its Annual Meeting. All such expenditure is considered by Council for approval and minuted accordingly. If payment is made using the S137 power, this is recorded specifically.	Existing procedure adequate.  Parish Councillors record S137 payments when required.	1	1	1
	Authorisation of Council and recording of decision	1	2	2			1	1	1
Grants - receivable	Receipts of Grant	1	2	2	Grants are dealt with within the specifically defined terms and conditions and are itemised explicitly in the accounts presented to the Council.	Receipt of one-off grants recorded through meeting minutes and financial management systems for approval.	1	1	1
Charges – rentals receivable	Receipt of rental (allotments)	3	1	3	A schedule of payments received is kept which tallies with the ongoing 'receipts and payments' schedule and bank reconciliation. Any late payments are noted and chased by the Clerk/RFO in line with Allotments Terms and Conditions.	Existing procedure adequate.	1	1	1
<b>Operational Management</b>									
Value for Money Accountability	Work awarded incorrectly	2	2	4	Financial Regulations specify the procedures for procuring goods and services. If problems are encountered with a contract or a service, the Clerk/RFO would investigate, check the relevant circumstances and report to Council.	Existing procedures, contained within Financial Regulations, are adequate.	1	1	1
	Overspend on services	2	2	4			1	2	2
Salaries and associated costs	Salary paid incorrectly	2	2	4	The Parish Council authorises the appointment level of remuneration of all employees. Rates of pay are linked to national terms and conditions. Payroll company is employed for payroll	Existing systems include adequate controls	1	2	2
	Wrong deductions of NI or Tax	2	2	4					
	Unpaid Tax & NI								

	contributions to HMRC	2	2	4	calculations, tax and NI. All staff have a contract of employment and job description. Employment policies in place.		1	2	2
Employees	Loss of key personnel	2	3	6	The Councillors will convene emergency meetings to agree interim arrangements if key personnel are absent without notice.	Existing procedure adequate.	2	1	2
	Fraud	1	3	3	The council carries Fidelity Guarantee insurance with regard to fraud or staff actions.	Appointed Cllr reviews RFO's management, RFO & Chair communicate to respond to unexpected circumstances.	1	2	2
	Actions undertaken	1	3	3	The Clerk/RFO is provided with access to relevant training, reference books and legal advice required to undertake the role.	Monitor working conditions, safety requirements and Insurance regularly.	1	1	1
	Health & Safety	2	3	3	Annual appraisal interviews are carried out. Employment policies in place.	Existing procedures adequate.	1	2	2
Legal Powers	Illegal activity or payments	1	3	3	All activity and payments within the powers of the Parish Council to be resolved and minuted at Full Council.	All powers appropriately considered and minuted. Considered in line with Standing Orders.	1	1	1
Minutes, Agendas, Notices, Statutory Documents	Accuracy and legality Business conduct	2	2	4	Minutes and agendas are produced in the prescribed form by the Clerk and adhere to legal requirements.	Existing procedure adequate. Guidance/training is available to the Chair	1	1	1
		2	2	4	Minutes are approved and signed at the next Council meeting. Minutes and agenda are accessible to the public in compliance with the legal requirements. Business conducted at Council meetings is managed lawfully by the Chair with the advice and guidance of the Clerk, who is training towards CiLCA qualification.	Members to adhere to Code of Conduct.	1	1	1
Insurance					An annual review is undertaken (at time	Existing procedure adequate.	1	2	2

	Adequacy	2	3	6	of policy renewal) of all insurance arrangements.	Review insurance provision annually.	1	2	2
	Cost	2	2		Employers and Employee liability insurance is a necessity. Ensure compliance measures are in place.		1	2	2
	Compliance	2	3		Ensure Fidelity checks are in place.		1	2	2
	Fidelity Guarantee	2	3						
				4					
				6					
				6					
Data protection	Policy	2	2	4	The Council is registered with the Information Commissioner.	Ensure annual renewal of Registration and compliance with the General Data Protection Requirement.	2	1	2
	Provision	2	2	4	Data protection policies in place.		1	1	1
Freedom of Information Act	Policy	2	2	4	The Council has a model publication scheme for Local Councils in place.	Monitor and report any impacts of requests made under the FOI Act.	2	1	2
	Provision	2	2	4	The Council is able to request a fee for any information requested to cover the cost of consumables and the clerk's time.		1	1	1
Meeting location	Health & Safety	3	1	3	The Parish Council Meetings are held via Zoom due to Covid-19 until May 2021.		1	1	1
Allotments and access roads	Failure of tenants to use and maintain plots	2	2	4	Inspection of individual plots and monitoring whether Terms and Conditions have been satisfied.	Existing procedure adequate. All new allotment holders are sent a copy of the allotment rules.	1	1	1
	Reputational harm from poor maintenance	2	2	4	Inspection of allotments, adhering to maintenance schedule and ensuring any additional identified work is undertaken promptly.	Ensure there is a Cllr responsible for the supervision of the allotments.	1	1	1
	Risk to third parties	1	3	3	Annual review of Tenancy Agreement	Where contractors are used ensure that they have proper	1	2	2

					and Terms and Conditions.	qualifications and insurance; confirmation of this should be minuted.			
Liability									
Legal Powers	Illegal activity or payments	1	3	3	All activity and payments made within the powers of the Parish Council (not ultra vires) and to be resolved and clearly minuted. Ensure established with clear terms of reference.	Existing procedure adequate.	1	2	2
							2	1	2
Public Liability	Risk to third party, property or individuals	2	3	6	Insurance is in place. Risk assessments regularly carried out to comply with requirements.	Existing procedures adequate. Ensure risk assessments are carried out.	1	2	2
Employer Liability	Non-compliance with employment law	2	3	6	Undertake adequate training and seek advice from the Essex Association of Local Councils.	Existing procedures adequate.	1	2	2
Legal Liability	Legality of activities	2	2	4	Clerk to clarify legal position on proposals and to seek advice if necessary.		1	2	2
	Proper and timely reporting via Minutes	2	1	2	Council always receives and approves Minutes at monthly meetings.		1	1	1
	Proper document control	2	1	2	Document Retention Policy in place		1	1	1
Assets									
Assets (including noticeboards and street furniture)	Loss or Damage	2	2	4	An annual review of assets is undertaken for insurance provision, storage and maintenance purposes.	Existing procedure adequate	1	1	1
	Risk/damage to third parties/property	1	3	3	An asset register is kept up to date and insurance is held at the appropriate level for all items.		1	2	2
Maintenance	Poor performance of assets or amenities.	2	1	2	All assets owned by the Council are regularly reviewed and maintained. All repairs and relevant expenditure for these repairs are actioned/authorised in accordance with the procedures agreed by the Council.	Existing procedure adequate. Ensure timely inspections carried out.	1	1	1
	Risk to third parties	2	2	2			1	1	1

				4	All assets are insured and reviewed annually.		1	2	2
Council records - paper	Loss through theft, fire or damage	2	2	4	The Parish Council's current records are stored at the clerk's home address. Historic records (historical correspondence, minute books and copies, leases for land or property, records such as personnel, insurance, salaries etc.) are stored at county archives, or in storage at the Clavering Christian Centre. Deeds and conveyances are lodged for safekeeping with Solicitors acting for the Council.	Damage (apart from fire) and theft is unlikely and so provision adequate. Deeds/leases are copied and stored off-site.	2	1	2
Village Greens and Parish Land	Village Greens, including: VG53, 54, 55, 56, 58, 60, 61 and VG 244. The Horse Pond, Hill Green Frog Pond, Mill End Pond. Land at Mill End, the rear of the Cricketers PH and land in Middle Street and the Ford	2	3	4	The Council is the owner of these areas and is responsible for their upkeep and safety together with any furniture and fittings placed on them by the Council. The Council is also responsible to monitor the vehicular accesses across Village Greens and Parish Land.	Ensure that all areas are kept in a fit state for public use; that contractors working on these areas on Council business are properly insured; ensure that the Council's liability insurances are adequate. The Council to conduct an annual inspection of the areas and record its findings. A PC Working Party to monitor the dimensions and conditions of vehicular accesses and update photographic evidence (recorded by the Clerk). Insurance to cover trespass and damage to property.	2	2	2
	Dick Ball Meadow including gates, display board and seats.	2	2	4	Risk arises through work being carried out in the meadow by contractors employed by the Council and use by the public	Where contractors are used ensure that they have proper qualifications and insurance; confirmation of this should be	1	1	2

						minuted. Ensure the Council's insurance covers all risks and that regular inspections are made and the findings recorded.			
	Other land in the ownership of the Council not otherwise covered eg Mound at Coleshill Close, bus shelter	2	2	4	Risk arises through work being carried out at the area by contractors employed by the Council and use by the public.	Where contractors are used ensure that they have proper qualifications and insurance; confirmation of this should be minuted. Ensure the Council's insurance covers all risks, regular inspections are made and the findings recorded.	1	1	2
	Physical assets not mentioned above	1	1	2	Seats, wells, notice boards, the bus shelter, the village sign should be in good repair and provide no hazard to the public.	Ensure that this property is regularly inspected for repair and safety that inspection findings are minuted. Ensure that the Council's liability insurance is adequate. Annual written survey to be completed.	1	1	2
Council records - electronic	Loss through theft, fire or damage	2	2	4	The Parish Council's electronic records are stored on the Clerk's laptop computer. Back- ups of the files are taken weekly onto independent storage device and monthly to cloud storage. Good practice management of all passwords.	Computer records are backed up weekly.	2	1	2
	Corruption of computer	2	2	4			2	1	2
Propriety and Reputation									
Members interests	Conflict of interest	3	3	9	The declaration of interests by members at meetings is a standing item to remind Councillors of their duty. Register of Members Interest forms should be reviewed regularly by Councillors.	Existing procedure adequate.	1	2	2
	Register of Members interests	3	3	9			Members take responsibility to update the Register.	1	2
Councillor	Councillors over-paid	1	1		No allowances are paid to Parish	No procedure required	1	1	1

allowances	Income tax deduction Real or apparent benefit financially from membership of the council	2	2	1 4	Councillors Register gifts and hospitalities.		1	1	1
Neglect of Duties	Councillors seen to neglect duties and interests of parishioners	2	2	4	Council meetings well attended by councillors and frequently by parishioners interested in particular agenda items; council has demonstrated sensitivity to opinions of parishioners.	Existing procedure adequate.	1	1	1
Grass Cutting Slips and trips	Visitors may be injured if they trip over objects or slip on spillages.				Volunteers/councillors to inform Clerk of any Health and Safety concerns Keep work areas clear Volunteers/councillors to tell someone where they are working. Volunteers/councillors must be fit and able Do not cut grass next to river or on steep slopes or unstable ground	Procedure adequate Keep under review			
Road and the surrounding areas	Traffic Accidents Damage to vehicles Injuries to volunteers/councillors Injures to members of the public	L			Wear high visibility clothing Check for stones and debris before mowing Grass Cutting should not be undertaken within close, unguarded proximity to roads or areas where there are moving vehicles if the volunteer assesses the area to be unsafe. Be aware that debris emerging from mowers can contain stones etc. Direct stream away from roads and parked cars.	Procedure adequate Keep under review			
Debris, litter, stones	Injuries to	M			Clear debris before and after work	Procedure adequate			

	volunteers/councillors Injures to members of the public			Direct stream away from persons Wear Personal Protective Clothing including covered footwear and when strimming wear protective faceguard/visor.	Keep under review			
Insurance	Damage to machinery	M		The Parish Council nor its insurance company will not accept liability for damage to machinery.	Procedure adequate Keep under review			
Sharp objects e.g. nails, needles, glass	Injuries to volunteers/councillors	M		Volunteers/councillors to wear strong, covered footwear with adequate grip. Heavy Duty Gloves to be worn If discovered, needles must not be picked up or touched under any circumstances. Make a note of the location and report it to Uttlesford District Council	Procedure adequate Keep under review			
Hygiene and potential contact with Bio Hazards e.g. faeces, vomit and used condoms	Injuries to volunteers/councillors	M		If discovered, do not attempt to clean up. Make a note of the location and report it to Uttlesford District Council Volunteers/councillors to cover any cuts, however minor, with surgical tape or waterproof plasters. Volunteers/councillors to wash hands before eating, drinking and smoking.	Procedure adequate Keep under review			
Contamination from chemicals	Injuries to volunteers/councillors	L		If discovered, do not attempt to clean up. Make a note of the location and report it to Uttlesford District Council	Procedure adequate Keep under review			
People	Injuries to volunteers/councillors or members of the public, assault	M		Stop machines if people come within 5 metres. Direct stream from mower/trimmer away from people Avoid confrontations. Call police if necessary Volunteers/councillors to tell someone where they are working and take a mobile phone with them	Procedure adequate Keep under review			

				<p>Wear personal protective clothing including covered footwear and a faceshield/visor when strimming</p> <p>Do not operate a machine while tired, whilst under the influence of alcohol, drugs or medication.</p> <p>Read and follow manufacturer's instructions for operation and safety.</p> <p>Volunteers/councillors must be fit and able</p>				
Lack of awareness e.g. A person taking unnecessary risks resulting in injury	Injuries to Volunteers/councillors or members of the public	L		<p>Do not operate a machine while tired, whilst under the influence of alcohol, drugs or medication.</p> <p>Read and follow manufacturer's instructions for operation and safety.</p> <p>Volunteers/councillors must be fit and able</p> <p>Volunteers/councillors must 18 or over</p>	Procedure adequate Keep under review			
Trees	Low branches Falling limbs	L		<p>Check trees regularly</p> <p>Inform Clerk of any required work to trees</p>	Procedure adequate Keep under review			
Machinery/Tools	Injuries to operator/ members of the public	M		<p>Read and follow manufacturer's instructions for operation and safety.</p> <p>Maintain the machine to good working order.</p> <p>Check the machine before using it.</p> <p>Do not use a defective machine.</p> <p>Switch machinery off before carrying out maintenance and adjustments</p> <p>Volunteers/councillors must be capable of understanding instructions</p> <p>The use of chainsaws or spraying equipment is not permitted</p>	Procedure adequate Keep under review			
Natural Hazards including pollen, dangerous plants	Volunteers/councillors	M		Volunteers/councillors should wear appropriate clothing (including protective gloves) and sensible outdoor	Procedure adequate Keep under review			

cuts from thorns, Wasp & Bee nests				clothing and footwear, keeping hands, arms and legs covered. Volunteers/councillors should wash hands and forearms before eating, drinking, smoking or going to the toilet.				
Kerbs and walls	Injuries to operator Mower damage	L		Take care when using machinery near kerbs and walls	Procedure adequate Keep under review			
Weather	Injuries to operator	M		Wear protective clothing and clothing appropriate to season Do not cut grass following/ during heavy rainfall, wintery conditions and during high winds. Volunteers/councillors to keep hydrated	Procedure adequate Keep under review			
Violence and Aggression	Injuries to operator Injuries to Clerk	L		Volunteers/councillors should always inform a family member or friend of their intention to cut grass. Take mobile phone and call police if necessary. Avoid confrontation. Clerk must not meet with parishioners alone. Parishioners to telephone to arrange an appointment. Safeguarding measures have been implemented (PO Box, Mobile phone etc)	Procedure adequate Keep under review			
Manual Handling	Injuries to volunteers/councillors and Clerk	L		Assess before lifting. Do not lift equipment or objects that looks to heavy or bulky to handle alone. Those at significant risk (e.g. persons with a previous back injury) instructed not to lift heavy weights.	Procedure adequate Keep under review			
Display Screen Equipment	Clerk, Risk of posture problems and pain	M		Assessments of workstation to ensure good posture, avoid glare and	Procedure adequate Keep under review			

				reflections Take regular breaks away from computer				
Lone Working	Clerk, injury or ill health	L		Volunteers/councillors should always inform a family member or friend of their intention to volunteer and advise where they will be. Take mobile phone and call for help if necessary Regular contact via phone and email Parishioners to arrange appointment Clerk to meet with parishioners with a councillor present.	Procedure adequate Keep under review			
Stress	Clerk	L		Understand Role and Duties Regular Training Employment Review	Procedure adequate Keep under review			
Reputation	Clerk/Councillors/ Parish Council	M		Follow Code of Conduct, Standing Orders, Financial Regulations and all adopted policies	Procedure adequate Keep under review			

**Risk Assessment Matrix**

		IMPACT		
		Negligible (1)	Moderate (2)	Severe (3)
LIKELIHOOD	Highly likely (3)	3	6	9
	Possible (2)	2	4	6
	Unlikely (1)	1	2	3