CHILDSWICKHAM PARISH COUNCIL

Risk Management Policy and Risk Register
Adopted 09/05/24
Last updated 01/05/25

"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.

The Parish Council will review this policy annually (in May) or as is necessary and appropriate.

		Actual					Residual		
Topic	**Possible Risks**	**Likelihood**	**Severity**	**Risk**	**Management/Mitigation**	**Review/Assess/Revise**	**Likelihood**	**Severity**	**Risk**
Lengthsman / Contractors									
Working on or near highway	Slips, trips, falls	2	2	4	Ensure correct PPE worn and in good condition. Appropriate footwear.	Training with WCC Highways Department.	1	2	2
	Collision with motor vehicles	2	3	6	Hi Viz jacket to be worn. Vehicle parked at suitable position and road warning signs positioned at suitable locations. Work to be carried out only on highways conforming with WCC guidance.		1	2	2
Use of power tools	Injury to self and public	2	3	6	Correct PPE to be worn when operating power tools. Appropriate training to have taken place as necessary. Warning signs positioned at suitable locations.	Existing procedures adequate.	1	2	2
Competency	Inappropriate actions	1	3	3	Training with WCC Highways Department.	Review with annual contract for services.	1	1	1
Insurance	Claims	2	3	6	Ensure Lengthsman has appropriate Public Liability Insurance	Review with annual contract for services.	1	1	1
Financial									
Business continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	1	3	3	The Clerk makes regular back-ups of files to Cloud Storage. In the event of the Clerk being indisposed the Chairman to contact the County Association of Local Councils for advice.	Appropriate back-up arrangements in place. Review plan when necessary.	1	2	2
	Loss of Clerk or loss of Council papers / electronic records	2	3	6			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.	Existing procedures adequate	1	1	1
	Requirements not submitted to District Council	1	2	2	Once the Council has formally agreed the level of precept required the Clerk requests this amount from the District Council.		1	1	1
	Amount not received by District Council	1	2	2	The Clerk informs Council when precept income is received.		1	1	1
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.	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.	Existing procedures adequate.	1	1	2
	Bank mistakes	1	3	3	The Clerk reconciles the bank accounts monthly to ensure transactions are correctly reflected in the financial information presented to the council.	Review Financial Regulations annually.	1	2	2
	Loss	1	3	3	The Clerk reviews the Councils banking arrangements regularly.	Review bank signatory list as required, especially after Annual Council Meeting and after an election.	1	2	2
	Charges	2	2	4		Reconcile accounts and bank statements Monthly and present to Council.	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 by any staff.	Existing procedures adequate.	1	2	2
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	The Council has Financial Regulations which set out the required processes.	Existing procedure adequate	1	1	1
Reporting and auditing	Provision of monitoring information.	1	2	2	A budget monitoring statement is produced monthly and reported for approval to the Council. The statement includes, bank reconciliation, budget update, and a breakdown of receipts and payments balanced against the bank statements.	Existing reporting procedures are adequate.	1	1	1
	Compliance	2	2	4	Council should regularly audit internally to check procedures and comply with the Fidelity Guarantee.	Council annually to appoint an Internal Auditor	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	The Council has Financial Regulations which set out the underlying requirements.	Existing procedures adequate.	2	1	2
Orders and invoices	Incorrect invoicing	2	2	4	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
Debts	Loss of stock	1	2	2	The Council carries minimal stocks, which are checked and monitored regularly by the Clerk.		1	1	1
	Unpaid invoices	2	1	2	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	Existing procedure adequate.	1	1	1
	Authorisation of Council and recording of decision	1	2	2	All such expenditure is considered by Council for approval and minuted accordingly. If payment is made using the S137 power, this is recorded specifically. Grants and Donations Policy.	Parish Councillors record S137 payments when required.	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 payable	Payments of charges, leases, rentals	1	1	1	The Parish Council does not currently lease any property or equipment from a third party.	N/A.	1	1	1
Charges – rentals receivable	Receipt of rental	1	1	1	The Parish Council does not currently receive any rental or lease payments	N/A.	1	1	1
Operational Management									
Value for money	Work awarded incorrectly	2	2	4	Financial Regulations specify the procedures for procuring goods and services.	Existing procedures, contained within Financial Regulations, are adequate.	1	1	1
Accountability	Overspend on services	2	2	4	If problems are encountered with a contract or a service, the Clerk would investigate, check the relevant circumstances and report to Council.		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.	Existing systems include adequate controls.	1	2	2
	Wrong deductions of NI or Tax	2	2	4	HMRC software templates are used for payroll calculations.		1	2	2
	Unpaid Tax & NI contributions to HMRC	2	2	4	Tax and NI is calculated using the HMRC Basic PAYE Tools programme (updated annually). 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.	Monitor working conditions, safety requirements and Insurance regularly.	1	2	2
	Actions undertaken	1	3	3	The Clerk is provided with access to relevant training, reference books and legal advice required to undertake the role.	Existing procedures adequate.	1	1	1
	Health & Safety	2	3	6	Annual appraisal interviews are carried out. Employment policies in place.		1	2	2
Disruption to service	Loss of quorum	2	1	2	Standing Orders specify the number of Councillors for a quorum and the Clerk will make arrangements for a new meeting of the Council.	Existing procedures adequate.	1	1	1
	Loss of Councillors	2	2	4	Ensure all councillor vacancies filled where possible through co-option. Appoint Vice-Chair for resilience. Follow-up Councillors not attending meetings. District Council can intervene if low councillor number prevent meetings being called.	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.	1	1	1
Minutes, agendas, notices, statutory documents	Accuracy and legality	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
	Business conduct	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 a qualified clerk.	Members to adhere to Code of Conduct.	1	1	1
Insurance	Adequacy	2	3	6	An annual review is undertaken (at time of policy renewal) of all insurance arrangements.	Existing procedure adequate.	1	2	2
	Cost	2	2	4	Employers and Employee liability insurance is a necessity.	Review insurance provision annually.	1	2	2
	Compliance	2	3	6	Ensure compliance measures are in place.		1	2	2
	Fidelity Guarantee	2	3	6	Ensure Fidelity checks are in place.		1	2	2
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 at the village hall. The premises and facilities are considered to be adequate for the Clerk, Councillors and Public who attend from both a Health and Safety, DDA and comfort perspective.	Existing locations adequate.	1	1	1
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.	Existing procedure adequate.	1	2	2
	Working Parties taking decisions	3	2	6	Ensure established with clear terms of reference.		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 County 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
	Loss of income or performance	2	1	2	All assets are insured and reviewed annually.		1	1	1
	Risk to third parties	2	2	4			1	2	2
Trees	Risk to public from parish council owned trees	2	3	6	Annual and three-yearly tree inspection regime	Exisiting procedures adequate	2	1	2
Hedges	Obstruction to public footways	2	1	2	Annual maintenance plan for hedges	Exisiting procedures adequate	1	1	1
Play areas	Injury from defective or poorly maintained play equipment	2	3	6	Annual and monthly play area inspections. Ensuring any identified work is undertaken promptly	Adopt policy for play area inspections	1	3	3
	Reputational harm from poor maintenance	2	2	4	Inspection schedule and maintenance schedule followed, ensuring any identified work is undertaken promptly		1	1	1
	Loss of income or performance	2	1	2	All assets are insured and reviewed annually.		1	1	1
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.	Damage (apart from fire) and theft is unlikely and so provision adequate. Deeds/leases are copied and stored off-site.	2	1	2
Council records - electronic	Loss through theft, fire or damage	2	2	4	The Parish Council's electronic records are stored on the Clerks laptop computer. Back-ups of the files are taken weekly onto independent storage device and monthly to cloud storage.	Computer records are backed up weekly.	2	1	2
	Corruption of computer	2	2	4	Good practice management of all passwords.		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	2
Party political interests	Councillors seen to pursue party political interests at expense of parishioners	2	2	4	No councillors sought election or co-option on the basis of any party political affiliation; all councillors participate in meetings on a personal basis.	Existing procedure adequate.			
Councillor allowances	Councillors over-paid Income tax deduction	1	1	1	No allowances are paid to Parish Councillors	No procedure required	1	1	1
	Real or apparent benefit financially from membership of the council	2	2	4	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
Reputational risks	Reputational damage to the council if associated with a dangerous, illegal or immoral activity	2	3	6	All decisions to be taken in consultation with the qualified Clerk or by seeking additional professional opinion if deemed appropriate. All decisions taken in accordance with approved policies.	Existing procedure adequate.	1	2	2
	Members (or employees) do not behave to the standards expected	2	3	6	Code of conduct for Members applied adopted and applied. Grievance and Disciplinary policies are in place and reviewed annually. Meeting conduct to be manged by the Chairman in accordance with Standing Orders.	Existing procedure adequate.	1	2	2

Risk Assessment Matrix

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