

Pulborough Parish Council

Risk Management Policy and Risk Register

Reviewed on 22/05/2025

"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.

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

Topic	Possible Risks	Actual			Management/Mitigation	Review/Assess/Revise	Residual		
		Likelihood	Severity	Risk			Likelihood	Severity	Risk
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/RFO makes regular back-ups of files to Cloud Storage. In the event of the Clerk being indisposed the Chairman to contact the Sussex Association of Local Councils for advice. Passwords for all systems held in secure location by the external IT company encrypted.	Appropriate back-up arrangements in place.	1	2	2
	Loss of Clerk/RFO or loss of Council papers / electronic records	2	3	6		Review plan when necessary.	2	1	2

Precept	Adequacy of precept	2	2	4	<p>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.</p> <p>The Clerk/RFO informs Council when precept income is received. Should the full amount not be received Clerk will liaise directly with District Council.</p>	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
Financial Records	Inadequate records	1	2	2	<p>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. Every month, the Clerk, produces up to date statement of accounts through the Finance & Policy meeting with a profit and loss statement. This is agreed and noted by the committee.</p>	Existing procedure adequate.	1	1	1
	Financial irregularities	1	3	3		Review the Financial Regulations at yearly intervals.	1	2	2
Bank and Banking	Inadequate checks	2	3	6	The Council has Financial	Existing procedures	1	1	2

	Bank mistakes	1	3	3	Regulations which set out the requirements for banking, cheques and reconciliation of accounts.	adequate.	1	2	2
	Loss	1	3	3	The Clerk/RFO reconciles the bank accounts monthly to ensure	Review Financial Regulations annually.	1	2	2
	Charges	2	2	4	transactions are correctly reflected in the financial information presented to the council. The Clerk/RFO reviews the Councils banking arrangements regularly. Banking payments presented to signatories for reconciliation and signature before any payment is made. Dual authorisation is used to mitigate the issue.	Review bank signatory list as required, especially after Annual Council Meeting and after an election. Reconcile accounts and bank statements monthly and present to the correct committee.	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. Indemnity insurance is in place of the maximum amount held within the bank account. 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
Annual Return	Submit within time limits.	2	2	4	Annual Return is completed and approved by the Council in April/May and submitted to the	Existing procedures adequate	1	1	1

					external auditor on time (or an exemption certificate is signed and returned if appropriate). Internal Auditor completes the relevant paperwork and is booked months in advance. The RFO ensures that he is aware of the relevant deadline via training and reviewing the external audit guidance.				
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 Debts	Incorrect invoicing	2	2	2	At each Council meeting the list of invoices awaiting approval is distributed to Councillors for consideration and approval. Unpaid invoices to the Council are pursued and where possible, payment is obtained in advance.	Review the Financial Regulations annually.	2	1	2
	Unpaid invoices	1	2	2			2	1	2
Grants payable	Power to pay	1	2	2	Council reviews compliance with the criteria to use the GPC.	Existing procedure adequate.	1	1	1
	Authorisation of Council and recording of decision	1	2	2	All such expenditure is considered by Finance & Policy and then Council for approval and minuted accordingly. If payment is made using the S137 power, this is recorded specifically.	Parish Councillors record S137 payments when required.	1	1	1
Grants - receivable	Receipts of Grant	1	2	2	Grants are dealt with within the	Receipt of one-off grants	1	1	1

					specifically defined terms and conditions and are itemised explicitly in the accounts presented to the Council.	recorded through control ledger account which are then minuted.			
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 Deputy Clerk in line with relevant Terms and Conditions.	Existing procedure adequate.	1	1	1
Operational Management									
Value for Money	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
Accountability	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.	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	Rates of pay are linked to national terms and conditions, in majority.		1	2	2
					Pulborough Parish Council use WSCC to complete their payroll who calculate 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. Appointed Cllr reviews RFO's management, RFO & Chair communicate to respond to unexpected circumstances.	2	1	2
	Fraud	1	3	3			1	2	2
	Actions undertaken	1	3	3	The council carries Fidelity Guarantee insurance with regard to fraud or staff actions. The Clerk/RFO is provided with access to relevant training, reference books and legal advice required to undertake the role. Annual appraisal interviews are carried out. Employment policies in place.	Monitor working conditions, safety requirements and insurance regularly. Existing procedures adequate.	1	1	1
	Health & Safety	2	3	6			1	2	2
IT Security	Hacking / Data Breach	1	3	3	The Council have employed a robust data back up to ensure that data is restorable in 24 hours and held in an offsite location. Virus protection is part of our system. Emails are scanned by anti-spam software. All information is stored in the cloud.	Existing procedures adequate, monitored by the Clerk and RFO.	1	2	2
	Email Spam	2	2	4			2	1	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. Any illegal activity or payments identified will be notified to the relevant bodies.	All powers appropriately considered and minutes.	1	1	1
Minutes, agendas, notices, statutory	Accuracy and legality business conduct	2	2	4	Minutes and agendas are produced in the prescribed form by the Clerk and	Existing procedure adequate. Guidance/training is available to	1	1	1

documents		2	2	4	adhere to legal requirements. 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 possesses the CiLCA qualification.	the Chair. 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		Review insurance provision annually.	1	2	2
	Compliance	2	3	6	The schedule is always sent to the Council in advance so that it can be approved. Fidelity is checked by the auditor yearly.		1	2	2
	Fidelity Guarantee	2	3	6			1	2	2
Data protection	Policy	2	2	4	The Council is registered with the Information Commissioner. Data protection policies in place. Staff receive training relevant to their role in ensuring the protection of data. Cllrs are reminded of not sharing personal data inappropriately.	Ensure annual renewal of training and registration of ICO and review the data protection policy when required.	2	1	2
	Provision	2	2	4			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			1	1	1
Meeting location	Health & Safety	2	1	2	A visual inspection is made at each meeting location to ensure there is nothing that would have an adverse	Existing procedure adequate.	1	1	1

					impact on those attending.				
Allotments and access roads	Failure of tenants to use and maintain plots	2	2	4	Inspection of individual plots and monitoring is conducted regularly on 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 an officer responsible for the supervision of the allotments.	1	1	1
	Risk to third parties	1	3	3	Annual review of Tenancy Agreement and Terms and Conditions.	Where contractors are used ensure that they have proper qualifications and insurance.	1	2	2
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
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 Sussex 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.	Existing procedures adequate.	1	2	2
	Proper and timely reporting via Minutes	2	1	2			1	1	1
	Proper document control	2	1	2	The Council will always receive and approves Minutes at monthly Council meetings.		1	1	1

					Document Retention Policy is in place and filing is completed frequently.				
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. An asset register is kept up to date and insurance value is held at the appropriate level for all items.	Existing procedure now adequate	1	1	1
	Risk/damage to third parties/property	1	3	3			1	2	2
Maintenance	Poor performance of assets or amenities.	2	3	2	All assets owned by the Council are regularly reviewed and maintained.	Existing procedure now adequate. Ensure timely inspections carried out.	2	1	2
	Risk to third parties	2	3	4	All repairs and relevant expenditure for these repairs are actioned/authorised in accordance with the procedures agreed by the Council. All assets are insured and reviewed annually.		2	1	1
Council records - paper	Loss through theft, fire or damage	2	2	4	The Parish Council’s current records are stored at the Village Hall, most are digital. These are backed up by the cloud. 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. Deeds and conveyances are lodged for safekeeping on cloud backups.	Damage (apart from fire) and theft is unlikely and so provision adequate. Deeds/leases are copied and stored on-site.	2	2	2

Village Greens and Parish Land	Village Recs	2	3	6	<p>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.</p> <p>The Council is also responsible to monitor the vehicular accesses across Village Greens and Parish Land.</p>	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 conduct inspections where necessary of the areas and record its findings. Insurance to cover trespass and damage to property.	2	2	2
	Other land in the ownership of the Council	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. 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 shelters, 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. Ensure that the Council's liability insurance is adequate.	1	1	2
Council records - electronic	Loss through theft, fire or damage	2	2	4	The Parish Council's electronic records are stored on multiple PC's.	Computer records are backed up immediately.	2	1	2
	Corruption of computer	2	2	4	<p>Back- ups of the files are taken immediately onto an independent cloud service.</p> <p>Good practice management of all passwords.</p>		2	1	2
Propriety and Reputation									
Members interests	Conflict of interest	2	2	4	The declaration of interests by Members at meetings is a standing item	Existing procedure adequate.	1	2	2

	Register of Members interests	1	3	3	to remind Councillors of their duty. Register of Members Interest forms should be reviewed regularly by Councillors.	Members take responsibility to update the Register.	1	2	2
Councillor allowances	Councillors over-paid	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 should be 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.	2	1	2	Staff/councillors to inform Clerk of any Health and Safety concerns. Keep work areas clear. Staff/councillors to tell someone where they are working. Staff/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	1	1	1
Road and the surrounding areas	Traffic accidents, damage to vehicles, injuries to staff/Councillors and	2	2	4	Check for stones and debris before mowing. Grass Cutting should not be undertaken	Procedure adequate, keep under review	1	2	2

	injures to members of the public				<p>within close, unguarded proximity to roads or areas where there are moving vehicles if the volunteer assesses the area to be unsafe.</p> <p>Be aware that debris emerging from mowers can contain stones etc. Direct stream away from roads and parked cars.</p> <p>The truck is to be assessed for any defects before driving.</p> <p>Vehicle Policy signed by all members of staff.</p>				
Debris, litter, stones	Injuries to Staff/Councillors or injures to members of the public	1	1	1	<p>Clear debris of machinery before and after work.</p> <p>Wear personal protective clothing including appropriate footwear and when strimming wear protective faceguard/visor.</p>	Procedure adequate, keep under review	1	1	1
Insurance	Damage to machinery	2	1	2	The Parish Council nor its insurance company will not accept liability for damage to machinery.	Procedure adequate, keep under review	2	1	2
Sharp objects e.g. nails, needles, glass	Injuries to Staff/Councillors	1	2	2	<p>Staff/Councillors to wear strong, covered footwear with adequate grip.</p> <p>Heavy duty gloves to be worn when working in areas with overgrowth.</p> <p>If discovered, needles must not be picked up or touched under any circumstances. Make a note of the location and report it to Horsham</p>	Procedure adequate, keep under review	1	1	1

					District Council.				
Hygiene and potential contact with Bio Hazards e.g. faeces, vomit and used condoms	Injuries to Staff/Councillors	1	2	2	<p>If discovered, do not attempt to clean up. Make a note of the location and report it to Horsham District Council</p> <p>Staff/councillors to cover any cuts, however minor, with surgical tape or waterproof plasters.</p> <p>Staff/councillors to wash hands before eating, drinking and smoking.</p>	Procedure adequate, keep under review			
Contamination from chemicals	Injuries to Staff/Councillors	1	3	3	<p>If discovered, do not attempt to clean up. Make a note of the location and report it to Horsham District Council</p>	Procedure adequate, keep under review	1	2	2
People	Injuries to Staff/Councillors	1	2	2	<p>Stop machines if people come within 5 metres.</p> <p>Avoid confrontations. Call police or wardens if necessary</p> <p>Staff/Councillors to tell someone where they are working and take a mobile phone with them.</p>	Procedure adequate, keep under review	1	2	2
Lack of awareness e.g. A person taking unnecessary risks resulting in injury	Injuries to Staff/Councillors or members of the public	1	2	2	<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>	Procedure adequate, keep under review	1	2	2
Trees	Low branches or falling limbs	2	3	6	<p>The Groundman checks trees regularly.</p> <p>Tree surveys are conducted twice yearly by a professional organisation.</p>	Procedure adequate, keep under review	1	2	2

					The Clerk should be informed of any required work to trees				
Machinery/Tools	Injuries to operator/ members of the public	2	3	6	<p>Read and follow manufacturer’s instructions for operation and safety. Maintain the machine to good working order.</p> <p>Check the machine before using it. Do not use a defective machine.</p> <p>Switch machinery off before carrying out maintenance and adjustments.</p> <p>Staff/Councillors must be capable of understanding instructions.</p> <p>The use of chainsaws or spraying equipment is not permitted unless trained.</p>	Procedure adequate, keep under review	1	2	2
Natural Hazards including pollen, dangerous plants cuts from thorns, wasp & bee nests	Injuries to Staff/Councillors	2	1	2	<p>Staff/Councillors should wear appropriate clothing (including protective gloves) and sensible outdoor clothing and footwear, keeping hands, arms and legs covered.</p> <p>Staff/Councillors should wash hands and forearms before eating, drinking, smoking or going to the toilet.</p>	Procedure adequate, keep under review	2	1	2
Kerbs and walls	Injuries to operator or mower damage	1	1	1	Take care when using machinery near kerbs and walls	Procedure adequate	1	1	1
Weather	Injuries to operator	2	1	2	<p>Wear protective clothing and clothing appropriate to the season.</p> <p>Do not cut grass following/ during heavy rainfall, wintery conditions and</p>	Procedure adequate, keep under review.	1	1	1

					during high winds. Staff/Councillors to keep hydrated.				
Violence and Aggression	Injuries to Staff/Councillors	1	3	3	Take your mobile phone and call police/wardens if necessary. Avoid confrontation. Safeguarding measures have been implemented (PO Box, Mobile phone etc)	Procedure adequate, keep under review	1	2	2
Manual Handling	Injuries to staff/Councillors	3	2	6	Training provided which entails an assess before lifting procedure. 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	2	1	2
Display Screen Equipment	Injuries to staff	1	2	2	Assessments of workstation to ensure good posture, avoid glare and reflections. Take regular breaks away from computer.	Procedure adequate, keep under review	1	1	1
Lone Working	Injuries to staff/Councillors	2	2	4	Staff/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.	Procedure adequate, keep under review	1	2	2
Stress	Injuries to	3	2	6	Regular welfare meetings and	Procedure adequate, keep	2	1	2

	staff/Councillors				appraisals. Employment review, when required.	under review			
Reputation	Clerk/Councillors/ Parish Council	2	2	4	Follow Code of Conduct, Standing Orders, Financial Regulations and all adopted policies.	Procedure adequate, keep under review	1	1	1