

**Pulborough Parish Council**

**Risk Management Policy and Risk Register**

**Adopted on N/A**

*“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	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	The Council regularly receives budget update information throughout 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. Should the full amount not be received Clerk will liaise directly with District Council.				
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 yearly intervals. 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. Banking payments presented to Chair or Vice Chair of that Committee for reconciliation, although it must be signed off by at least one signatory.	Existing procedures adequate.	1	1	2
	Bank mistakes	1	3	3		Review Financial Regulations annually.	1	2	2
	Loss	1	3	3		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	1	3	3	The Council has Financial	Existing procedures	1	2	2

	dishonesty				Regulations which set out the requirements for the handling of cash. No petty cash or cash float is held by any staff.	adequate.			
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 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. 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.	Existing procedures adequate.	2	1	2
Orders and invoices	Incorrect invoicing	2	2	2		Review the Financial Regulations annually.	2	1	2
Debts	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 at its	Existing procedure adequate.	1	1	1

	Authorisation of Council and recording of decision	1	2	2	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.	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 receivable	Receipt of rental (allotments)  Sports and social club MUGA	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
<b>Operational Management</b>									
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/RFO 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	Payroll company is employed for payroll calculations, tax and NI.		1	2	2
	Unpaid Tax & NI contributions to HMRC	2	2	4	All staff have a contract of employment and job description.		1	2	2

					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. 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.	Existing procedure adequate. Appointed Cllr reviews RFO's management, RFO & Chair communicate to respond to unexpected circumstances. Monitor working conditions, safety requirements and Insurance regularly. Existing procedures adequate.	2	1	2
	Fraud	1	3	3			1	2	2
	Actions undertaken	1	3	3			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 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. Minutes are approved and signed at the	Existing procedure adequate. Guidance/training is available to the Chair Members to adhere to Code of	1	1	1
		2	2	4			1	1	1

					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.	Conduct.			
Insurance	Adequacy	2	3	6	An annual review is undertaken (at time of policy renewal) of all insurance arrangements.	Existing procedure adequate. Review insurance provision annually.	1	2	2
		2	2	4	Employers and Employee liability		1	2	2
	2	3	6	insurance is a necessity. Ensure	1		2	2	
	2	3	6	compliance measures are in place. 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. Staff receive training relevant to their role to ensure protection of data. Cllrs are reminded of not sharing personal data inappropriately.		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	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 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 and Terms and Conditions.	Where contractors are used ensure that they have proper qualifications and insurance; confirmation of this should be minuted.	1	2	2
<b>Liability</b>									
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 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
<b>Assets</b>									
Assets (including noticeboards and	Loss or Damage	2	2	4	An annual review of assets is undertaken for insurance provision,		1	1	1

street furniture)	Risk/damage to third parties/property	1	3	3	storage and maintenance purposes. An asset register is kept up to date and insurance is held at the appropriate level for all items.	Existing procedure now adequate	1	2	2
Maintenance	Poor performance of assets or amenities.	2	3	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. All assets are insured and reviewed annually.	Existing procedure now adequate. Ensure timely inspections carried out.	2	1	2
	Risk to third parties	2	3	4			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. 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 with Solicitors acting for the Council.	Damage (apart from fire) and theft is unlikely and so provision adequate. Deeds/leases are copied and stored on-site.	2	1	2
Village Greens and Parish Land	Village Recs	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 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; 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 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 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 PCr. Back-ups of the files are taken immediately onto independent cloud service. Good practice management of all passwords.	Computer records are backed up immediately.	2	1	2
	Corruption of computer	2	2	4			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 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	1	3	3			1	2	2
Councillor allowances	Councillors over-paid	1	1	1	No allowances are paid to Parish Councillors Register gifts and hospitalities.	No procedure required	1	1	1
	Income tax deduction	2	2	4			1	1	1
	Real or apparent benefit financially from membership of								

	the council								
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.				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			
Road and the surrounding areas	Traffic Accidents Damage to vehicles Injuries to staff/councillors Injures to members of the public	L			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 Staff/councillors Injures to members of the public	M			Clear debris before and after work Direct stream away from persons Wear Personal Protective Clothing including covered footwear and when strimming wear protective faceguard/visor.	Procedure adequate Keep under review			
Insurance	Damage to machinery	M			The Parish Council nor its insurance	Procedure adequate			

				company will not accept liability for damage to machinery.	Keep under review			
Sharp objects e.g. nails, needles, glass	Injuries to Staff/councillors	M		Staff/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 Horsham District Council	Procedure adequate Keep under review			
Hygiene and potential contact with Bio Hazards e.g. faeces, vomit and used condoms	Injuries to Staff/councillors	M		If discovered, do not attempt to clean up. Make a note of the location and report it to Horsham District Council Staff/councillors to cover any cuts, however minor, with surgical tape or waterproof plasters. Staff/councillors to wash hands before eating, drinking and smoking.	Procedure adequate Keep under review			
Contamination from chemicals	Injuries to Staff/councillors	L		If discovered, do not attempt to clean up. Make a note of the location and report it to Horsham District Council	Procedure adequate Keep under review			
People	Injuries to Staff/councillors or members of the public, assault	M		Stop machines if people come within 5 metres. Direct stream from mower/strimmer away from people Avoid confrontations. Call police if necessary Staff/councillors to tell someone where they are working and take a mobile phone with them Wear personal protective clothing including covered footwear and a faceshield/visor when strimming Do not operate a machine while tired, whilst under the influence of alcohol, drugs or medication.	Procedure adequate Keep under review			

				Read and follow manufacturer's instructions for operation and safety. Staff/councillors must be fit and able				
Lack of awareness e.g. A person taking unnecessary risks resulting in injury	Injuries to Staff/councillors or members of the public	L		Do not operate a machine while tired, whilst under the influence of alcohol, drugs or medication. Read and follow manufacturer's instructions for operation and safety. Staff/councillors must be fit and able	Procedure adequate Keep under review			
Trees	Low branches Falling limbs	L		The Groundman to check trees regularly, Inform Clerk of any required work to trees	Procedure adequate Keep under review			
Machinery/Tools	Injuries to operator/ members of the public	M		Read and follow manufacturer's instructions for operation and safety. Maintain the machine to good working order. Check the machine before using it. Do not use a defective machine. Switch machinery off before carrying out maintenance and adjustments Staff/councillors must be capable of understanding instructions The use of chainsaws or spraying equipment is not permitted unless trained.	Procedure adequate Keep under review			
Natural Hazards including pollen, dangerous plants cuts from thorns, Wasp & Bee nests	Staff/councillors	M		Staff/councillors should wear appropriate clothing (including protective gloves) and sensible outdoor clothing and footwear, keeping hands, arms and legs covered. Staff/councillors should wash hands and forearms before eating, drinking, smoking or going to the toilet.	Procedure adequate Keep under review			
Kerbs and walls	Injuries to operator	L		Take care when using machinery near	Procedure adequate			

	Mower damage			kerbs and walls	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. Staff/councillors to keep hydrated	Procedure adequate Keep under review			
Violence and Aggression	Injuries to operator Injuries to Clerk	L		Take mobile phone and call police if necessary. Avoid confrontation. 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 staff/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 reflections Take regular breaks away from computer	Procedure adequate Keep under review			
Lone Working	Clerk, injury or ill health	L		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 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