



## WIVELSFIELD PARISH COUNCIL RISK ASSESSMENT SCHEDULE

Reviewed and Re-Adopted at the Meeting of 7 February 2022

	<p><u>Definition of Risk Management</u>  Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements.  Audit Commission – Worth the Risk: Improving Risk Management in Local Government (2001:5)</p>				
	<p>This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. The Council is aware that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic and focused approach to managing risk, which:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Identifies the subject</li> <li><input type="checkbox"/> Identifies what the risk may be</li> <li><input type="checkbox"/> Identifies the level of risk</li> <li><input type="checkbox"/> Evaluates the management and control of the risk and records findings</li> <li><input type="checkbox"/> Reviews, assesses and revises procedures if required.</li> </ul>				
<b>MANAGEMENT</b>					
Subject	Risk(s) Identified	Probability	Impact	Management/Control of Risk	Review/Assess/Revise
Business Continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	L	H	All files and recent records are kept at the Parish Council Offices. The Clerk uses OneDrive which provides automatic remote back-ups to a 'cloud'.	Review when necessary Ensure procedures below are undertaken
Meeting location	Adequacy Health and Safety	L	L	Meetings are held in the Renshaw Room at Wivelsfield Village Hall. The Clerk, Chairman and Vice-Chair	Existing procedure adequate

				hold keys for access to the building. All the premises and facilities are considered to be adequate from a health and safety and comfort perspective for the Clerk, Councillors and any members of the public who attend.	
Council Records (physical)	Loss through theft, fire, damage	L	H	Papers, both current and archived will be held in a locked fire proof metal cabinet at the Council office.	Damage or theft is unlikely and so provision adequate.
Council Records (electronic)	Loss through damage, fire, corruption of computer	L	H	The Parish Council's electronic records are stored on the Council's computer. Back-ups of the files are made automatically via OneDrive (general documents) and SageDrive (accounts package).	Existing procedure adequate.
Safety During Covid-19 Pandemic	Safety of Clerk	L	H	When in office Clerk will have a mask and hand sanitiser ready for use when needed.	Existing procedures adequate
	Safety around attendance of meetings	L	L	No members or the Clerk to attend meetings if they have recently tested positive for covid 19 or are suffering with any covid 19 symptoms.	
		L	L	Chairs for any visiting residents to be placed in a socially distanced way.	
<b>FINANCE</b>					
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>		<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
Precept	Adequacy of precept	L	M	Sound budgeting to underlie annual precept. The Parish Council receives quarterly budget update information and detailed budgets in the late autumn. The precept is an agenda item at the December or January meetings.	Existing procedure adequate

Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	H M L L	An annual review is undertaken of all insurance arrangements. Employers Liability, Public Liability and Fidelity Guarantee are statutory requirements.	Existing procedure adequate Review provision and compliance annually
Banking	Inadequate checks  Loss of money in the event of failure of a bank	L  L	H  H	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts.	Existing procedures adequate Review Financial Regulations as necessary
Cash	Loss through theft or dishonesty	L	L	The Council has a small petty cash float of £30 maintained on an imprest basis. Receipts are retained and top-ups obtained as required.	Existing procedures adequate
Financial controls and records	Inadequate checks	M	H	Monthly reconciliation prepared by RFO and checked by members of the council. Dual authorisation set up on bank accounts. Internal and external audit. Any financial obligation must be resolved and clearly minuted before any commitment, (other than where the Clerk has delegated authority to make purchases, which are subsequently reported to and ratified by Council). All payments must be resolved and clearly minuted. Any s137 payments must be recorded at time of approval.	Existing procedures adequate
Freedom of Information Act	Policy Provision	M	M	The Council has a model publication scheme for Local Councils in place. The Clerk is aware that if a substantial request arrives then this may require many hours of additional work. The Council is able to request a fee if the work will take over 15 hours. However the	Monitor and report any requests made under Freedom of Information Act.

				request can be resubmitted, broken down into sections, thus negating the payment of a fee.	
Clerk	Loss of clerk	L	H	Two month notice period in place in case of resignation to allow for recruitment of and handover to new clerk. Day to day financial procedures (and ideally non financial procedures) to be written as a guide to any replacement/ locum. The requirements of Fidelity Guarantee insurance must be adhered to.	Membership of SLCC maintained Monitor working conditions
	Fraud	L	H	Clerk should be provided with relevant training, reference books, access to assistance and legal advice.	
	Actions undertaken	L	M	The Clerks' monthly salaries are calculated by Simon Goacher's Payroll Service and approved at monthly Council meetings. DM Payroll has been contracted to take over from S Goacher when he retires at the end of March.	
	Salary paid incorrectly	L	L		
Election Costs	Risk of election cost	M	M	Risk is higher in an election year. There are no measures which can be adopted to minimise risk of having a contested election. An earmarked reserve has been established to meet the costs.	Include £1000 per year in budget (when necessary) to build up reserve for election every four years (any interim election costs to be taken from reserves).
VAT	Re-claiming/ charging	L	M	The Council has financial regulations which set out the requirements.	Existing procedures adequate
Annual return	Not submitted within time limits	L	M	Annual return is completed and signed by the Council, submitted to the Internal Auditor for completion and signing, then checked and sent on to the External Auditor within time limit	Existing procedures adequate

ASSETS					
Subject	Risk(s) Identified	H/M/L		Management/Control of Risk	Review/Assess/Revise
Street furniture and council owned property	Damage to council property	L	M	An asset register is kept up to date and insurance is held at the appropriate level for all items.	Existing procedures adequate, however regular asset inspections need to be re-introduced.
Street Lighting	Damage from vehicular impact etc	L	M	As there is minimal history of damage to street lights, the Council considers this to be a low risk and therefore NOT cost effective to insure	
Playground Equipment	Theft, damage or vandalism	L	M	Insurance cover in place.	
	Accident or injury or Death due to damaged or defective equipment	L	H	Lewes District Council contracted to undertake monthly play area inspections to identify issues  Additional comprehensive annual inspection carried out	
LIABILITY					
Subject	Risk(s) Identified	H/M/L		Management/Control of Risk	Review/Assess/Revise
Legal Powers	Illegal activity or payments	L	M	All activity and payments made within the powers of the Parish Council (not ultra vires) and to be resolved and clearly minuted.	Existing procedures adequate
	Working Parties taking decisions	L	L	Working Groups to have clear terms of reference. No working group to make decisions without full Council approval, (unless specific delegated authority given).	Terms of reference to be drawn up when new working groups are convened.
Minutes/ Agendas/ Statutory documents	Accuracy and legality Non compliance with statutory requirements	L L L	L L M	Minutes and agendas are produced in the prescribed method and adhere to legal requirements Minutes are approved and signed at next meeting Minutes and agendas are displayed according to legal requirements	Existing procedures adequate Undertake adequate training

				Business conducted at Council meetings should be managed by the Chairman.	Members to adhere to Code of Conduct
Public Liability	Risk to third party, property or individuals	L	H	Insurance is in place. Risk assessment of any individual event undertaken	Existing procedures adequate
Employer Liability	Non compliance with employment law	L	H	Undertake adequate training and seek advice from ESALC and/or AiRS.	Existing procedures adequate
Legal Liability	Legality of activities	L	H	Clerk to clarify legal position on proposals and to seek advice if necessary Council receives and approves minutes at monthly meetings Retention of documents advice as per NALC Legal Topic Note 40 followed	Existing procedures adequate
	Proper and timely reporting via Minutes	L	L		Existing procedures adequate
	Proper documents	L	L		
Data Protection	Failure to comply with new General Data Protection Regulations	L	H	Independent external Data Protection Officer has been appointed, has run training for the Council, undertaken a review of Council documents/processes and is available for ongoing advice and guidance as necessary.	Work ongoing to ensure compliance (eg sorting through paperwork and addition of new policies as required)

### HEALTH & SAFETY

Subject	Risk(s) Identified	H/M/L		Management/Control of Risk	Review/Assess/Revise
Office	Electrical safety of equipment	L	H	Regular portable appliance testing (PAT)	Adequate
	Trip hazards	L	H	New office will be arranged to minimise trip hazards.	
Safety of Clerk Working Alone in new PC office	Risk of personal attack  Risk of being taken ill /falling			Office door locks automatically and can only be opened from the inside. Windows in door allow Clerk to see who is waiting outside.  Some form of alarm suggested – to be explored.  Clerk to carry personal mobile phone when working at the office or out on site eg meeting contractors,	

	without anyone around			attending to notice boards etc  Lone working policy to be drawn up.	
Travel	Accident or injury when travelling on Parish Council business	L	H	Clerks and councillors to maintain appropriately serviced, taxed and insured vehicles.	
Health & Safety Policy	Lack of Health & Safety policy for employees/councillors to follow. Potential exposure of Council to claims for injury and inability to defend these without appropriate guidance in place.	L	M	Health and safety policy in place.	
<b>ACTIVITIES</b>					
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>		<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
Meetings	Threat of violence	L	H	Chairman to request that any individual behaving in a threatening or inappropriate manner leaves the meeting. If necessary, the meeting to be adjourned and/or the police called.	
Village Day Stand	Personal injury	L	H	Tent/marquee to be erected as directed and properly secured to the ground. All display boards to be adequately secured.	
Community Clean Up Sessions	Safety of volunteers	L	H	Volunteers to be briefed on basic health and safety requirements prior to the event.  Hi-vis vests & gloves to be supplied (as appropriate).	

				Risk assessment to be completed prior to each event. Advice, assistance and appropriate tools/traffic management to be sought from Principal Authorities where necessary.	
Twinning	Financial cost of twinning activities	L	L	Budget to be set to cover any costs associated with twinning. The twinning arrangement to be encouraged as a community venture, rather than a Parish Council led one. Intention will be for it to become self-funding with only minimal outlay from PC required (eg for welcoming visiting dignitaries).	
CCTV Project	Loss or damage to equipment	L	M	Appropriate insurance cover.	See separate risk assessments/policies.
Installation	Personal safety	L	L	Trenching machine being operated by independent contractor. Volunteers to be given safety briefing and supplied with gloves.	
Remembrance Service	Safety of attendees	L	L	Separate risk assessment drawn up. Road closure order obtained to shut road for a period of 45 minutes to ensure safety of those gathered.	See separate risk assessment.
Hall Improvement Project	Management of Contract	L	H	See separate risk assessment.	
	Financial management	L	H		
<b>COUNCILLORS PROPRIETY</b>					
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>		<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
Members Interests	Conflict of interest	L	M	Councillors have a duty to declare any interest at the start of the meeting Register of Members Interests form to be reviewed at least on an annual basis Councillors are expected to adhere to the Council's Code of Conduct	Existing procedures adequate  Members to take responsibility to update their register
	Register of Members Interests	L	L		



Councillors' conduct	Poor conduct resulting in loss of reputation	M	M	If any breaches of the Code come to light, the Clerk will investigate, liaise with the District Monitoring Officer as appropriate, and write to the Councillor in respect of their conduct	
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The information given above was agreed at the meeting of 7 February 2022, and will be updated as required and reviewed (at least) annually.