

Clawson, Hose & Harby Parish Council

RISK ASSESSMENT AND PROPOSALS FOR MANAGEMENT OF RISKS

The failure to manage risks effectively can be expensive in financial terms and also in terms of service delivery.

The objective of this document is to address the risks that the Parish Council might have to deal with. Items to be assessed include the assets and procedures of the Parish Council, employees and sub contractors. To achieve this the clerk should:

- Identify risks facing the council
- Evaluate the potential to the council of one of these risks taking place;
- Agree measures to avoid, reduce or control the risk or its consequence.

The Parish Council is responsible for the provision and maintenance of playgrounds, village greens, allotments, Long Clawson cemetery, closed churchyards (Clawson and Hose (part)), community seating, bus shelters and street lighting.

The risks can be separated into two categories;

1. HEALTH & SAFETY of employees and parishioners and
2. BUSINESS RISKS.

Although every effort has been made to encompass all risks, it cannot be seen as a definitive list and must be reviewed and updated as appropriate.

Appendix A comprises a current evaluation of Risk Assessment

RISK ASSESSMENT EVALUATION

There have been 8 steps used in carrying out the risk assessment;

- Identify the hazards
- Identify those at risk
- Identify existing control measures
- Evaluate the risk
- Decide/Implement control measures
- Record assessment
- Monitor and review
- Inform

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A risk is defined as the likelihood that a hazard will cause harm or have an impact on business. To produce a risk ranking simply multiply the likelihood by the impact, i.e. Risk = Likelihood x Impact.

After the multiplication you are left with a number from 1 to 25 which can be matched against the Residual Risk i.e. the risk that remains after the controls are in place.

Likelihood	Severity				
	1 - Very Low	2 - Low	3 - Moderate	4 - High	5 - Very High
1 - Highly unlikely	1	2	3	4	5
2 - Unlikely	2	4	6	8	10
3 - Possible	3	6	9	12	15
4 - Probable	4	8	12	16	20
5 - Certain	5	10	15	20	25

Risk Rating/Priority

- 1 Urgent Action - (Risk rating 15 - 25)
- 2 High Priority - (Risk rating 10 - 12)
- 3 Medium Priority - (Risk rating 5 - 9)
- 4 Low Priority - (Risk rating 2 - 4)
- 5 Very Low Priority - No Action Required (Risk rating 1)

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Assessment of Risks for Employees and Parishioners

Satisfactory precautions should be taken to ensure that a risk is small. Potential hazards are to be identified and decided who might be harmed and why. Risks must be evaluated and decisions made as to whether existing precautions are adequate or whether more should be done. Findings are to be recorded. Assessments will be reviewed and revised if necessary. This process must not be OVERCOMPLICATED. HAZARD means any thing that can cause harm. Risk is the chance Very High, High, Medium or Low or Very Low that someone or something will be harmed by the hazard.

The following procedure will be adopted: -

1. Identify hazard
2. Decide who may be harmed & why
3. Evaluate the risk
4. Record the findings
5. Review the assessment and revise if necessary

The areas to be assessed are:-

1. Allotments
2. Bus shelters
3. Playgrounds
4. Cemetery
5. Clerks working environment
6. Closed Churchyards
7. Community seating
8. Nature reserve
9. Street lighting
10. Trees on Parish Council property
11. Village greens (including The Sands car park)
- 12.** Waste bins

Business Risks to be considered are;

Potential risks must be identified and evaluated by asking the question WHAT IF? Decisions are to be taken as to whether existing procedures are adequate; Assessments will be reviewed and revised if necessary. The following Policies and systems have been identified as being the areas to be assessed;

- Assets
- Cemeteries and Graveyards
- Code of Conduct
- Computer Security
- Customer Complaints
- Dealing with Contractors
- Employee Annual Assessment

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- Employee Grievances
- Financial Regulations
- Insurance
- Legal requirements
- Racial Discrimination
- Security of Records
- Standing Orders
- Storage of Documents

This document will be reviewed each year at the August meeting of the Parish Council.

First published July 2005. Amended: Nov 2010 Minute 10/85f.i Revised July 2018 Minute18/51. Revised September 2020

This document incorporates the previous documents; 'Risk assessment policy' and 'Appendix A Risk assessment and management policy'.

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Risks		Proposals for management of risks										
Code	Risk	Assessment of Risk (no controls in place)				Assessment of Risk (controls in place – residual risk rating)				Further controls required	Review frequency	Reviewed - Date
		Category of risk	Severity	Likelihood	Risk Rating/ Priority	Proposals for Management / Control measures in place	Severity	Likelihood	Risk Rating/ Priority			
A1	Assets - Protection of physical assets. Cost of replacing damaged, destroyed or missing assets. Loss of facilities.	Financial	4	1	4 / Low	The PC holds buildings and contents insurance with a level of cover applicable to the total current value of all material assets held.	4	1	4 /Low	No	Annual	
A2	Assets - Security of buildings, equipment etc. Cost of replacing damaged, destroyed or missing assets. Facilities out of use	Financial	4	1	4 / Low	Regular external backup of computer records.	4	1	4 /Low	No	Annual	
F1	Banking Cash flow problems. Increased potential for fraud	Finance	5	2	10 / High	Regular banking and reconciliation of statements. Mandate kept up to date.	4	2	8 / Medium	No	Annual	
F2	Risk of consequential loss of income Loss of key data.	Finance	5	1	5 / Medium	Adequate level of insurance cover. Important documents backed up, kept in locked filing cabinet. Regular external backup	4	1	4 /Low	No	Annual	
F3	Loss of cash through theft/dishonesty Adverse publicity on disclosure. Reputational & financial loss.	Finance	4	1	4 / Low	Bank reconciliation undertaken on a regular basis. Adequate level of fidelity insurance cover, with a minimum of £10,000.	3	1	3 /Low	No	Annual	
F4	Financial controls and records Lack of control over the Council's assets. Higher likelihood of fraud or misappropriation of assets. Ineffective reporting. Qualified internal and external audit reports.	Finance	4	1	4 / Low	Accounts and asset register prepared on appropriate computerised accounting system. Bank reconciliation undertaken on a regular basis. Expenditure payments approved by council. Minimum 3 council signatories on cheques.	3	1	3 /Low	No	Annual	
F5	Compliance with HMRC regulations Penalties and/or fines for late returns, errors on submissions etc. Reputational risk and adverse publicity.	Finance	3	1	3 / Low	Use external advice when necessary. Submit payroll end of year returns online, on time. Internal and external audit review.	3	1	3 /Low	No	Annual	

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F6	Budgets supporting annual precept. Council receives less funding than is required to meet its obligations and objectives.	Finance	4	2	8 / Medium	Council prepares detailed budget in late Autumn. Precept determined directly from this budget. Actual expenditure versus budget reported to Council at each monthly meeting.	3	1	3 /Low	No	Annual	
L1	Liability Risk to third party, property or individuals. Funding cost of a successful action or claim against PC. Reputational risk.	Financial Liability	5	2	10 / High	Public liability insurance cover (£5M).	2	2	4 /Low	No	Annual	
L2	Legal liability as a consequence of asset ownership. Injury to employees or members of the public using asset.	Legal Liability	5	3	15 / Urgent	<ul style="list-style-type: none"> Playgrounds checked weekly and documented Other assets checked yearly. 	4	2	8 / Medium	Review documented asset checks	Monthly	
L3	Non-compliance with employment law Employee dissatisfaction and disputes, potentially leading to industrial tribunal.	Employer liability	4	2	8 / Medium	<ul style="list-style-type: none"> Relevant staff training and experience. Advice from relevant professional advisers and membership bodies e.g. LRALC Code of Conduct training for members. Employers liability insurance (£5M) 	4	1	4 /Low	No	Annual	
L4	Non-compliance with HMRC requirements. Fines and penalties for late returns, errors etc. HMRC investigations.	Employer liability	4	2	8 / Medium	<ul style="list-style-type: none"> Relevant staff training and experience. Advice from HMRC. Internal and external audit reviews. 	4	1	4 /Low	No	Annual	
L5	Safety of staff and visitors Funding cost of a successful action or claim against the Council. Reputational risk.	Employer liability	4	2	8 / Medium	<ul style="list-style-type: none"> Adequate insurance. Health & safety policy in force 	4	1	4 /Low	No	Annual	

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LL1	Ensuring activities are within legal powers Potential reputational and financial risk.	Legal liability	3	2	6 / Medium	<ul style="list-style-type: none"> Legal position identified on any new proposal put before the Council. Advice to be taken when necessary. Standing orders/financial regulations up to date and complied with. 	3	1	3 /Low	No	Annual	
LL2	Accurate and timely reporting via the minutes. Inappropriate or no actions undertaken. Reputational risk. Non compliance with the Freedom of Information Act	Legal liability	3	3	9/ Medium	<ul style="list-style-type: none"> Full council meets regularly and receives and approves minutes of meetings. Minutes made available to public via the Council website. 	3	1	3 /Low	No	Annual	
LL3	Proper document control. Loss of key data. Confidential data compromised. Council unable to function effectively.	Legal liability	5	2	10 / High	<ul style="list-style-type: none"> Any key legal documents kept in locked cabinet at Clerks home. Computer backed up regularly 	4	1	4 /Low	All key non electronic documents to be scanned electronically and backed up. All electronic records to be backed up remotely.	Annual	
C1	Councillor propriety - Registers of Interests in place. Conflict of interest of Councillors. Corruption.		4	2	8 / Medium	Register of Interest completed. Gifts and Hospitality Register available.	4	1	4 /Low		Annual	
H1	COVID19 – risk of cross infection from and by users of Parish Council play equipment	Legal liability/ Health	4	2	8/ Medium	Post notices about potential for infection and require that all users follow national guidance on hand cleanliness procedures.	4	1	4/Low	In the event of observed non compliance close all play equipment	Monthly	

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