



## Risk: Assessment and Management Policy

### Purpose

To provide guidance to the Parish Council to enable it to assess and control risks associated with its activities 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 approach to managing risks by:

- Identifying relevant activities
- Identifying potential risks
- Assessing the level of risk
- Evaluating the management and control of the risk
- Recording findings
- Reviewing and revising procedures as required

### Responsibilities

The day-to-day responsibilities for developing and implementing the risk management policy are managed by Clerk. Policies and procedures are monitored and reviewed on a scheduled basis at a full Council meeting by the Parish Councillors.

### Definition of Risk Management

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.

- **Risk** – is the likelihood that the potential for harm or loss posed by a hazard will materialise
- **Hazard** – condition in the parish, equipment, article, substance, machine, installation or situation that has the potential to cause harm or loss or both

- **Control Measures** - precautionary measures that reduce or eliminate the risk
- **Competent Person** - someone who, by reason of their training, knowledge and experience, is considered capable of adequately assessing the health and safety risks associated with the operation being carried out
- **Residual Risk** - the risk that remains after all the identified control measures have been put into place.

## Method

The Parish Council should follow these principles:

- Consider if the risk can be avoided, eliminated or transferred
- If this is not possible, then evaluate the risks that remain and identify changes to working practices that can reduce the risks (see “Risk Assessment Schedule”)
- Give appropriate instruction to Councillors, staff, contractors or public
- Review risks and control measures annually (or as required)

## Risk Assessment Schedule

RISK ASSESSMENT SCORING MATRIX			
	Negligible impact	Moderate impact	Severe impact
Highly likely	MEDIUM	HIGH	HIGH
Possible	LOW	MEDIUM	HIGH
Unlikely	LOW	LOW	MEDIUM

## FINANCES

Activity / Item	Risks Identified	Risk Level H/M/L	Management / Control of risk	Review/Assess/Revise
Precept	Adequacy of precept	L	Council reviews the precept requirement annually by reviewing budget information for the next financial year, agreeing the budget amounts and resolving the precept amount. Reserves put aside for future items of expenditure (e.g. Pavilion Maintenance).	Existing procedures adequate

			reserves to ensure smooth running of the Council for at least 6 months.	
Insurance:	Insufficient to cover potential losses  Renewal deadline missed	L  L	Insurance cover is reviewed annually. Parish Council insurance includes Employers Liability. Asset register is kept up to date and supplied to insurers.  Renewal date does not fit with Parish Council meeting schedule - causes potential delay. Authorisation delegated to Clerk to allow action to be taken if necessary.	Existing procedures adequate
PAYE	Incorrect amount paid, paid late, or not at all	L	PAYE obligations are calculated using PAYE Tools. HMRC is paid on a quarterly basis. Electronic payments allow more flexibility. Payment is reported at each relevant quarterly Parish Council meeting (for external check).	Existing procedures adequate
Expenditure and Income	Payments / invoices not authorised, incorrect amounts paid or requested  Theft or other inappropriate expenditure taken bank a/c	L  M	The Council has Financial Regulations which set out the requirements for payments - these are reviewed regularly. Bank statements reviewed at each meeting with documentation. For regular payments authorisation /delegation given in advance. Chair has access to view banking online.  Authorisation / delegation given in advance for expenditure at the start of the year or at a preceding Parish Council meeting. Bank statements reviewed at each meeting and compared with bank reconciliation quarterly, as well as a check of all invoices. Chair has access to view banking online .	Existing procedures adequate

			Any illegal activity to be reported to the Police for appropriate action.	
Cash	Loss through theft or incompetence	L	No petty cash is used. 'Cash' in the bank is covered by 'Banking' above.	Existing procedures adequate
Payroll	Payments or deductions calculated incorrectly	L	PAYE told software is used for payroll requirements. Clerk can contact HMRC helpline for advice.	Existing procedures adequate
Election costs	Scheduled elections	M	For routine elections, KPC budgets for the election year the District Council's estimate of costs for a contested election	Existing procedures adequate
	Unscheduled election requested by voters due to a casual vacancy	M	Unexpected election - costs much higher but cannot be avoided if requested. Would be paid for from reserves (ensure levels high enough to cover this).	
VAT	Claim calculated incorrectly, or made too late	L	Advice is available from HMRC (website / telephone), and from NALC. Claims made in accordance with regulations.	Existing procedures adequate
	Claim made too late	L	Claims are made regularly by KPC.	
Accounts	Accounts calculated incorrectly	L	Accounts compiled by Clerk and checked by Internal Auditor, then presented to Councillors for review.	Existing procedures adequate
Annual Governance and Accountability Return (AGAR)	Internal Auditor not available	M	Book the internal auditor ahead for an audit ahead of deadline. Investigate a back-up option if main auditor not available. Final option would be a firm of auditors (noting that this would involve additional cost and delay).	

	AGAR forms completed incorrectly or in wrong order	L	Follow guidance, timetable & training available from External Auditors and the 'Practitioner's Guide'. Set out correct order on a standard agenda.	
	AGAR forms not submitted in time	L	Accounts have to be ready by mid-April to hit subsequent deadlines (but the Clerk aims to have all papers available for consideration and approval at the June meeting). Lack of internal auditor can cause delays. Possibly require an extra meeting in late June to sign audit if there have been complications that have not facilitated the sign off at the scheduled June meeting.	

MANAGEMENT				
Activity / Item	Risks Identified	Risk Level H/M/L	Management / Control of risk	Review/Assess/Revise
Business Continuity	Council not being able to continue its business due to an unexpected or tragic circumstance (e.g. theft, fire, corruption of data)			Existing procedures adequate
	Unavailability of Clerk	L	Temporary unavailability: secure 'Access' log maintained by Clerk containing details of logins / passwords, etc in case of emergency.	
		L	Permanent unexpected unavailability: Councillors would make it a priority to appoint a replacement.	



## LEGAL LIABILITIES

Activity / Item	Risks Identified	Risk Level H/M/L	Management / Control of risk	Review/Assess/Revise
Employers Liability	Insurance not in place or non-compliance with employment law	L	Policy must provide cover up to £5 million. Member of KALC (advice can be sought).	Existing procedures adequate
Public Liability	Risk to third party, property or individuals, including volunteers (e.g. litter picking)	M	Public liability insurance is in place up to £10 million. Third parties and volunteers are given copies of risk assessments before they start an activity.	Insurance cover is reviewed annually.
Legal Powers	Decisions taken are outside of the legal remit of the Council	L	All activities and payments to be taken in line with Standing Orders, Financial Regulations, the Local Government Act 1972, and any other relevant legislation. Clerk and Councillors to make themselves aware of relevant regulations, and undertake training as required.	Existing procedures adequate
Transparency Code: Agendas Minutes Standing Orders Code of Conduct Financial Regulations	Correct documents not in place or out of date  Information not made available at correct times in line with regulations	L	Documents produced, displayed / published and signed within given timescales (any omissions to be rectified quickly). Meetings are held in accordance with Standing Orders. Expenditure is managed in accordance with Financial Regulations. Councillors and Clerk adhere to Code of Conduct.	Existing procedures adequate
GDPR (General Data Protection Regulations)	Information collected, stored or used incorrectly	L	Minimal information is collected therefore risk is low (contact details for Councillors, details for Clerk and suppliers for payments, contact details for hirers). Policies in place; amended or new ones adopted as required. ICO Registration in place and renews automatically. Clerk checks ICO updates (via	Existing procedures adequate

			NALC) for changes to legislation. If in any doubt advice available from NALC.	
FOI (Freedom of Information)	FOI requests not answered within timescales	L	Majority of information is available on website, reducing the number of requests and time taken to respond. Remaining requests to be dealt with by Clerk in line with regulations.	Existing procedures adequate
(WCAG) Web Content Accessibility Guidelines 2.1	Website does not meet legal requirements	L	Current Parish Council website does confirm and includes a Website Accessibility Statement (to explain that some documents will not meet the criteria). KPC moved to a gov.uk domain in summer 2024.	Existing procedures adequate / change in progress
Document Retention	Correct documents not identified, not kept for required time periods, not filed correctly or not destroyed at the correct time	L	Most documents are stored digitally on a secure device or on the website. Minimum legally required original documents are kept by the Clerk at the Parish Office.	Existing procedures adequate

### PROFESSIONAL CONDUCT

Activity / Item	Risks Identified	Risk Level	Management / Control of risk	Review/Assess/Revise
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		H/M/L		
Members' interests	Conflict of interest not declared; decisions not made with transparency	M/L	Councillors to declare any interest at the start of the meeting, or when a conflict becomes apparent during the meeting. Declaration of Interests form to be completed when Councillors take up their post. Councillors are responsible for keeping their register up to date as required, and annually regardless.	Existing procedures adequate
Code of conduct	Councillors' or Clerk's behaviour brings the Parish Council into disrepute	L	Members and staff are aware of the Code of Conduct.	Existing procedures adequate

ASSETS				
Activity / Item	Risks Identified	Risk Level H/M/L	Management / Control of risk	Review/Assess/Revise
Grounds Maintenance at: Recreation Ground	Damage caused by or to machinery	M	Landscape Services carry out all grounds maintenance and have their own risk assessments for their activities.	Existing procedures adequate

Street Furniture: Public benches and tables Bus Shelter Noticeboards Public litter and dog bins signage	Damage by vandals or an act of God  Wear and tear (potential risk to public of unsafe assets)	L  L	Asset register maintained and items insured.  Locations inspected by BFA weekly and checked at intervals by Parish Councillors or reported by residents	Existing procedures adequate
Play Equipment	Damage by vandals or an act of God  Wear and tear (potential risk to public of unsafe assets)	L  L	Asset register maintained and items insured.  Site inspected BFA weekly and checked at intervals by Parish Councillors or reported by residents. Quarterly formal inspections	Existing procedures adequate
Street Lighting	Damage by vandals or an act of God  Wear and tear (potential risk to public of unsafe assets)	L  L	carried out by Playground Services Ltd and wear and tear identified is rectified.  Asset register maintained and items insured.  Streelights Ltd complete maintenance checks and rectify any issues that they identify or that are brought to the Parish Council's	Existing procedures adequate

## EVENTS / ACTIVITIES

Activity / Item	Risks Identified	Risk Level H/M/L	Management / Control of risk	Review/Assess/Revise
Remembrance Service	Risks are identified in a specific Risk Assessment document, but include:	M/L	A risk assessment review is completed ahead of the event to establish any new risks and verify previously identified risks. The	Existing procedures adequate

Annual Parish Meeting		M/L	A risk assessment review is completed ahead of the event to establish any new risks and verify previously identified risks. The document is shared with councillors and volunteers.	Existing procedures adequate