

Sutton-on-Trent Parish Council

Risk Assessment

Updates and Amendments

Presented to Council on 9th June 2020 under Agenda point 200608 - adopted

Amendments:

Definition of Risk Management

Risk assessment is a systematic process for identifying and evaluating events that could adversely affect Sutton-on-Trent Parish Council's ability to achieve its objectives and to successfully execute its strategies. Sutton-on-Trent Parish Council believes that undertaking a risk assessment on a regular basis forms the foundation for an effective risk management program. This document has been produced to enable 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.

Assessment Measures

In undertaking this assessment, the Council has assessed risks taking into consideration the likelihood and impact of such risks in relation to specific Council objectives.

Likelihood (L)	Low (L)	Unlikely	The risk is seen as unlikely to occur within the time scales contemplated by the Council.
	Medium (M)	Likely	The risk is seen as likely to occur within the time scales contemplated by the Council.
	High (H)	Certain	The risk is seen as expected to occur within the time scales contemplated by the Council.
Impact (I)	1	Minor	The risk will not substantively impede the achievement of the Council's objective.
	2	Moderate	The risk will cause some elements of the Council's objective to be delayed or not be achieved. Adverse impact in this category would also cover minor injuries to individuals.
	3	Severe	The risk will cause the objective to not be achieved, causing damage to the Council's reputation. Adverse impact in this category would also cover severe injuries to individuals.

MANAGEMENT				
Subject	Risk(s) Identified	L / I	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 / 2	In the short term, if the Clerk is unable to attend a parish council meeting, the records held by the Clerk are brought by one of the councillors who stands in for the clerk and takes minutes. In the event of the Clerk being indisposed for a long period the Chairman to contact the Nottinghamshire Association of Local Councils for advice.	Existing procedure adequate
Parish Councillors	Losing a councillor or having more than four vacancies at any one time	L / 3	When a vacancy arises, there is a legal process to follow which can result in the vacancy being filled through the co-option process or, if requested, through an election. If there are more than four vacancies at any one time on the Council it becomes inquorate. The legal process of the appointing members takes place including temporary members.	Existing procedure adequate Existing procedure of building up financial reserves to cover the potential election costs adequate
Meeting location	Adequacy Health and Safety	L / 2	Meetings are held at Sutton-on-Trent Methodist Community Centre. The premises and facilities are considered to be adequate for the Clerk, Councillors and public that attend from a health & safety and comfort aspect	Existing procedure adequate
Council Records - paper	Loss through theft, fire, damage	L / 2	Current papers are held at the clerk's home and on a Council laptop. Archive material is held in a fire proof cabinet at Hutchinson Engineering Services Ltd, Sutton-on-Trent.	Damage or theft is unlikely and so provision adequate.
Council Records - electronic	Loss through damage, fire, corruption of computer	L / 2	The Parish Council's electronic records are stored on the council supplied laptop. Back-up is provided via a Microsoft Office 365 subscription.	Existing procedure adequate.

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Freedom of Information Act	Policy Provision	L / 3	The Council has a Model Publication Scheme in place which is available to view on the parish website and on request from the Clerk.	Monitor and report any impacts made under Freedom of Information Act
Data Protection	Non-compliance with the Acts of Parliament Data Security Breach	M / 3	The Council is registered with the Data Protection Agency and has appropriate procedures to ensure compliance with the Data Protection Act 1998 and subsequent legislation and regulations including the General Data Protection Regulations 2018.	Ensure annual renewal of registration. Ensure required policies in place and reviewed on a regular basis to comply with current legislation
FINANCE				
Precept	Adequacy of precept in order for the Council to carry out its statutory and other duties	M / 3	Sound budgeting to underlie annual precept. The Parish Council receives monthly Receipts and Expenditure updates and detailed budgets in the late autumn. The precept is an agenda item at the January meeting.	Existing procedure adequate. The Clerk to notify the Council of any legislative or other changes to the current precept process.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L / 2 L / 1 L / 3	An annual review is undertaken of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement	Existing procedure adequate Review provision and compliance annually
Banking	Inadequate checks	L / 3	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts	Existing procedure adequate Review Financial Regulations as needed
Cash	Loss through theft or dishonesty	L / 2	The Council has no petty cash or float. Any cash transactions are made by the clerk, are fully receipted and then reimbursed quarterly or paid by bank transfer on receipt of an invoice	Existing procedure adequate
Financial controls and records	Inadequate checks	L / 3	All non-contracted expenditure is approved by the Council prior to payment and minuted as such. All contracts are approved by the Council before signing. Two signatories on cheques.	Existing procedure adequate
Salaries & associated costs	Approval and timely payment of salaries	L / 2	Salary rates are assessed annually by the Council and applied on 1st April each year. Salary is paid monthly by standing order.	Existing appointment and payment system are adequate.
	Payment of Tax and NI	L / 2	Tax and NI contributions due where appropriate are reported to the Council and signed off quarterly.	All submissions carried out to meet HMRC requirements
VAT	Re-claiming/charging	L / 1	The Council has financial regulations which set out the requirements	Existing procedure adequate

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Annual return	Not submitted within time limits	M / 3	Annual return is completed and submitted to the Internal Auditor for completion and signing before being presented to the Council for signing. Submitted to the External Auditor within time limit stipulated.	Existing procedure adequate
ASSETS				
Street furniture and playground equipment Cemetery	Public liability Damage to play equipment and bench seats etc.	L / 1	An asset register is kept up to date and insurance is held at the appropriate level for all items. Regular checks are made on playground equipment by members of the Council with an external safety check carried out annually.	Existing procedure adequate
LIABILITY				
Legal Powers	Illegal activity or Payments	L / 2	All activity and payments made within the powers of the Parish Council (not ultra vires) and to be resolved and clearly minuted.	Existing procedure adequate
Minutes/ Agendas/ Statutory documents	Accuracy and legality Non-compliance with statutory requirements	L / 2 L / 2	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 Business conducted at Council meetings should be managed by the Chairman	Existing procedures adequate Undertake adequate training Members to adhere to Code of Conduct
Public Liability	Risk to third party, property or individuals	M / 2	Insurance is in place. Risk assessment of any individual event undertaken	Existing procedures adequate
Employer Liability	Non-compliance with employment law	L / 2	Undertake adequate training and seek advice, if necessary, from NALC	Existing procedures adequate
Legal Liability	Legality of activities Proper and timely reporting via Minutes Proper document control	L / 2 L / 2 L / 2	Clerk to clarify legal position on proposals and to seek advice if necessary Council always receives and approves minutes at monthly meetings Retention of document policy in place	Existing procedures adequate
COUNCILLORS PROPRIETY				
Members' Interests	Conflict of interest Register of Members Interests	M / 2 L / 1	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	Existing procedures adequate Members to take responsibility to update their register

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EMPLOYEES – CLERK, OTHER WORKERS AND VOLUNTEERS				
Clerk	Ability of the Clerk to discharge their duties to the Council.	L / 2	The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role. Council maintains membership of the Nottinghamshire Association of Local Councils and the Society for Local Council Clerks and is able to obtain advice from these bodies	Existing procedures adequate
	Prevention of fraud	L / 2	The requirements of the Fidelity Guarantee insurance to be adhered to with regards to Fraud	Existing procedures adequate
Clerk and other workers including volunteers	Health and Safety	L / 2	Councillors undertaking voluntary work on behalf of the Council to be provided with adequate direction and safety equipment require where appropriate.	All works undertaken by volunteers take account of the Health & Safety at Work Act and current relevant guidelines issued by HM Government, Public Health England (PHE), NHS UK and/or Health & Safety Executive (HSE). Existing procedures adequate
	Manual handling	L / 2	Council employees, Councillors and/or volunteers for the Council are not routinely required to undertake manual handling activities. Where such activities occur, an individual should fully assess the situation in a competent manner and only undertake the activity if content to proceed at their own risk.	
	Insurance	L / 1	Employees, councillors and volunteers working at the request of or on behalf of the Council will be insured under the Council's Public Liability and Employers Liability cover.	
High Consequence Infectious Disease (HCID) as defined by PHE	Outbreak of HCID declared and risk of imminent threat of infection	H / 3	Employees, councillors and volunteers are actively encouraged to follow government issued guidelines on health and safety.	Existing procedures adequate
	Exposure to COVID-19, colds, other viruses and infections	H / 3	Follow hand-cleaning and social distancing guidelines at all times. Use any protective equipment/measures as instructed	
	Collection and delivery of shopping and medical prescriptions to individuals in self-isolation	H / 3	Where possible confirm the list of items needed over the phone to minimise contact with the individual in self-isolation, or visiting call ahead. When delivering items to an individual in isolation leave the shopping items at the front door, ring or knock on door and step back a minimum of 2 metres.	

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	<p>Exposure to weather & outdoor environment. Injury due to slips/trips/falls</p> <p>Food Pack assembly</p>	<p>L / 2</p> <p>H / 2</p>	<p>Wear comfortable clothing and walking shoes suitable for the weather forecast. Be aware of the environment and stay alert for any tripping hazards.</p> <p>Follow hand cleaning and social distancing guideline procedures Use any protective equipment/measures as instructed. Wear comfortable clothing and shoes. Follow manual handling guidelines for correct lifting, bending and kneeling methods</p>	<p>Existing procedures adequate</p>
COMMUNICATION AND SOCIAL MEDIA				
<p>Influence of other local authorities and government organisations to fulfil the requirements of the Parish.</p> <p>Website and social media</p>	<p>Lack of effective lines of communication with residents or other organisations.</p> <p>Reputational Risk Libel and Slander Piracy and Infringement</p>	<p>L / 2</p> <p>L / 2</p>	<p>Note all communication lines which are essential or beneficial and make information available to all councillors. Establish contacts by name and where possible face-to-face. The Council takes every opportunity to publicise the role of the Parish Council through effective use of notice boards, parish magazines, web page, social media etc.</p> <p>The Council recognises that its website and social media platforms form part of its toolkit to meet the requirements of the Local Government Transparency Code 2015 and to connect with the residents of the Parish. Contributors to these platforms are required to apply the same standards of conduct online as are required offline, whether acting in an official or personal capacity. Contributors are required to verify the accuracy and sensitivity of what they are posting online. Copyright and other rights must be respected at all times.</p>	<p>Existing procedures adequate</p> <p>Communications and Social Media policy in place. Website located at www.suttonontrent.org.uk Facebook page at www.facebook.com/suttonontrentparish</p>