

## **Marsworth Parish Council**

### **Risk Management Policy and Risk Assessment**

#### **Introduction**

- Marsworth Parish Council is responsible for establishing arrangements for the management of risk.
- 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 risks inherent in the place or practices.
- This document has been produced to enable the Parish Council to assess the risks that it faces, and to satisfy itself that it has taken adequate steps to minimise those risks.
- Based on the assessment the Council will take all practical and necessary steps to reduce or eliminate the risks.

#### **Policy and Procedures**

1. The management of risk requires assessment of the likelihood of an incident occurring, and its impact if it does occur. This assessment uses 'High', 'Medium' or 'Low'. If the likelihood is high, special measures will be taken to reduce the level of risk, or the risky activity removed completely.
2. If the score is low, moderate measures may be sufficient to control or eliminate the risk.
3. When considering any new activity, the Clerk will prepare a draft risk assessment including risk management proposals for consideration and adoption by the council.
4. Risk policy statements and consequential risk management arrangements will be reviewed by the Council annually.

Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	When To Review/ Assess
Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	Unavailability of signatories	L	Six independent authorised signatories confirmed – cheques require only two signatories	Annually
	Village Hall unavailable for meeting	L	Rearrangement of meeting to convenient date or venue	Annually
	Non-Quorate	L	Rearrangement of meeting if necessary – To inform Clerk of non-attendance in advance and Clerk to rearrange meeting	Annually
Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	Parish Clerk not available for meeting	L	Member to take on role temporarily	Annually
	Parish Clerk not available and unable to access information	L	Clerk circulates all information by email so Councillors have copies. Most documents stored in pdf form on Parish Website Marsworth.org.uk	Annually
Precept	Adequacy of precept	L	Realistic precept based on sound financial budgeting and set by end of December each year, forwarded to BCC in January each year	Monthly
	Delay in payment of Precept	L	Reserve account maintained to cover delay in Precept payment	
	Insufficient Budget Provision	L	Budget monitored quarterly Inclusion of contingency sum in budget Adequate balances kept in hand	
Financial	Inadequate records/ financial irregularities	L	Invoices and bank balance to be presented to Council at monthly Parish meeting	Monthly
	Loss of cash through theft or Dishonesty	L	Clerk to maintain cash account and bank reconciliation. All expenditure approved by council	
	Invoices received late or incorrect	M	Payment delayed until next Council Meeting. Clerk to return incorrect invoices for resubmission	
Financial Reporting and auditing	Unauthorised or Illegal Expenditure	L	Clerk to flag to Council if concerned about payments or projects	Annually
	Not observing requirements for information, communication and compliance	L	Appointment of competent clerk. Competent Internal Auditor appointed by Council. Internal audit recommendations always implemented	Annually

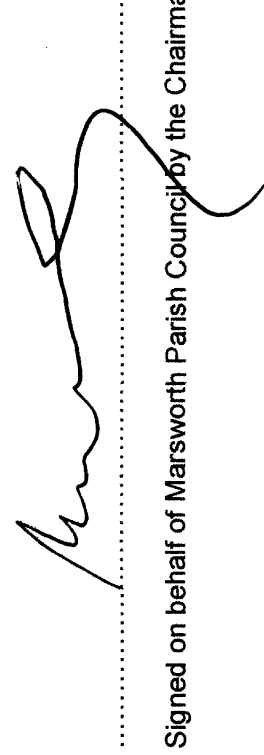
Financial	VAT not reclaimed Inaccurate submission of VAT Return	L	VAT return submitted annually at 31 March and included with Internal Audit.	Annually
Financial	Banking	L	Historical accounts held at NatWest. Banking with NatWest Two authorised signatories required for all expenditure.	
Best value Accountability	Work awarded incorrectly	L	For work/goods over £1,000 more than one quotation required. All expenditure to be approved at Council meeting	Annually
Salaries and assoc. costs	Overspend on services Salary paid incorrectly	L	Budget reviewed quarterly	Quarterly
	Unpaid Tax & NI contributions to the Inland Revenue	L	Clerk's salary paid monthly by cheque. Cheque signed by 2 Councillors after sight of timesheet and expense receipts	Annually
Employees	Loss of key personnel	L	Parish obligation. Tax & NI submitted for internal audit annually prior to AGAR submission.	Annually
	Actions undertaken by staff	L	Clerk is encouraged to stay on until replaced. Councillors are elected or co-opted to fill vacancies.	Annually
	Health & Safety	L	The Clerk will be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role. Membership of BALC, NALC and SLCC.	Annually
Election costs	Risk of unexpected election cost	M/ H	Is reviewed in line with requirements	Annually
Annual return	Not submitted within time limits	L	Risk is higher in an election year. When an election is due the Clerk will obtain an estimate of costs from the County Council for a full election and an uncontested election. There are no measures which can be adopted to minimise the risk of having a contested election as this is a democratic process and should not be stifled. £1,400 to be earmarked for elections in election year budget	Annually
Minutes/ Agendas/ Notices Statutory documents	Accuracy and legality  Business conduct	L  L	Annual Return is completed and reviewed by Council and submitted to the internal auditor for review and then approved at the next Parish Council Meeting. Must be submitted prior to 1 July/No external audit required.	Annually
			Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Training for Chairman and Clerk is undertaken.	Annually

			L	Minutes and agenda are displayed according to the legal requirements.	Annually
			L	Business conducted at Council meetings is managed by the Chair. Members to adhere to Code of Conduct.	Annually
Councillor Propriety/Responsibilities	Conflict of interest/ Register of Members Interests		L	Code of Conduct issued to each member and adopted at Council meeting	Annually
			L	Register of interests discussed at each Parish Meeting Declaration of Acceptance of Office completed for each Councillor. Copies of Standing Orders and Financial Risk Assessment held by all Councillors and stored on the website.	Annually
Insurance	Adequacy Cost Compliance Fidelity Guarantee		L	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Employers and Employee liability insurance is a necessity and must be paid for.	Annually
			L	Ensure compliance measures are in place.	
			L	Ensure Fidelity checks are in place.	
			L	Insurance increased to cover any additional facilities.	
Data protection	Breach of Data Protection legislation		L	Section 7(3) of the DPA 2018 says that Parish Councils are not public authorities for the purposes of the GDPR. As we are not a public authority for the purposes of the GDPR then we do not need to appoint a Data Protection Officer (DPO).	Annually
Freedom of Information (Fol)	Information not provided following an Fol request		L	The Council has a model publication scheme for Local Councils in place.	Annually
<b>PHYSICAL EQUIPMENT OR AREAS</b>					
Assets	Loss or Damage Risk/damage to third party(ies)/property		L	Recreation Ground inspected monthly by a Councillor on a rota basis and Recreation Ground is assessed annually by a competent body. Repairs are conducted as required. Insurance covers 3 <sup>rd</sup> party risks.	Annually
Maintenance	Poor performance of assets or amenities Loss of income or performance Risk to third parties		L	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for these repairs are actioned and authorised in accordance with the correct procedures of the Parish Council. All assets are insured and reviewed annually.	Annually
Notice boards	Damage/injury to third parties Roadside safety		L	Parish Council has two notice boards sited around the village. All locations have approval by relevant parties, insurance cover, inspected regularly by the Clerk - any repairs/maintenance	Annually

			requirements brought to the attention of the Parish Council. Keys held by the Clerk.	
Street furniture	Damage/injury to third parties	L	The Parish Council is responsible for some seats in the village and covered by insurance. No formalised programme of inspections is carried out, all reports of damage or faults are reported to Council and/or dealt with	Annually
Street Lighting	Insufficient budget for required change in lighting technology Sox type lighting has been discontinued	L	Will need to invest in LED lighting in the future but MPC is waiting for cost of LED lights to reduce before investing	Annually
Meeting location	Adequacy Health & Safety	L	The Parish Council Meetings are held at the Village Hall The premises and the facilities are considered to be adequate from a Health & Safety and comfort aspect for the Clerk, Councillors and members of the public. Where more members of the public are expected to attend, then a larger room within the Hall can be used.	Annually
Council records - paper	Loss through: theft fire damage	L	Old Minutes and correspondence now lodged with the BCC archivist. Key books are lodged in a fireproof box in the Chair's house. Recent records now regularly circulated to all Councillors by email and pdf copies stored on website. All Clerk's email and documentation is on Office365 and backed up on the Cloud.	Annually

The Risk Management Policy and the Risk Assessment were adopted by Marsworth Parish Council on Monday 9 May 2022 and will be reviewed again within 12 months.

Minute Reference ..... 22/5/10 .....

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 Signed on behalf of Marsworth Parish Council by the Chairman