

RISK ASSESSMENT AND RISK MANAGEMENT

Little Gaddesden Parish Council

*This risk management paper was last reviewed by the Council at the **January 2020** meeting*

SIGNED:

(Clerk to the Council)

DATE:

*This risk management paper will be reviewed again in **January 2021***

The objectives of the Parish Council are to serve its community by delivering decentralised local government services, to provide a method by which the local community can express its democratic view on such local services and to represent its community by interacting with other providers of services to the Parish.

Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives. 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 standards of conduct and service delivery arrangements.

The Parish Council has considered the risks to those objectives under the headings below and ranked the risk Low (L), Medium (M) and High (H).

Issue	Area of Risk	Level of Risk	Control
Assets	Protection of physical assets	L	Assets insured. (New assets notified to Insurers Zurich) Extent of cover reviewed annually with insurer. Village Hall insured by Village Hall Management Committee. (VHMC)
	Security of assets	L	Village Hall – Managed by VHMC War and other memorials – immovable. Play equipment – immovable. Majority of seats secured (only two taken in last 24 years) and all new seats will be secured on installation. Noticeboards – immovable
	Maintenance of assets	L	Village Hall maintained by VHMC. Play equipment, fences and seats maintained as required.
	Identification and record of ownership of assets	L	Council has created and annually reviews fixed assets register. Council has registered title to the playing field and village hall site and a long lease of the Green. Title deeds kept by Clerk in fireproof locked case but Land Registry hold the details of the Parish Council's land assets.

Finance	Finance: compliance with procedures and regulations	L	Financial Regulations and Standing Orders adopted and updated and compliance ensured by Clerk and Councillors.
	Financial controls and records	L	<p>Monthly review of finances prepared by Clerk and presented to Council. Budget reviewed by Councillors at least twice a year. Receipts and payments kept by Clerk together with record of expenses. Two signatories required for cheques. All payments, receipts and petty cash items are approved by Council at monthly meeting. Cash book (excel spreadsheet) and petty cash and bank statements reviewed monthly. Internal and external audit annually. Financial regulations complied with.</p> <p>The Council uses excel spreadsheets to list payments and receipts and bank reconciliations are completed monthly and signed by Chair, documents are backed up frequently.</p> <p>Online payments made by Clerk subject to two signatures on invoice. Salary payment and Petty cash payment for Clerk made by a Councillor to Clerk's account to avoid conflict of interest.</p>
	Failure to secure adequate funding for activities	L	<p>Clerk prepares detailed budgets towards end of calendar year for discussion and approval by Council. Precept derived from these figures. Additional funding requested where required. Approximately 6 months reserves c. £15,000 kept available. Ability to increase precept is available.</p>
	Misappropriation of funds by staff	L	<p>Fidelity Guarantee Cover in place and reviewed by Council annually to meet requirements of external auditors and insurers. The Council holds no petty cash or float.</p>
	Customs and Excise Regulations	L	<p>VAT payments calculated by Clerk and reclaimed annually. VAT reconciled to cash book (excel spreadsheet)</p>
	Budgeting	L	<p>Clerk prepares detailed budgets towards end calendar year for discussion and approval by Council. Precept derived from these figures. Expenditure against budget updated monthly and available on request from Clerk.</p>
	Power to spend	L	<p>Clerk will check unusual requests against Local Government Act 1972 including s.137 and other legislation or seek advice of HAPTC</p>

Third Party Liability	Risk to third party, property or individuals	M	<p>Insurance in place to cover Assets, Money loss, Public Liability £12m, Employers Liability £10m, Libel and Slander £250k, Fidelity Guarantee £250k, Personal Accident £500k. Legal expenses £100k</p> <p>Play equipment inspected annually by ROSPA. With monthly checks undertaken by Clerk. Review with insurers at renewal. Staff training considered and sought where necessary/available</p> <p>Risk assessments undertaken of specific events/work where appropriate</p>
	Legal liability as consequence of responsibility for Village Hall	L	<p>Insurance in place.</p> <p>Village Hall – VHMC manage and keep the following updated:</p> <ul style="list-style-type: none"> • Electrical Fire Certificate • Fire Action Plan • Fire Risk Assessment • Hirers’ Fire Agreement • Fire Equipment Maintenance Certificates

Employer Liability	Compliance with Employment Law	L	<p>Employment contract in place for Clerk and Village Hall Manager. (both to be updated following with latest legislation including pension provision)</p> <p>Staff training considered and sought where necessary/available. e.g. Finance, PAYE, CILCA, GDPR, H&S. Council only has two employees (both of whom work from home)</p> <p>The Council is aware of the need to take into account the capabilities, training, knowledge and experience of its workers; and to ensure that the demands of the job do not exceed their ability to carry out their work without risk to themselves and others.</p> <p>Reimbursement of cost of eye tests offered to those working at VDU’s under Display Screen Equipment rules</p> <p>Job description reviewed at appraisal. Equality Policy introduced in January 2018. Training and Development Policy introduced in 2017</p>
	Comply with Inland Revenue requirements	L	<p>Salary/PAYE payments notified using the Government Basic PAYE online system. Clerk delivers pay slips monthly and submits annual return, end of year P14’s and P35 and serves P60’s.</p>

Legal Issues	Ensuring activities are within legal powers	L	Clerk advises. Legal advice sought from HAPTC and others where necessary.
	Proper and timely reporting of the Council's business in the Minutes	L	Council meets monthly. Clerk prepares draft minutes for approval by Council in two weeks following meeting, advertises them on the main Parish notice board and on the Parish web site. Draft circulated to Council members and approved – subject to amendments – at next meeting of Council.
	Proper document control	L	All documents and records required to be kept by law, by standing orders and by financial Regulations held by Clerk. Documents and Records security and retention policy adopted May 2018 Title Deeds kept in fire proof storage
	Data Protection legislation	M	LGPC has created a GDPR risk register to manage risks in meeting the regulations. LGPC is managing the process of closing the gaps identified.

Administrative	Failure to be quorate	L	Clerk receives apologies. Quorum of three out of seven required and Clerk ensures available.
	Failure to minute decisions or run meetings correctly	L	Clerk and Chairman responsible. Public Participation at meetings policy introduced in August 2015, updated Oct 2019
	Meeting location	L	The premises used are considered adequate for the Council Clerk and members of the public who attend from a Health & Safety, Accessibility and comfort point of view. Other meeting space is available in the parish.

Propriety	Compliance with rules governing Register of Interests and code of conduct	L	Register of interests regularly updated. Councillors aware of need to register interests and to comply with Code of Conduct adopted April 2015, last updated Feb 2019
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Continuity of delivery	Risk Council unable to continue business due to unexpected circumstance	L	All files kept at the Clerk's home and regularly backed up. These can be handed over at short notice to Borough Council
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HEALTH & SAFETY ASSESSMENT AND MANAGEMENT

The Parish Council owns the land at the village hall and village hall car park and is the Custodian Trustee for the hall itself. The management of the village hall and car park is undertaken by the Village Hall Management Committee and that committee carries out the health and safety assessment of those premises and takes steps to mitigate against any risks which it identifies.

The Parish Council owns the playing field, incorporating the Church Road play area and the Church Road car park.

The Parish Council leases the Green and part of the Cromer Close play area and owns the Cromer Close play area equipment. The Parish Council has carried out a risk assessment of these areas.

Area	Hazard/Risk	Level of Risk	Control
Church Road Playing field	Defective ground surface Trip risk	L	Quarterly inspection by Clerk Reporting of defect Prompt remedial action All clubs using field and all event organisers obliged to make good any damage to surface
	Dog faeces	L	Dog walking restricted to on lead on the footpaths Signage in place.
	Stinging and/or thorny plants	L	Regular strimming
	Dangerous trees	L	Tree inspection carried out by arboricultural expert in October 2019 and remedial action being undertaken over the next two years as required.
	Defective benches/tables Injury risk	L	Quarterly inspection Remedial action as required.
	Litter Trip/injury risk	L	All clubs using field and all event organisers obliged to undertake litter collection. Bins provided. Weekly litter collection by Dacorum B. C. Village Wardens SRT appointed to remove litter from many areas of the village including Church Road play area
	Defective gates and fencing Injury risk	L	Quarterly inspection Remedial action as required.

Area	Hazard/Risk	Level of Risk	Control
Church Road Play area	Risk of injury from defective play equipment or of surfaces beneath play equipment	L	Annual inspection carried out by RoSPA PlaySafety Remedial action taken in respect of any risks/defects identified in the report Report for May 2019 held by the Clerk. Monthly inspection by Clerk, minuted each month
	Dog faeces	L	Dogs prohibited – only allowed on footpaths Signage in place
	Litter Trip/injury risk	L	Bins provided. Weekly bin emptying by Dacorum Borough Council (DBC). and Sunnyside Trust Ltd

Area	Hazard/Risk	Level of Risk	Control
Cromer Close Play area	Risk of injury from defective play equipment or of surfaces beneath play equipment	L	Annual inspection carried out RoSPA PlaySafety Remedial action taken in respect of any risks/defects identified in the report Report for May 2019 held by the Clerk. Monthly inspection by Clerk, minuted each month
	Dangerous trees	L	The majority of the land is owned by Dacorum B. C. and their tree officer was alerted in 1 st July 2014 that this was their responsibility. They acknowledged that responsibility. A small area of land is leased by LGPC from the National Trust.
	Dog faeces	L	Dogs prohibited – only allowed on footpaths Signage in place
	Litter Trip/injury risk	L	Bin provided. Emptied by DBC

Hudnall Lane	Litter Vehicle impact/Cut hands	L	Volunteers clear litter, provided with reflective jackets and pick sticks

Area	Hazard/Risk	Level of Risk	Control
Church Road car park	Defective ground surface Trip risk	L	Regular inspection Reporting of defect Prompt remedial action
	Stinging and/or thorny plants	L	Regular strimming

Area	Hazard/Risk	Level of Risk	Control
The Green	Defective ground surface Trip risk	L	Regular inspection Reporting of defect Prompt remedial action
	Stinging and/or thorny plants	L	Regular strimming/spraying
	Grass obstructing visibility	L	Grass cut along verges by contractor
	Dangerous trees	L	Tree inspection carried out by arboricultural expert in October 2019 and remedial action being undertaken over the next two years as required.
	Litter Trip/injury risk	L	Weekly bin emptying by DBC and litter picking by Sunnyside Trust
	Defective benches Injury risk	L	Regular inspection Remedial action as required.
	Defective deer guards Injury risk	L	Regular inspection Remedial action as required.
	Electrical shock from cabinet	L	Has a standard meter cupboard key
	Trip or vehicular damage to Christmas Tree manholes	L	Manholes sunk just below the surface and locked down