

PLAISTOW AND IFOLD PARISH COUNCIL RISK MANAGEMENT SCHEME

Financial Year Ending 31st March ~~2024~~2025



The management of risk is an important part of the Council's work; making sure that the people who use our facilities are safe, giving the staff the protection to get on with their work, and protecting the assets that the Council hold. Risk assessment happens all the time, but once a year, the Council brings the information together and collates it in a single document.

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the Parish Council to identify any and all potential inherent risks. The Parish Council, based on a recorded assessment, will take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible.

This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. The Parish 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, which:

- Identifies the subject and identifies what the risk(s) may be
- Identifies the level of risk
- Identifies and evaluates the management and control of the risk(s)
- Reviews, assesses, and revises procedures if required
- Identifies any relevant timeframe(s) and responsible party

RISK ASSESSMENT RATING CRITERIA

Likelihood	Highly probable 76-99%	4				
	Probable 51-75%	3				
	Possible 26-50%	2				
	Unlikely 1-25%	1				
			1	2	3	4
			Minor	Moderate	Serious	Major
IMPACT						
FINANCIAL IMPACT and/or REPUTATIONAL IMPACT and/or HEALTH & SAFETY IMPACT			Loss of up to £1,000	Loss of up to £10,000	Loss of up to £50,000	Loss of over £50,000
			Minimal / localised damage to reputation	Damage to reputation within the Parish	Damage to reputation within the region	National damage to reputation; intervention by Government
			No health and safety impact	Minor injury, possibly requiring treatment by health care professional	Serious injuries	Fatality or life-changing injuries

RISK APPETITE AND APPROACHES TO MANAGING RISK

Likelihood	Highly probable 76-99%	4		TREAT (take action to reduce risk exposure by introducing measures / controls)		TERMINATE (i.e., stop the activity that generates the risk)
	Probable 51-75%	3				
	Possible 26-50%	2				
	Unlikely 1-25%	1	TOLERATE (an informed view reached that the risk is accepted)			TRANSFER (usually via insurance or other contractual arrangement)
			1	2	3	4
			Minor	Moderate	Serious	Major
I M P A C T						

Risk Rating	Risk Appetite and Action
Green	Risks rated as GREEN are within the risk appetite of the Council. It is unlikely that further additional measures are required to control these risks. These risks may be tolerated by the Council.
Amber	Risks rated as AMBER are within the risk appetite of the Council, however further additional measures may be needed to treat (i.e., control) the risks and so reduce exposure OR to consider risk transfer e.g., via insurance, franchising, or other contractual arrangement. The Council must be periodically advised of amber risks and the action planned and/or taken to control them.
Red	Risks rated as RED go beyond the risk appetite of the Council. Immediate action is required to bring the risk within the Council's risk appetite or, if this is not possible or desired, to terminate the activity that creates the risk. The Council must be immediately advised of red risks and regularly updated on the action planned and taken to control them until they are within the risk appetite of the Council. <i>Any action taken must be in accordance with the Council's Standing Orders and Financial Regulations.</i>

RISK ASSESSMENT REGISTER

Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer/ Committee
FINANCE								
Loss of cash through dishonesty or theft	1	1		No cash handled by Council. No petty cash used. All payments made by online banking. Monthly Full Council review of all bank transactions; and quarterly reviews of the bank statements, corresponding reconciliation statements, cash book and balance sheet by the Finance Committee. Procedure included in the Financial Regulations. Insurance cover in place for Fidelity Guarantee to cover Members and Officers. Liaison with Police if necessary.	Review of Bank Mandate to ensure new Clerk's details are included and the former Clerk's details removed. <u>Updated for new Clerk. Arrangements to be reviewed at first quarter finance meeting annually.</u>	Financial Regs <u>reviewed at Annual PC Meeting and governance reviewed by Internal Auditor biannually</u>	<u>January 2024 – when new Clerk is appointed Annually.</u>	Clerk/RFO + Finance Committee
Poor financial internal controls and records	2	2		Council accounts are managed by a CiLCA qualified Clerk/RFO who is trained to use the Rialtas Alpha Accounting Software. Expenditure is scrutinised by the Council and Finance Committee. Oversight by a competent, professional Internal Auditor twice yearly. Technical accounting support provided by	Ongoing training for the Clerk/RFO – to reflect the new Clerk's level of experience and qualifications. <u>Arrangements to be reviewed at first quarter finance meeting annually.</u>	Internal Controls Policy Debit Card Policy <u>To be reviewed annually at the start of</u>	Ongoing / In progress	Clerk/RFO HR Committee Finance Committee Full Council

Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer/ Committee
FINANCE								
				Rialtas Accounting, who are qualified and specialise in local council accounts.		the new Council year		
Annual Return submitted late	1	1		The CiLCA qualified Clerk/RFO is aware that the AGAR is to be approved by Full Council and submitted no later than the statutory deadline of 30 th June. Council Members are aware of the financial procedures and requirement to approve the AGAR via training.	Clerk/RFO to diarise the key dates to ensure the Accounting Statements are prepared in advance of the Council meeting prior to the 30 th June. The Clerk to aim to undertake the internal audit during the months of April and may with sign off by the Internal Auditor and Council in May.	Financial Regs Governance and Accountability for Smaller Authorities in England, 2019/2024	Ongoing	Clerk/RFO Full Council
Inadequate Insurance Libel or slander claims received	3	2		The Council is supported by Risk and Insurance Managers Gallagher and Insurance is arranged annually. The current insurance is with Hiscox Underwriting Ltd for continuous cover from	To monitor and review - existing procedures adequate. Insurance replacement value to be included on	Asset Register Risk Management Scheme Financial Regs	Ongoing	Clerk/RFO Finance Committee

Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer/ Committee
FINANCE								
				<p>01/06/2023 until the policy is cancelled. The Council is in a three-year binding Long Term Agreement (LTA) with Hiscox until May 31st 2025.</p> <p>Insurance arrangements are reviewed annually before the policy is due for renewal. The Council reviews and updates its Asset Register and Risk Management Scheme at least annually and prior to renewing its insurance policy. Gallagher and Hiscox specialise in parish Council insurance. Oversight by a competent, professional Internal Auditor twice yearly. The Council has adequate insurance cover in place -Employers' liability, Employee liability, Public Liability, Personal Accident, Playground equipment, Business Interruption and Fidelity Guarantee insurance are all essential; as well as for libel or slander claims.</p>	<p><u>asset register for comparison to the insurance cover provided. The be reviewed in the first half of 24/25.</u></p>			

Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer/ Committee
FINANCE								
Bank mistakes, losses, and charges	1	1		Bank reconciliations are undertaken monthly and shared with the Chair of the Finance Committee. Any banking mistakes will be discovered on receipt of the bank statement and reported to the Finance Committee / Full Council via the Clerk's Report.	To monitor and review - existing procedures adequate. <u>Arrangements to be reviewed at first quarter finance meeting annually.</u>	Financial Regs Internal Controls Policy- <u>review annually.</u>	Ongoing	Clerk/RFO Finance Committee Full Council
Non-Compliance with HMRC Regulations and Pension Contributions	3	2		Council payroll contracted to WSCC who calculate the HMRC, tax, NI, and Pension contributions on behalf of the Council. All payments are made on behalf of the Council via WSCC payroll department based on the calculations provided by WSCC. Pension Discretion Policy in place.	To monitor and review - existing procedures adequate. <u>Arrangements to be reviewed at first quarter finance meeting annually.</u>	Financial Regs Pension Discretion Policy - <u>review biannually</u>	Ongoing	Clerk/RFO Finance & HR Committees Full Council
Incorrect VAT Claim and/or submission of a late claim	1	2		Clerk/RFO checks all invoices received to assess whether they can be validly included in the VAT claim. VAT is automatically calculated using the RBS Alpha Accounting Rialtas Software. VAT claims are normally reclaimed on a quarterly basis	To monitor and review - existing procedures adequate. <u>Arrangements to be reviewed at first quarter finance meeting annually.</u>	Financial Regs Internal Controls Policy	Ongoing	Clerk/RFO Finance Committee Full Council

Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer/ Committee
FINANCE								
				and reported to the Finance Committee and Full Council.				
Damage to or loss of assets	2	3		An Asset Register is kept up to date and reviewed at least annually by the Council. Insurance is held at the appropriate level. The Asset Register is lodged with the Council's insurance company. Assets / equipment owned by the Council are regularly reviewed and maintained e.g., benches / noticeboards / bus shelters. The Council ringfences a maintenance budget for ongoing repairs / maintenance works to assets. All repairs and relevant expenditure for any repair is actioned/authorised in accordance with the correct procedures of the Parish Council. Liaison with the police if necessary.	Develop an Asset Register and disposal Management Policy.	Financial Regs Internal Controls Policy	31.30.0306 .2024	Clerk/RFO Finance Committee Full Council
Damage to third parties/property								
Poor performance of assets or amenities								
Maintenance of assets								
Council overspend	1	1		Areas of spend closely monitored by RFO and Finance Committee as well as any Committee with delegated	To monitor and review - existing procedures adequate.	Financial Regs	Ongoing	Clerk/RFO Finance Committee

Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer/ Committee
FINANCE								
				authority to spend. Monthly reporting to Council. Decisions taken when risk of overspend arises. General Reserves and Ring-Fenced Reserves monitored.		Internal Controls Policy		Full Council
Precept inadequate to meet financial commitments and carry out Statutory duties	3	2		Sound budgeting to underlie annual precept. The Finance Committee meets at least quarterly to monitor the Council's budget. Each Committee with a budget monitors their budget information and detailed budgets are prepared in the late autumn. Precept calculated with regard to Council's projections and existing commitments in conjunction with the RFO, Finance Committee and Full Council. The precept is considered by the Finance Committee in December prior to making a recommendation to Council in January. Provision exists for shortfall in precept	Council Three-Year Action Plan to be drawn up to ensure adequate budgeting. <u>Three year budgeting for assets repair and replacement in place and General reserves to be built up to cover other unforeseen contingencies.</u>	Financial Regs Internal Controls Policy	Ongoing	Clerk/RFO Finance Committee Full Council

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Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer/ Committee
FINANCE								
				income as part of the General Reserves.				
Breach of Financial Regulations	1	1		Councillors and the Clerk/RFO are required to comply with Financial Regulations. Qualified Clerk/RFO in post. Auditors advise of areas of weakness. Annual review of Governance policies. Up-to-date NALC Model Financial Regulations in place.	Regular review of Councillors and Clerk/RFO training – particularly once a new Clerk is in post. <u>Requirements for training to be identified from the risk assessment and other policy requirements upon review.</u>	Financial Regs Internal Controls Policy	Ongoing	Clerk/RFO Finance Committee Full Council
Non-payment to staff and suppliers	3	1		Staff wages paid by WSCC payroll department. Regular administrative costs paid to suppliers via direct debit. Bank Mandate kept up to date with NatWest Bank.	Annual review of bank mandate – particularly once a new Clerk is in post. Annual review of direct debit payments – May, Annual Parish Council Meeting	Financial Regs Internal Controls Policy	Ongoing	Clerk/RFO Finance & HR Committees Full Council
Inadequate banking records	3	1		The Council has Financial Regulations and Standing Orders	To monitor and review - existing	Financial Regs	Ongoing	Clerk/RFO

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Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer/ Committee
FINANCE								
Financial irregularities Bank mistakes / charges Loss through theft or dishonesty				– based on the national models (NALC) - that set out the requirements for banking, the making of payments and internal audit. Monthly bank reconciliation prepared by the Clerk and shared with the Chair of the Finance Committee. Reviewed by the Finance Committee at least quarterly. The Council submits to an annual Internal and External Audit. Insurance cover in place for Fidelity Guarantee to cover Members and Officers. The Council prioritises training of its Clerk/RFO to ensure it receives sound, accurate advice, and guidance.	procedures adequate.	Internal Controls Policy Standing Orders		Finance Committee Full Council
Loss of Funds from the Council's fixed deposit account	3	1		Decision to transfer funds into the Council's deposit account made by the Finance Committee and/or Full Council in advance. Monthly bank reconciliation prepared by the Clerk, shared with the Chair of the Finance Committee and reviewed by the	To monitor and review - existing procedures adequate.	Financial Regs Internal Controls Policy	Ongoing	Clerk/RFO Finance Committee Full Council

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Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer/ Committee
FINANCE								
				Finance Committee. Internal and External audits undertaken. Insurance cover in place for Fidelity Guarantee to cover Members and Officers.				
Grants and support payable - Power to pay	1	1		The Council has the General Power of Competence (GPoC) since May 2023. All such expenditure must adhere to the Council's Grants Award Policy, which is reviewed annually. All applications are considered by the Finance Committee and their approval is minuted. All recipients are published on the Council's website . The Council prioritises Clerk training to ensure that its grant awards policy and expenditure its lawful. (Any payment made pursuant to s.137 Local Government Act 1972, are separately listed and accounted for.) Grants received by the Council are reported to Council and ringfenced. Finance Committee undertakes a quarterly review of	To monitor and review once new Clerk is in post. Does the Council maintain the GPoC? GPoC in place review annually.	Financial Regs Internal Controls Policy Grants Award Policy	Ongoing	Clerk/RFO Finance Committee Full Council

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Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer/ Committee
FINANCE								
				all ringfenced reserves and ensures any timescales for expenditure are met.				
Best value accountability - work awarded incorrectly, or overspend on services	1	1		The Council prioritises Clerk training to ensure that it achieves best value and undertakes the tendering / contract award process lawfully. Council practice is to seek at least three quotations for any substantial work to be undertaken. The Council complies with its Financial Regulations and Standing Orders, which it ensures includes mandatory clauses regarding awarding contracts and the tendering process. The Clerk reviews all invoices prior to payment. If problems encountered with a contract the Clerk would investigate the situation and report to the Finance Committee/Council. No work is carried out without prior approval (resolution) at a public Council/Committee meeting.	Tender for Grounds Work contract every 3 years. Last undertaken in 2022 <u>consider Biodiversity Policy at next review 2025.</u>	Financial Regs Standing Orders	Ongoing	Clerk/RFO Finance Committee Full Council

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GOVERNANCE								
Business Continuity - Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	4	2		Recent records (both paper and electronic) are kept at the Clerk's home and/or on the Council's laptop which is password protected with anti-virus security. Archived files are stored securely in the Council office at The Winterton Hall, Plaistow. The Council has a secure online backup system (One Drive) that backs up files as they are created or changed. Files are backed up monthly onto a hard disk. Key documents are also stored on the Council's website.	<u>Review of IT security and development of an IT Policy required. Cyber Policy to be put in place June 2024</u> <u>Cyber Insurance required. Cyber insurance obtained and security threat level monitored monthly to be kept below 70 as recommended by Coalition</u>	Financial Regs Internal Controls Policy <u>IT policy- Cyber Security Policy</u>	31.03.2024	Clerk/RFO Full Council
Council Records - Loss through theft, fire, damage	2	2		Recent records (both paper and electronic) are kept at the Clerk's home and/or on the Council's laptop which is password protected with anti-virus security. Archived files are stored securely in the Council office at The Winterton Hall, Plaistow. The Council have a secure online backup system (One Drive) that backs up files as they are created or changed. Files are backed up monthly onto a hard	To monitor and review - existing procedures adequate.	Financial Regs Internal Controls Policy <u>IT policy</u>	Ongoing	Clerk/RFO Full Council

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Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer / Committee
GOVERNANCE								
				disk. Key documents are also stored on the Council's website.				
Poor relationship with partners (including WSCC and CDC)	1	1		The Clerk has good relationships with WSCC and CDC Officers and other local organisations. County and District Councillors are invited to attend all Council meetings, but ordinarily attend the monthly Full Council meetings and submit reports.	<u>Ensure that the new Clerk has the correct contact information for local partners.</u> <u>Support the new Clerk to develop good personal relationships with partner organisations.</u> <u>Key WSCC and CDC contact known to Clerk and effective relationships in place.</u> To monitor and review - existing procedures adequate.	Standing Orders	Ongoing	Clerk/RFO Full Council
Council meetings not quorate or not minuted correctly.	1	1		Qualified Clerk in post and in attendance to take minutes. Apologies requested in advance of meetings. Attendance recorded as part of minute taking to evidence a quorum. The Council adopts Standing Orders	To monitor and review - existing procedures adequate.	Standing Orders	Ongoing	Clerk / Full Council

Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer / Committee
GOVERNANCE								
				which follow the national model (NALC). Minutes and agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed by the presiding Chair. Minutes and agendas are displayed according to legal requirements on the Council website and four (4) community notice boards. The Council prioritises Clerk training to ensure that it receives appropriate assistance and guidance and complies with all the legal requirements.				
Inadequate Internal Audit Assurance	1	1		Independent, professionally competent Internal Auditor appointed and in place. Appointment reviewed every 3 years.	To monitor and review - existing procedures adequate.	Financial Regs Internal Controls Policy	Ongoing	Clerk / Full Council
Conflict of interest not declared or dealt with appropriately for Councillors and Officers and Councillors failing to behave in accordance with the Code of Conduct.	3	2		Standing Orders contain procedure for recording and dealing with Councillor and Clerk conflicts of interest. Standing agenda items to receive declarations for interests for Councillors and Clerk. Monitoring Officer (CDC) maintains register of	To monitor and review - existing procedures adequate. Ensure appropriate training for	Standing Orders Code of Conduct	Ongoing	Clerk / Full Council

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Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer / Committee
GOVERNANCE								
				interests which is published on the internet via CDC's website and also the Parish Council's website. Latest model Code of Conduct adopted by Council.	Councillors and new Clerk.			
Spend and activity in areas in which the Council has no lawful power (i.e., Council behaves ultra vires)	2	1		<p>Qualified Clerk in post with a good knowledge of the scope of the Council's legal powers. Clerk to clarify legal position on proposals and to seek advice if necessary.</p> <p>Access to WSALC / CDALC / SLCC and NALC resources to provide guidance on legal issues and access to legal topic notes. All Council activity, decision-making and payments are resolved upon and clearly minuted. Council always receives and approves minutes at meetings. All proposed payments scrutinised to ensure Council has powers to make payment or ensure advice to be obtained from WSALC. The Council prioritises Clerk training to ensure that it receives appropriate legal and procedural advice and guidance to ensure lawful activity and expenditure. Clear Terms of Reference are in place for Committees / Sub-Committees and</p>	<p>To monitor and review - existing procedures adequate.</p> <p>Ensure Terms of Reference are in place for all Committees, Sub-Committees and Working Groups.</p> <p><u>Terms of reference for all Council Committees sub Committees and Working groups to be kept in place and reviewed annually at the Annual Parish Council Meeting in May.</u></p>	<p>Standing Orders</p> <p>Financial Regs</p> <p>Grant policy</p>	Ongoing	Clerk / Full Council

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Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer / Committee
GOVERNANCE								
				Working Parties. Financial Regulations and Standing Orders are in place.				
Insufficient capacity of Councillors and staff to deliver upon Council objectives. Lack of direction and prioritisation and absence of a business plan.	2	3		Reviews are undertaken by the Finance & HR Committees and Full Council to ensure that the annual statutory Council work plan is deliverable by having the resources in place or budgeted for.	Business Plan (three years) for the Council to be drafted and adopted. <u>Asset audit schedule to be reviewed annually and used for asset repair and replacement budgeting. General Reserves to be increased to enable the consideration of future projects.</u>	Standing Orders Financial Regs HR Committee Terms of Reference	31.03.2024	Clerk/RFO Finance Committee Full Council
Loss of 'General Power of Competence'	1	2		Requisite number of Councillors are elected (either by ballot or unopposed by-election). Qualified Clerk in post.	Ensure any future recruitment of a Clerk requires the relevant CILCA qualification. Or, a new Clerk to undertake the CILCA training. Eligibility for the power of GPC to be declared at full Council meeting after each election	Standing Orders	Ongoing	Clerk & Full Council

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Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer / Committee
GOVERNANCE								
					cycle and/or once qualified Clerk is appointed.			
Referendum or by-election required following a vacant seat arising from resignation or death	1	1		In the event of a Councillor resigning during their term, the electorate have a statutory right to call an election. Budgetary provision maintained for the cost of a byelection. CDC are responsible for declaring a seat vacant and notifying the Council accordingly. Scheduled elections are budgeted for over the course of four years. Unexpected election costs are held in earmarked reserves.	To monitor and review - existing procedures adequate.	Standing Orders Co-Option Policy	Ongoing	Clerk & Full Council
Non-compliance with Transparency Codes	1	1		The Council is not required to comply with either the Transparency Code for Smaller Authorities (annual turnover not exceeding £25,000 and exempt from external audit) or the Local Government Transparency Code 2015 (annual turnover over £200,000). However, the Council complies with best practice and has an up-to-date website with current agendas, minutes and reports uploaded. AGAR documentation uploaded and Standing Orders and Financial Regulations and policies.	To monitor and review - existing procedures adequate.		Ongoing	Clerk & Full Council

Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer / Committee
PERSONNEL								
Loss of Clerk (sickness, resignation) and due to Employment Tribunal claim e.g., Non-compliance with employment law	3	2		In the event of the Clerk being signed off sick and/or resigning, the Council would employ the services of a Locum Clerk. The support of WSALC and SLCC would be sought – they both offer locum staff in response to sudden departure/incapacity of staff members. Membership of NALC and WSALC maintained. Advert to be placed with WSALC if necessary. Maintain an appropriate budget to meet the cost of a Locum Clerk. Employer Liability insurance in place. Legal expenses insurance cover in place regarding employment tribunal claim. The Clerk has a NALC model employment Contract and Job Description. Councillors are aware to abide by the Code of Conduct in their role as Councillors.	Clerk should be provided with relevant training, reference books, access to assistance and legal advice including membership of professional body. Annual Clerk appraisal Ensure Employee handbook and relevant employment policies are in place / up to date with NALC model documents, including Grievance and Disciplinary procedures. Employment policies in place and		Ongoing	Clerk HR Committee Full Council

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Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer / Committee
PERSONNEL								
					<p><u>to be reviewed biannually.</u></p> <p>Undertake training <u>as identified when reviewing policies</u> to ensure HR Committee are aware of current legislation.</p> <p>Seek advice from the Council's insurance company where required.</p> <p>In any interim period without either a permanent or locum Clerk/RFO in post, a Councillor to be appointed to act as the Proper Officer on an unpaid basis in accordance with the LGA 1972 s.112</p>			

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Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer / Committee
PERSONNEL								
					(5) subject to full Council approval. Finance management to be outsourced – support and advice to be obtained from WSALC / Mulbury & Co / Internal Auditor.			
Councillors – Defamation risk. Risk of a claim towards a Member who is acting within their powers for the Council. Error or omission.	2	1		The Council maintains a Media and Communications Policy. Councillors must adhere to the Code of Conduct. The Council prioritises training to ensure that its staff and Councillors understand defamation risks. Insurance held to indemnify a Councillor and protect the Council against their actions and protect itself against a negligent act, error or omission by Councillors committed in good faith.	To monitor and review - existing procedures adequate.	Media and Communications Policy Code of Conduct	Ongoing	Clerk & Full Council
Inadequate capacity to fulfil the Council's objectives due to loss of knowledge	3	2		Appointment of a qualified locum Clerk/RFO able to deal with workload and comply with the statutory and legal requirements / support business	Three year Business Plan developed and adopted Mentoring available from <u>WSALC and SLCC</u>		Ongoing	Clerk HR Committee

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PERSONNEL								
				continuity until a permanent new Clerk/RFO appointed. Clerk has regular liaison meetings with the Chair of the Council.	<u>where ability lacking.</u> Candidates to be CILCA qualified or become qualified within 2 years of their appointment to the post.			Full Council
Inadequate training of staff and Councillors	3	2		Qualified Clerk/RFO in post. Delegated authority to the Clerk to ensure adequate training of Councillors and staff. Annual training budget maintained for Councillors and staff. Clerk's NALC model contract sets out training expectations. Qualified Clerk able to deliver training to Members as required. Annual staff appraisal reviews training need of Clerk.	Clerk to attend training to ensure they can fulfil their role. Staff appraisal to identify development needs of Clerk to ensure able to manage changing needs of Council. To monitor and review - existing procedures adequate.		Ongoing	Clerk HR Committee Full Council

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Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer / Committee
HEALTH AND SAFETY								
Legionella, asbestosis, or other similar conditions	4	1		Meeting venues managed by third parties who are responsible for managing risks and hold their own insurance and Health and Safety policies. The Council supports the Winterton Hall Management Committee in its capacity as Custodian Trustee of the Hall but does not share the legal liability. Legionella and electrical survey reports are carried out for the CRicket <u>Cricket</u> Pavilion. Third-party advice/expertise transfers liability. The Council has insurance in place.	To monitor and review - existing procedures adequate. <u>Update Fire Risk Assessment for the CRicket Pavilion. The Fire Risk assessment has been updated and to be reviewed annually with all risk assessments, ahead of or early in the council year.</u>	Legionella Policy	31.03.2024	Clerk & Full Council
Member of public, staff or Councillors injured at meeting venues, Council premises, grounds or events organised by the Council, or by assets. Risk of fire, injury to staff, residents, Councillors, and visitors.	4	1		Clerk aware of the Council's H&S responsibilities. Risk assessments undertaken for Council organised activities. Insurers are consulted on an appropriate level of cover which is procured with the insurer's stipulations fulfilled. Public & employers liability insurance in place. Contractors required to state liability insurance status prior to securing work with the Council. Any remedial works arising from relevant inspections (CRicket Pavilion	Checks on assets to be undertaken to ensure they are in good state of repair and repaired or removed if not. Tree surveys to be conducted every 18 months – 3 years. Review of the ground's		Ongoing	Clerk & Full Council

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Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer / Committee
HEALTH AND SAFETY								
				/ tree surveys) are carried out within the advised timetable specified by the contractor. Meeting venues owned/managed by third parties who are responsible for building safety / H&S responsibilities.	maintenance contract every 3 years. Legionella, electrical checks and fire risk assessment to be carried out at the CRicket-Cricket Pavilion. Relevant H&S training for Clerk when required.			
Attacks on staff	3	1		Clerk works from home and the public do not have access to their home and/or address details. The Clerk carries a mobile phone.		Lone Working Policy <u>requirement</u> to be <u>monitored</u> <u>adopted</u> .	31.03.2024	Clerk HR Committee Full Council
Fire, flood, or other peril affects P&I PC premises or equipment	3	1		Insurance in place.	CRicket-Cricket Pavilion - flooding risk minimal; Fire risk assessment <u>in place</u> . needed		31.03.2024	Clerk & Full Council

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Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Policies	Timeframe	Responsible officer / Committee
HEALTH AND SAFETY								
<p>Covid – 19 Risk to Members, staff, and public within meetings</p> <p>Inadequate equipment to facilitate remote access to meetings.</p>	2	2		<p>The Council complies with the up-to-date Government guidance and legislation in place from time to time. The Council maintains a Covid-19 policy which ensures that its meetings are covid secure including social distancing and equipment cleaning. The Council maintains a subscription with Zoom and Secured Signing to allow remote access to meetings and the execution of documents without the need for physical contact.</p>	To monitor and review - existing procedures adequate.		Ongoing	Clerk & Full Council

Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Timeframe	Responsible officer / Committee	
HEALTH & SAFETY - LADY HOPE PLAYPARK, PLAISTOW								
<p>Unlawful entry and risk of criminal damage or theft with the potential to cause harm.</p>	2	1		<p>The risk is tolerated. Some mitigation measures are in place. Monthly monitoring/inspections by Playpark Working Group Members. The area is insured. Insurance is reviewed and renewed annually. Asset Register is reviewed at least annually.</p>	<p>Policies in place to support Playpark Working Group: - - Scheme of Delegation - Playpark Inspection & Maintenance Policy.</p>		Ongoing	Clerk & Planning & Open Spaces Committee

Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Timeframe	Responsible officer / Committee
HEALTH & SAFETY - LADY HOPE PLAYPARK, PLAISTOW							
				Policies are reviewed at least annually.	- Playpark Working Group Terms of Reference		
Damage, wear & tear, and missing equipment causing slip/trip hazards or injury.	2	2		The risk is treated. Some mitigation measures are in place. Monthly monitoring inspections by Playpark Working Group Members. Remedial action undertaken without undue delay. Works undertaken by contractors, thereby transferring the risk. Checks made that contractors have public liability insurance. Annual safety inspection. The area is insured.	Asset Register and policies reviewed annually.	Ongoing	Clerk & Planning & Open Spaces Committee
Anti-social behaviour in particular entrapment and/or bullying and drug misuse.	2	1		The risk is treated as far as possible with a low slatted fence, to give good sightlines into the playpark and two points of 'escape' at either end of the playground. The area is inspected monthly, and any evidence of drug misuse is reported to the police. The playpark is used by predominantly younger children who are supervised by a responsible adult.	To monitor and review - existing procedures adequate.	Ongoing	Clerk & Planning & Open Spaces Committee
Finger entrapment.	1	1		The risk is managed by having properly fitted fence and self-close gates compliant with guidance. Regular monthly inspections are carried out. The Council has public liability insurance.	To monitor and review - existing procedures adequate.	Ongoing	Clerk & Planning & Open Spaces Committee

Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Timeframe	Responsible officer / Committee
HEALTH & SAFETY - LADY HOPE PLAYPARK, PLAISTOW							
Animal fouling giving rise to toxocarasis.	2	1		The risk is managed as far as possible by having properly fitted fence and self-close gates compliant with guidance. Signage indicates that dogs are not permitted inside the playpark. Monthly inspections are carried out. The Council has public liability insurance.	Ensure signage is correctly displayed	Ongoing	Clerk & Planning & Open Spaces Committee
Rubish could attract wasps, insects, animals, rodents resulting in health issues, bites, and stings.	2	1		The risk is treated by the provision of a litter bin which is emptied regularly through a contract with CDC thereby transferring the risk. Regular inspections are carried out. The Council has public liability insurance.	To monitor and review - existing procedures adequate.	Ongoing	Clerk & Planning & Open Spaces Committee

Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Timeframe	Responsible officer / Committee
HEALTH & SAFETY – OPEN SPACES							
Injury from falling trees or branches on Parish Council land posing a safety problem to the public where unrestricted right of access is available.	3	2		Register of trees maintained and Tree Condition Survey undertaken every 18 months – 3 years by a consultant arboriculturist. All tree works undertaken by an appropriately qualified tree surgeon	Tree Policy	Ongoing	Clerk & Planning & Open Spaces Committee

Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Timeframe	Responsible officer / Committee
HEALTH & SAFETY – OPEN SPACES							
				thereby transferring the risk. The Council is supported by the Parish Tree Warden, who undertakes visual inspections periodically and when necessary. The Tree Warden is alert to specific diseases which are prevalent. The ancient Oak on Plaistow Village Green is monitored by a consultant arboriculturist. The Council maintains budgets to undertake tree maintenance works throughout the year. Public Liability Insurance is maintained.			
Slips, trips, or falls from uneven ground / wet ground.	2	2		The risk is managed by regular grass cutting and maintenance carried out by a professional contractor, who reports any issues. Public Liability Insurance is maintained.	<u>Requirement for Adoption of a Ground Maintenance Policy to be monitored</u>	31.03.2024	Clerk & Planning & Open Spaces Committee
Animal fouling giving rise to toxocariasis.	2	1		The risk is managed by regular grass cutting and maintenance carried out by a professional contractor, who reports any issues. Public Liability Insurance is maintained.	<u>Consider the provision of dog waste bins for disposal of dog waste through a contract with CDC thereby transferring the risk. CDC no longer provide new dog waste bins general take your litter home message to be encourage and</u>	Ongoing	Clerk & Planning & Open Spaces Committee

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Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Timeframe	Responsible officer / Committee
HEALTH & SAFETY – OPEN SPACES							
					<u>general bins can be used for dog waste.</u>		
Splinters, or harm caused by street furniture, fences, seats, litter bins.	1	1		The risk is mitigated by a biannual 'litter pick', which includes visual inspections of Council owned assets. Remedial work is undertaken as required. The Council maintains a Village Maintenance budget and ringfenced reserves. Public Liability Insurance is maintained.	Litter Pick Policy & Risk Assessment reviewed annually <u>as required</u> . Playpark Inspection & Maintenance Policy reviewed annually Asset Audit conducted periodically (last done 2023).	Ongoing	Clerk & Planning & Open Spaces Committee
Rubish could cause injury/harm and/or attract wasps, insects, animals, rodents resulting in health issues, bites, and stings.	2	1		The risk is treated by the provision of a litter bins which are emptied regularly through a contract with CDC thereby transferring the risk. Regular grass cutting and maintenance carried out by a professional contractor, who reports any issues. The Council has public liability insurance. Regular visual inspections.	<u>Monitor the need for</u> Adopt a Ground Maintenance Policy Insurance is reviewed and renewed annually. Contract with CDC reviewed annually. Contract with ground maintenance contractor reviewed annually.	31.03.2024	Clerk & Planning & Open Spaces Committee

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Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Timeframe	Responsible officer / Committee
HEALTH & SAFETY – OPEN SPACES							
Harm to people working on land and open space owned by, or for which the Council is responsible for.	2	1		The risk is mitigated by Council authorisation to undertake the activity on the land. The activity will require a specific risk assessment for the activity. The Council's insurance company is provided with risk assessments and notified of activities. The Council has public liability insurance in place and contractors have their own public liability insurance, which is checked by the Council to ensure it is current and appropriate prior to engagement.	To monitor and review - existing procedures adequate.	Ongoing	Clerk & Planning & Open Spaces Committee

Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Timeframe	Responsible officer / Committee
DATA AND IT ARRANGMENTS							
Council records - electronic Loss through theft, fire, damage corruption of computer	2	1		System backed up via the One Drive. Files are backed up monthly onto a hard disk Rialtas Alpha Accounting Software backed up. Council 'buys in' IT support when necessary. IT support for Email and website via website host company TEEC. Council laptop with Clerk and password protected with anti-virus protection.	To monitor and review - existing procedures adequate.	Ongoing	Clerk & Full Council

Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Timeframe	Responsible officer / Committee
DATA AND IT ARRANGMENTS							
Corporate memory loss arising from staff or member loss of office / resignation	2	2		Documents saved on the Council's laptop (with the Clerk). Council documents secured in Winterton Hall office. Knowledge harnessed from former Councillors and staff prior to leaving.	Procedure to be developed for dealing with staff leavers to include documenting knowledge.	January 2024	Clerk & Full Council
Excessive FOI requests	3	2		Public and press welcome to attend parish Council meetings and take part in public participation. Agendas, minutes, and meeting reports are uploaded onto the website.	Information published on the parish Council website. Model ICO publication & FOI Scheme published on the website. Clerk to undertake FOI training <u>or consider the outsourcing of a data protection officer.</u> Working group or individual Councillor to be appointed to assist with any FOI request(s).	Ongoing	Clerk / HR Committee
GDPR - Breach of data protection / information security.	2	4		The Clerk is the Council's allocated DPO and is aware of principles of data protection. The Clerk is supported by an allocated Member.	<u>IT Policy required for the security of information stored on</u>	31.03.2024	Clerk & Full Council

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Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Timeframe	Responsible officer / Committee
DATA AND IT ARRANGMENTS							
				The Council prioritises training for its staff and Members. Personal information is redacted before it is circulated, and data is only stored on the Council's laptop (with the Clerk) for the required period. The Council does not offer services which require the routine collection of personal/sensitive information. Contractual clause for Clerk / Councillors and consultants (where applicable) to maintain confidentiality. Accounts software password protected. One Council laptop password protected. Encrypted emails via TEEC. All Councillors, Co-Opted members and staff have Council email addresses.	Councillor's personal devices. Cyber Insurance required. Clerk to undertake training. <u>Data Protection audit to be considered with outside data protection officer.</u> <u>Cyber policy in place and Cyber insurance in place.</u>		

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Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Timeframe	Responsible officer / Committee
REPUTATION							
Adverse press coverage	3	1		Public and press welcome to attend/film Council meetings. Social Media Page updated by the Clerk and Lead Councillor. Media and Communications Policy in place.	To monitor and review - existing procedures adequate.	Ongoing	Clerk & Full Council

Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Timeframe	Responsible officer / Committee
REPUTATION							
				Bi-annual E-Newsletter prepared by the Newsletter Working Group. Website kept updated with project information by the Clerk and Lead Councillor.			
Leaked confidential documents provided to the press	3	1		Confidential information clearly marked. Confidential information only provided to those who require sight of the same.	To monitor and review - existing procedures adequate.	Ongoing	Clerk & Full Council
Breach of Equality Act	2	1		Consideration given by the Council for requests for reasonable adjustments by staff, Councillors and public. Council ensures alternative arrangements are made to ensure it is disability friendly. Meetings are held at the Winterton Hall, Plaistow and the Kelsey Hall, Ifold. Premises and facilities owned and/or managed by third-party bodies - the Council is a private hirer of the space. The venues are adequate for the Councillors, Clerk and public who attend the meetings e.g., disabled access, toilet facilities, parking.	To monitor and review - existing procedures adequate.	Ongoing	Clerk & Full Council
Public events organised by the Council - risk to third party, property or individuals	3	1		Insurance is in place. Risk assessment of any individual event undertaken. Professional contractors used with their own insurance.	To monitor and review - existing procedures adequate.	Ongoing	Clerk & Full Council

Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Timeframe	Responsible officer / Committee
SPECIFIC EQUIPMENT & ASSETS							
<p>cRislet-Cricket Pavilion</p> <p>Security and maintenance of the building.</p> <p>Risks from Legionella, fire, and health & safety.</p>	2	1		<p>The Council owns the CRislet Pavilion on Plaistow Village Green. The Pavilion is rarely used since the dissolution of the cRislet club in 2014. It is kept locked. The only keyholder is the Clerk. Adequate Insurance cover maintained. The value of the asset is reviewed annually when the Asset Register is updated, and the Council arranges for periodic professional (at least every three years) building valuation to ensure that the sum insured for reinstatement is accurate. Separate Risk Assessments are provided for any ad hoc permitted use (negligible) such as Legionella Risk Assessment, Fire Safety Risk Assessment, Health & Safety Risk Assessment.</p>	<p>Incorporate formal bi-annual inspection into Litter Pick event.</p> <p>Legionella Policy in place including monthly water testing.</p>	Ongoing	Clerk & Full Council
<p>Bus Shelters</p> <p>Security and maintenance of the asset.</p> <p>Risk of damage / theft / routine wear.</p>	2	1		<p>The Council maintains a register of bus shelter, including their location. A formal annual inspection is undertaken by an allocated Member. The shelters are used regularly and faults, damage and/or issues are reported to the Council. The Council maintains a public presence and its contact information is available via notice board/website/social media/printed community publications. The Council resolves upon any necessary action within public meetings; the decisions are minuted.</p>	<p>Incorporate formal bi-annual inspection into Litter Pick event.</p>	Ongoing	Clerk & Full Council

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Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Timeframe	Responsible officer / Committee
SPECIFIC EQUIPMENT & ASSETS							
				The Council maintains a ringfenced reserve for asset maintenance in the event of a major unplanned issue arising and also specifically budgets within the financial year to undertake routine maintenance. The Council maintains adequate insurance.			
Benches Risk of damage / theft / routine wear. Health and Safety issues due to unsafe benches.	2	1		The Council maintains a register of benches, including their location. The benches are used regularly and faults, damage and/or issues are reported to the Council. The Council maintains a public presence and its contact information is available via notice board/website/social media/printed community publications. The Council resolves upon any necessary action within public meetings; the decisions are minuted. The Council maintains a ringfenced reserve for asset maintenance in the event of a major unplanned issue arising and also specifically budgets within the financial year to undertake routine maintenance and upgrades. The Council maintains adequate insurance.	Incorporate formal bi-annual inspection into Litter Pick event.	Ongoing	Clerk & Planning & Open Spaces Committee
Notice Boards Risk of damage / theft / routine wear Health and Safety issues due to unsafe boards	2	1		The Council currently has four (4) notice boards. The boards are visited regularly to publish meeting agendas. All faults, damage and/or issues are regularly reported to the Council. The Council resolves upon the	Incorporate formal bi-annual inspection into Litter Pick event.	Ongoing	Clerk & Planning & Open Spaces Committee

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Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Timeframe	Responsible officer / Committee
SPECIFIC EQUIPMENT & ASSETS							
				necessary action within public meetings; the decisions are minuted. The Council maintains a ringfenced reserve for asset maintenance in the event of a major unplanned issue arising and also specifically budgets within the financial year to undertake routine maintenance and upgrades. The Council maintains adequate insurance.			

Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Timeframe	Responsible officer / Committee
LITTER PICK							
<p>Personal injury from objects being picked up e.g., glass, metal cans - and vegetation.</p> <p>Exposure to unclean material e.g., bacteria/rotten food stuffs.</p> <p>Weather.</p> <p>Road hazards.</p> <p>Lifting / manual handling.</p>	3	1		<p>The Council issues PPE to all involved, including high visibility jackets, litter pick sticks, refuse sacks, gloves, and eye protection. Advice is issued not to use hands unless it cannot be helped and to not use an 'un-gloved' hand. Spare gloves are issued. A specific risk assessment is undertaken prior to each litter-pick.</p> <p>Road signs are used to warn traffic. Advice is issued regarding appropriate footwear and clothing e.g., sun cream / water / hat / appropriate footwear etc. The event is</p>	To monitor and review - existing procedures adequate.	Ongoing	Clerk / Full Council

Risks Identified	Impact	Likelihood	Risk rating	Controls in place	Additional controls required	Timeframe	Responsible officer / Committee
LITTER PICK							
Illness of volunteers.				<p>cancelled in poor weather conditions, including road visibility. Volunteers are assigned familiar routes. A safety/support vehicle with correct insurance is used to collect full refuge sacks along the routes and volunteers must have charged mobile phones. Volunteers sign to confirm they understand the nature of the role and their physical fitness to in advance.</p> <p>The Council organiser has undertaken a first aid course, which is kept up to date; and a first aid kit is available for the duration. An ambulance would be called where required. Public Liability Insurance is in place.</p> <p>Litter pick policies in place and reviewed annually.</p>			

This Risk Assessment document was considered and adopted by Full Council at its meeting held on 13th December 2023 [minute reference XXX]