

## 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. It is a key element of the framework of governance together with community focus; structures and processes, standards of conduct and service delivery arrangements.

***Audit Commission – Worth the Risk: Improving Risk Management in Local Government (2001:5)***

## Purpose of Document

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 Council is aware that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic and focuses approach to managing risk, which:

- Identifies the subject
- Identifies what the risk may be
- Identifies the level of risk
- Evaluates the management and control of the risk and records findings
- Reviews, assesses and revises procedures if required.

## Update record

January 2011	New version of document to replace earlier Risk Assessment Schedule Rev 5 dated May 2007 Draft (version 3) prepared by Linda Collison and David Hammond and circulated to Parish Councillors for comment. Changes include wider list of risks (eg Finance, Staff) and changed format.
November 2011	version 10. Review of form layout and entries. Listed actions to be completed during 2011/12. Proposed at Full Council meeting November 14 2011
January 2012	New version of document to incorporate improved processes and new process document. (LC/DH/NL) To be Proposed at Full Council meeting February 13 2013
May 2013	Updated Version for review at Annual Meeting Parish Council
July 2014	Updated Version for Kiosk & actions done
August 2014	Proposed at Full Council meeting 11 August 2014
May 2015	Risk Assessment Approved by Council for 2015-16
January 2016	Actions addressed and updated. LC
March 2016	Actions completed. LC
May 2017	Approved at Full Council Meeting on 8 <sup>th</sup> May 2017
May 2018	Approval at Full Council Meeting on 14 <sup>th</sup> May 2018
May 2019	Approval at Full Council Meeting on 13 <sup>th</sup> May 2019

**1. Parish Council Business:**

<i>What are the hazards?</i>	<i>H/ M/ L</i>	<i>What are we already doing?</i>	<i>What further activity is necessary?</i>	<i>Action by who?</i>	<i>Action by date?</i>	<i>Status</i>
<b>1.1 Business Continuity</b> Council unable to continue its business due to unexpected or tragic circumstance	L	Monthly computer back up. (Clerk) Monthly Bank reconciliation. (Clerk) Calendar of events on web	None	-	-	-
			None	-	-	-
<b>1.2 Meeting location</b> Meeting location unsafe/unfit for use.	L	Meetings are held in the Sports Pavilion. If unavailable to use Peppard War Memorial Hall. 6 monthly inspections of amenities – see Inspection Log Process in Process Document.	None	-	-	-
<b>1.3 Communication</b> Misinforming the public.	M	RPPC maintains website which includes meeting dates, minutes and agenda; Committee terms of reference; Publication Scheme, Standing Orders, Annual Accounts etc. RPPC maintains 4 notice boards, which contain the year's meeting dates and Next Full Council meeting agenda. One of these notice boards also contains the Publications Scheme. Clerk maintains documentation that is available to the public as required by the Freedom of Information Act. Annual review of RPPC publication scheme at Annual meeting of the Parish Council	None	-	-	-
<b>1.4 Standing Orders</b> Meetings are not conducted properly	L	Annual review of RPPC standing orders at Annual meeting of the Parish Council	None	-	-	-
<b>1.5 Councillor vacancies</b> Pressure on other councillors. Inquire meetings	H	Resignations reported to SODC so that correct paperwork can be prepared. Volunteers are encouraged by advertising on notice boards, website, through Peppard News and articles in Henley Standard.	None	-	-	-
<b>1.6 New Councillors</b> Inexperienced and unsupported new Councillors unable to carry out duties satisfactorily	M	The 'How to be a Good Councillor' booklet, Code of Conduct; Standing Orders, meeting minutes etc all available on the rppc website for new, and potential, members to read.	None	-	-	-

<b>1.7 Councillors</b> Fraud	M	Internal and External Audits. Finance and Staffing Committee implemented Monthly reviews of accounts Monthly bank reconciliations	None	-	-	-
<b>What are the hazards?</b>	<b>H/ M/ L</b>	<b>What are we already doing?</b>	<b>What further activity is necessary?</b>	<b>Action by who?</b>	<b>Action by date?</b>	<b>Status</b>
<b>1.8a Council Records: soft copy</b> Loss of Council records through theft or fire. Damage or corruption of computer records.	M	Back-ups of the files are on 4 external drives. 2 of these drives are held at Clerks home, 1 at the Chairman's home and one with the Chairman of the Finance and Staffing Committee. See Process document.	None	-	-	-
<b>1.8b Council Records: hardcopy</b> Loss of Council records through theft or fire.	M	Files held at Clerks home or locked in metal cabinet at pavilion.	None	-	-	-
<b>1.9 Web Maintenance</b> Unable to maintain website.	L	Web is created using Weebly – an on-line package. Files backed up as part of the normal back-up process	None	-	-	-

## 2. Finance

<b>What are the hazards?</b>	<b>H/ M/ L</b>	<b>What are we already doing?</b>	<b>What further activity is necessary?</b>	<b>Action by who?</b>	<b>Action by date?</b>	<b>Status</b>
<b>2.1 Budget</b> Insufficient funds to operate normal business. Loss control of spend, risk over spending.	M	General reserve of £19,000 is held, the reserve ensure all essential payments possible for over 6 months. All purchases and payments approved by full council. Full council provided with ytd accounts (against budget) each month. Donations reviewed at the end of the year and only paid if funds allow.	None	-	-	-
<b>2.2 Precept</b> Inaccurate precept request results in insufficient money to manage business.	M	Detailed process each year to calculate correct precept amount. Process includes review current year, review of expected costs and allowance for inflation.	None	-	-	-
<b>2.3 Banking</b> Issuing cheques without sufficient funds, inadequate signatories.	M	April 2013 opened Unity Trust bank operating internet banking – reducing cheques to a minimum (about 2 per year)	None	-	-	-

<b>2.5 Cash</b> Loss through theft or Dishonesty	L	The Council has no petty cash or float. Any cash transactions are made by the clerk are fully receipted and then reimbursed quarterly.	None	-	-	-
<b>What are the hazards?</b>	<b>H/ M/ L</b>	<b>What are we already doing?</b>	<b>What further activity is necessary?</b>	<b>Action by who?</b>	<b>Action by date?</b>	<b>Status</b>
<b>2.6 Financial controls and records</b> Loss of control of finances	M	RPPC Financial Regulations followed, including monthly bank reconciliations. Any financial obligation must be resolved and clearly minuted before any commitment. All purchases and payments approved by full council, promptly resolved and clearly minuted. Financial regulations reviewed annually at Annual Meeting of Parish Council (May).	None	-	-	-
<b>2.7 Payroll</b> Incorrect payment and deductions	H	Payroll outsourced to Autela payroll services. Monthly timesheets maintained by cleaners	None	-	-	-
<b>2.8 Election Costs</b> Risk of election cost not being correctly reflected in precept (budget)	M	Risk is higher in an election year There are no measures, which can be adopted to minimise risk of having a contested election. The budget includes provision for election costs as a contingency.	None	-	-	-
<b>2.9 VAT</b> Re-claiming/charging correct amount	M	Reclaiming of VAT is performed annually by the Clerk/RFO completed VAT course	None	-	-	-
<b>2.10 Annual return</b> Risk of late submission	M	See Process Document: Annual Return Process	None	-	-	-

### 3. Staff

<b>What are the hazards?</b>	<b>H/ M/ L</b>	<b>What are we already doing?</b>	<b>What further activity is necessary?</b>	<b>Action by who?</b>	<b>Action by date?</b>	<b>Status</b>
<b>3.1 Contract of Employment</b> Legal risk if staff employment is not correct.	H	Employment Contracts filed. Annual reviews to be held with Clerk.	Short reviews/meetings held with staff in November 2015.	LC	2015	

<b>3.2 Illness</b> Cover for work required	H	Chairman reads clerk email Member takes minutes Pay bills by cheque Locum if for long time – from OALC	None	-	-	-
<b>3.3 Payroll</b> Incorrect payments or deductions	H	See Finance: 2.7 Payroll	None	-	-	-
<b>3.4 Loss of Clerk/RFO</b> Council unable to function properly.	M	Documented a process document detailing Clerks processes	None	-	-	-
<b>3.5 Clerk Training</b> Inefficient Clerk, illegal meetings	M	Clerk encouraged to attend all relevant training courses. Budget includes £ for training.	None	-	-	-
<b>3.6 Village Cleaner</b> Potential injuries or infection.	M	Village Cleaner provided with protective gloves, socks and hi-viz vests. Written health and safety instructions issued.	Written health and safety instructions to be re-issued to Cleaners.	-	-	-
<b>3.7 Litter Cleaning Volunteers</b> Potential injury or infection.	M	Volunteers are provided with: - written instructions - protective hi-viz jackets and other protective items	None	-	-	-

#### 4. Assets

<i>What are the hazards?</i>	<i>H/ M/ L</i>	<i>What are we already doing?</i>	<i>What further activity is necessary?</i>	<i>Action by who?</i>	<i>Action by date?</i>	<i>Status</i>
<b>4.1 Street furniture owned by RPPC</b> Theft of or injury to public caused by RPPC owned street furniture	M	All items of RPPC owned street furniture are assigned to Councillors and are inspected twice each year as per inspection log process (See Process Document : Fixed Assets Processes)	None	-	-	-
<b>4.2 Footpaths</b> Injury to public caused by defective footpaths or	L	All public footpaths/rights of way are assigned to Councillors and are inspected on an annual basis at minimum (see Process Document : Footpath Inspection Process)	None	-	-	-
<i>What are the hazards?</i>	<i>H/ M/ L</i>	<i>What are we already doing?</i>	<i>What further activity is necessary?</i>	<i>Action by who?</i>	<i>Action by date?</i>	<i>Status</i>
<b>4.3 Footpaths</b> Footpath no longer passable due to overgrown vegetation or other obstructions	M	All public footpaths/rights of way are assigned to Councillors and are inspected on an annual basis at minimum (see Process Document : Footpath Inspection Process)	None	-	-	-

<b>4.5 Carlings Orchard</b> Injury to public caused by falling branches or other hazards	L	A Councillor is assigned to Carlings Orchard and completes inspection logs every 6 months as per the Inspection Log Process (See Process Document)	None	-	-	-
<b>4.6 Carlings Orchard</b> Hedges causing visual and physical obstruction on Stoke Row Road and Wyfold Lane	L	A Councillor is assigned to Carlings Orchard and completes inspection logs every 6 months as per the Inspection Log Process (See Process Document)	None	-	-	-
<b>4.7 Kiosk</b> Broken glass could cause injury	L	A Councillor is assigned to Kiosk and completes inspection logs every 6 months as per the Inspection Log Process (See Process Document)	None	-	-	-
<b>4.7 Kiosk</b> unable to open and therefore public unable to get to defibrillator	L	A Councillor is assigned to Kiosk and completes inspection logs every 6 months as per the Inspection Log Process (See Process Document)	None	-	-	-

## 5. Sports Pavilion and Field

<i>What are the hazards?</i>	<i>H/ M/ L</i>	<i>What are we already doing?</i>	<i>What further activity is necessary?</i>	<i>Action by who?</i>	<i>Action by date?</i>	<i>Status</i>
<b>5.1 Various</b>	M	Separate Risk Assessment document for the Charity	None	-	-	-