

VIGO PARISH COUNCIL RISK ASSESSMENT SCHEDULE

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 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))

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 focused approach to managing risk which:

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

Management				
Subject	Risk(s) Identified	Level of Risk H/M/L	Management/Control of Risk	Review/Assess/Revise
Business Continuity	Council not being able to continue in its business due to unexpected circumstances	L	All files and recent records are kept in the Parish Office. Some working files may be stored at the Clerk / assistant Clerks home as the Clerk / Assistant Clerk splits their working week between the office and home. Electronic Documents are stored on One Drive (Cloud storage) and emails are on the Vision ICT server. Passwords and Passcodes will be stored in a sealed envelope in a lockable fire proof box. The key is accessible to the Clerk plus the Chairman.	Review when necessary
Meeting Location	Adequacy/Health and Safety	L	Meetings are held in Vigo Village Hall. All premises and facilities are considered to be adequate for the Clerk, Assistant Clerk Councillors and any public who attend from a health and safety aspect. The Village Hall will be responsible for its own Risk Assessment.	Existing procedure adequate.
Parish Office	Adequacy/Health and Safety	L	The Parish Office is a room hired within Vigo Village Hall. The room is secured by a locked door and is only accessible by authorised persons (Clerk, Assistant Clerk, Chairman, Vice Chairman and Hall Manager). The premises are considered to be adequate for the Clerk from a health and safety aspect	Existing procedure adequate
	Office equipment	L	Annual checks to portable electrical appliances, leads and plugs are undertaken	Existing procedure adequate

Subject	Risk(s) Identified	Level of Risk H/M/L	Management/Control of Risk	Review/Assess/Revise
Council Records (Paper)	Loss through theft, fire or damage	L	All paper records are stored in the Parish Council office, in locked cabinets. Some working papers may be stored at the Clerks / Assistant Clerks home address. Keys to the cabinets are stored in a key safe. Access to the key safe is restricted to the Clerk, Assistant Clerk, Vice Chairman and the Chairman.	Existing procedure adequate
Council Records (Electronic)	Loss through damage, fire, theft of equipment or corruption of files held on computer	M	Electronic records are stored on the laptop(s) which are either in the Parish Office or the Clerks / Assistant Clerks home address. Documents are stored in One Drive Cloud Storage. Manual back-ups are made monthly on external hard drives: one copy stored off site and another in a fire proof box in the office. Emails are stored on the Vision ICT Server. Passwords and Passcodes are also stored in a lockable fire proof box. The key would be accessible to the Clerk plus the Chairman	Existing procedure adequate.
Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept. The Parish Council receives quarterly budget update information and detailed budgets in the Autumn. The precept is an agenda item at the November / December meeting to receive and approve the proposal of the Finance Committee	Existing procedure adequate
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L L	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	The internal auditor carries out regular checks with the bank statements and cashbook.	Existing procedure adequate
Cash	Loss through theft, error or dishonesty	L	The Parish does not have a cash float and only authorised transactions made by other parties can be fully reimbursed on receipt of an invoice. The Financial Regulations prevent the Clerk / Assistant Clerk from making purchases via personal bank cards for reimbursement	Existing procedures adequate

Subject	Risk(s) Identified	Level of Risk H/M/L	Management/Control of Risk	Review/Assess/Revise
Financial controls and records	Inadequate checks	L	Quarterly reconciliation prepared by the RFO (Clerk) and agreed by the internal auditor. Two signatories on cheques with an internal and external audit. The majority of payments are made online, approved at Parish Council meetings with the Clerk being the only authority to set the payments up online, and two named Council Members to approve all online payments. All financial obligations must be resolved and clearly minuted before any commitment. All payments must be resolved and clearly minuted. Any s137 payments must be recorded at time of approval	Existing procedures adequate
Freedom of Information Act	Policy Provision	L	The Council has a Freedom of Information and Data Protection Policy.	Monitor and report any impact made under Freedom of Information Act
	Failure to respond within the designated time scale	L	The clerk / assistant clerk are aware that reimbursement is available if a substantial request arrives which requires additional hours to be worked.	Existing procedures adequate
Clerk / Assistant Clerk	Loss of Clerk / Assistant Clerk	M	Funds to enable advertising for and training of a new clerk / assistant clerk would be taken from reserves. Loum Clerks available via SLCC.	Include in financial statement when setting precept
	Fraud	L	The requirements of Fidelity Guarantee Insurance must be adhered to	Existing procedure adequate
	Incompetency	L	The Clerk / Assistant Clerk should be provided with relevant training, reference books, access to assistance and professional advice.	Existing procedure adequate
	Long term sickness / absence	M	Cover to be provided on an ad hoc basis by Councillors. Current insurance cover includes cover for the Clerk after 14 calendar days of absence. Guidance to be obtained from appropriate authorities. Locum Clerks are available via the SLCC (Society of Local Council Clerks).	Existing procedure adequate

Subject	Risk(s) Identified	Level of Risk H/M/L	Management/Control of Risk	Review/Assess/Revise
	Poor timekeeping	L	The Clerk / Assistant Clerk would be asked to keep a timesheet detailing hours worked should this be required.	Existing procedure adequate.
Election Costs	Cost of Parish Council election	M	There are no measures which can be adopted to minimise risk of having a contested election. A contingency fund should be established via the precept to meet any costs.	Existing procedures adequate
Value Added Tax	Incorrect or overlooked claims	L	The RFO (Clerk) reclaims any VAT incurred by the Council on a regular basis. Undertake a regular internal audit	Existing procedures adequate
Annual Return	Not prepared in a correct manner for submission / not submitted within the time limits	L	The annual return is completed by the RFO / Clerk, approved by the Council and submitted to the Internal Auditor for completion and signing. Council are made aware of the deadlines on receipt of paperwork from the External Auditors.	Existing procedures adequate

CONTRACTORS

Contractors employed by the Parish Council	Inability to carry out tasks due to lack of experience/incompetency. Damage to land, property or persons	L	Ensure that contractors are experienced and competent to undertake the work they are to do. Proof of adequate and appropriate insurance cover to be made available and a copy kept by the clerk	Checks to be made and references taken up, if necessary. The Clerk to ensure that such documents are provided
Payment of Contractors employed by the Parish Council	Incorrect payment	L	Payment to be approved by the council annually. A monthly payment of 1/12th of the annual contract value to be paid by standing order each month. Two authorisations required for each payment.	Existing procedures adequate

ASSETS

Street furniture and recreational equipment, CCTV, Garage en bloc, Bus shelter, Community land, Office equipment and furniture	Inadequate insurance	L	An asset register is kept up to date and insurance is held at the appropriate level for all items.	Existing procedures adequate
	Damage / Vandalism	H	Adequate insurance and regular checks and monitoring with repairs being carried out promptly.	Existing procedures adequate.

Subject	Risk(s) Identified	Level of Risk H/M/L	Management/Control of Risk	Review/Assess/Revise
Play Park and Ball Park	Risk of injury Damage / Vandalism	M H	Regular inspections: daily (visual check and litter pick by Parish Contractor. Weekly (litter pick and visual check by Gravesham Borough Council). Quarterly by GBC (report received). Annually by a registered Playpark inspector employed by GBC, full report received). Insurance is adequate and reviewed annually.	Existing procedures adequate.
The Bay	Hazard from ball games being played Trip hazard from bollards	M M	Installation of street furniture to "break up" pedestrianised area. Installation of taller bollard to alert pedestrians to placement of low round bollards	Existing procedures adequate Existing procedures adequate
LIABILITY				
Legal Powers	Illegal activity or payments Working party decisions	L L	All activity and payments undertaken within the powers of the Parish Council to be resolved and clearly minuted. Ensure these are established with clear terms of reference	Existing procedures adequate Regular report to Full Council.
Public Liability	Incidents involving accidents or damage to property or individuals	M	Ensure that adequate insurance is in place. If proposed actions require it then a risk assessment to be undertaken	Existing procedures in place Persons employed by the Council to be aware of this requirement
Employer Liability	Non-compliance with employment law	L	Undertaken adequate training and seek appropriate advice	Existing procedures adequate
Legal Liability	Legality of activities / decisions made by the Council Proper and timely reporting Proper document control	M L L	Clerk to clarify legal position on proposals and seek advice as necessary Agenda and Minutes to adhere to statutory requirements. Retention of documents in the Parish Office, paper and electronic	Existing procedure adequate Existing procedure adequate Existing procedure adequate
COUNCILLORS PROPRIETY				
Members Interests	Conflict of Interest	M	Councillors have a duty to declare any interest at the start, or appropriate part of a meeting. Declaration of Pecuniary Interest Forms are completed when Councillors are elected. Councillors are reminded to update their DPL forms as necessary.	Existing procedures adequate
INSTALLATION OF BOLLARDS				

Subject	Risk(s) Identified	Level of Risk H/M/L	Management/Control of Risk	Review/Assess/Revise
Ruts in Community Land caused by vehicles	Risk of pedestrians falling and injuring themselves on the uneven and muddy ground	M	Where damage is identified, write to residents and if damage is severe enough, arrange for bollards to be installed to stop vehicles driving over community land.	Existing procedure adequate
Installation of bollards on Community Land	Health and Safety issues / danger to the public whilst installation takes place	M	All contractors to carry out operational risk assessments prior to the bollards being installed	Existing procedure adequate
Damage to pedestrians / vehicles once bollards are installed	Risk of vehicles hitting bollards once installed. Risk of pedestrians falling over bollards once installed	M	Inform residents in the immediate vicinity (in writing) that bollards are going to be installed. Ensure reflectors are put on the bollards, and they conform to Highway Standards regarding size and location.	Existing procedure adequate
Maintenance of Bollards once installed	Bollards may get damaged by vehicles or become loose over time.	M	Bollards are inspected on an regular basis.	Existing procedure adequate

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