

ST BRIAVELS PARISH COUNCIL
RISK MANAGEMENT POLICY
& RISK STATEMENT

Adopted Feb 2024

Reviewed May 2025

Next review May 2026

ST BRIAVELS PARISH COUNCIL

RISK MANAGEMENT POLICY

Introduction

Risk management refers to the culture, processes and structures that aim to ensure the effective management of potential threats which may impact on the business of St Briavels Parish Council. It is the Council's policy to proactively identify, understand and manage or mitigate the risks inherent in its services or ownership of assets, and associated with its projects, plans and events. The Accounts & Audit regulations make risk management a central plank of Governance processes for councils and is an auditable assertion.

Responsibilities

The council generally and all Councillors individually have responsibility for the development, introduction, monitoring and review of the risk management policy, with guidance from the Clerk. Understanding and consideration of potential risk must be part of all new activities proposed and considered by members.

Regulatory Requirement

Local Authorities must comply with proper practices as found in the Practitioner Guide:

- <https://www.nalc.gov.uk/library/our-work/jpag/3859-practitioners-guide-2023/file>

Auditors will investigate and need to certify "Assertion 5 — Risk management on the Annual Governance & Accountability Return (AGAR) that the council has *"carried out an assessment of the risks it faces and that it has taken appropriate steps to manage those risks, including the introduction of internal controls and external insurance cover where required"*.

In order to warrant a positive response to this assertion, the authority needs to have the following arrangements in place:

- Identifying and assessing risks — The authority needs to identify, assess and record risks associated with actions and decisions it has taken or considered taking during the year that could have financial or reputational consequences
- Addressing risks — Having identified, assessed and recorded the risks, the authority needs to address them by ensuring that appropriate measures are in place to mitigate and manage risk. This might include the introduction of internal controls and/or appropriate use of insurance cover.

Items Requiring Regular Review or Assessment

Items which the Council needs to assess regularly and review in relation to the Policy includes financial management, insurance, building/land inspections and maintenance, staffing and health and safety statements or policies. A Risk Assessment Statement should be reviewed annually.

Risks are uncertain events or conditions (not just financial) that if they occur, will affect the authority's ability to achieve its objectives. Risks are unavoidable, but they need to be managed either by mitigation or controls such that they are tolerated, treated, transferred or terminated.

Typical categories of risks include:

- financial – loss of money
- security – fraud, theft, embezzlement
- property – damage to property
- legal – breaking the law or being sued
- IT – failure of IT systems or misuse or data loss
- reputational – actions taken could harm the authority's public reputation

Financial & Operational Risk

In accordance with proper practices the Council must ensure that they have:

- assessed potential risks and carried out appropriate risk assessments to manage or mitigate its activities
- taken reasonable steps to ensure that it has conducted its business within the legal powers to do so

- conducted sound financial management and reporting, have effective processes ensuring due diligence and adherence to Financial Regulations and Standing Orders when conducting it financial business
- ensured that is has maintained an adequate system of internal control including measures designed to prevent and detect fraud or corruption. All completed internal Controls & Checks to be reported and minuted
- considered all internal and external Auditors' feedback report and appropriate action taken regarding any recommendations. All Audit recommendations and actions must be reported and minuted

Insurance

The Council will annually review, in conjunction with the Clerk who will update council of the following:

- ensure adequate insurance of all the Council's risks, to include Employers Liability and Fidelity Guarantee
- insurance of all the Council's property ensuring it is adequate and appropriate
- ensure changes, amendments or any new requirements to be reported to the insurers in-year
- manage claims against the insurance cover whenever necessary

Asset Inspections and Maintenance

The Council will review and inspect at regular intervals the following:

- condition of the assets in its care and report urgent repairs or maintenance
- condition of equipment provided for employee's/members use
- at least monthly inspection of all Defibrillators

Staffing

The Council will review when changes occur or an appropriate basis the following:

- Terms and conditions of employment, Salaries
- Staff training requirements
- Display Screen Equipment and Office working environment
- with the Clerk the Record Management and Business continuity arrangements to ensure fit for purpose

Health and Safety

- The Council will review the following:
- meeting rooms will be reviewed to ensure they are fit for purpose at each use
- Staff & Councillors be reminded of Personal Risk Assessment and precautions
- the Council's Health and Safety Statement or Policy be reviewed annually

ANNUAL RISK ASSESSMENT STATEMENT

Likelihood	Highly likely (3)	Medium (3)	High (6)	High (9)
	Possible (2)	Low (2)	Medium (4)	High (6)
	Unlikely (1)	Low (1)	Low (2)	Medium (3)
		Negligible(1)	Moderate (2)	Severe(3)
		Impact		

Basis of assessments

AREA	RISK	LEVEL	CONTROL <i>(and agreed improvements)</i>
Assets	Protection of physical assets from Loss or damage	L	1 Bus Shelters, Benches and BT Boxes insured. Value increased annually by RPI and periodically reviewed
		L	1 Flagpole, Playing Field Wall, Wooden Cemetery Gate, Memorial plaques, St Brides Well grille, and Village entrance sign insured. Value increased annually by RPI and periodically reviewed
		L	2 Parish notice boards, Bus Shelter Noticeboards, Defibrillators and Miscellaneous small assets insured. Value increased annually by RPI and periodically reviewed
	Maintenance of bus shelters, notice boards, benches	L	2 Regular inspection by Lead Councillor. Log and report actions needed Independent check reported as Internal Control
	Maintenance of Defibrillators ACTION—to all be logged on the circuit when in place DONE	M	3 Regular inspection by Lead Councillor, also delegated powers to spend on consumables e.g. batteries, pads. Log and report actions needed. Independent checks reported as Internal Control.
Finance	Banking	L	1 No cash. Cheques banked within 7 days of receipt
	Loss of cash through theft, dishonesty, fraud	L	1 No cash transactions
	Financial controls – to deter fraud, corruption, mismanagement	L	2 Monthly reconciliation of bank statements. Triannual 'in-house' checks. Annual Internal and external audits. Fidelity Guarantee Insurance. All transactions minuted
	Compliance with HMRC (VAT) regulations	L	2 VAT claims submitted regularly and included in 'in-house' checks
	Sound budgeting	L	2 Detailed budget process starts in Autumn from which precept derived. Quarterly Financial Budget Monitoring reported and considered.
	Unexpected loss of business Income	L	2 Proactive level of uncommitted General fund reserves available to meet expense for 6 months per contingency ratio in Reserves Policy. Income monitored and purposely underestimated in budget process as uncertain, and Precept kept as appropriate level.
Liability	Risks to third party, property or individuals	M	4 Insurance in place. Open spaces checked monthly. Log and report actions needed
Employer liability	Comply with employment law	M	4 Insurance in place. Membership of NALC, SLCC & GAPTC
	Comply with HMRC (Inland Revenue) requirements	L	2 Council contracts out PAYE system for staff salaries.
External providers	Assurance re contractors' competence and insurance cover	L	2 Awarding of contracts adhere to Financial Regulations and Standing Orders. Includes qualifications, certification and assured insurance cover as part of assessment criteria.
Legal liability	Ensuring activities are within legal powers	L	2 Clerk checks legal position for any new proposal. Powers reported against all spend. Legal advice sought where necessary.

	Proper and timely reporting via the minutes	L	2	Council meets monthly, and minutes approved at following meeting. Minutes published on web site and available by e mail
	Document control	M	4	Legal documents stored in fireproof cabinet in Clerk's home. All computer files backed up twice daily to a remote site, and monthly to hard drive kept in metal cabinet.
Councillor propriety	Register of Interests. Gifts and hospitality must be recorded.	L	1	Register of Interests completed, and Monitoring Officer approved, and available for public inspection on the web. Members Code of Conduct updated to latest NALC version and Members asked to review and agree annually.
Business continuity	Clerk's unplanned absence	L	2	Chairman has details of computer passwords, banking details including passwords, web site passwords, keys held and padlock combinations
	Continuity Plan	L	2	Clerk's monthly standard activities, and processes to be used in Clerk's absence. Details shared with Chairman through supervision. GAPTC Small Parish Council Representative to be contacted if absence ongoing.
	Clerk's unplanned absence	L	2	Additional costs of sick or other paid leave, advertising for a replacement, employing temporary/locum staff via GAPTC. Cost considered annually as reference to level of uncommitted General fund reserves available to meet expense and per contingency ratio in Reserves Policy.

SUPPLEMENTARY RISK MANAGEMENT

1. COSHH ASSESSMENT - Not applicable

2. CLERKS OFFICE & DISPLAY SCREEN EQUIPMENT -- Periodic Review

	YES	NO
SPACE Is there sufficient space with enough storage to enable easy access to the workstation (Legal minimum 11 cubic metres per person)?	✓	
LIGHTING AND POWER Is the lighting suitable and glare and reflection from light fittings, windows and walls been avoided? Have desk lamps (or other local task lighting) been supplied where necessary? Are flexible cables safe (ie not trailing)?	✓ ✓ ✓	
NOISE Is the equipment noise low enough not to distract attention or disturb speech? Can noisy equipment be moved away from the workstation where necessary?	✓ ✓	
TEMPERATURE AND HUMIDITY Is the temperature at the workstation at least 16°C (following the first hour of work commencing)? Is the temperature maintained at a level that ensures operator comfort? Have all potentially dangerous sources of excess heat been eliminated or suitably controlled? Is the air around the workstation comfortable (ie not too dry)?	✓ ✓ ✓ ✓	
DISPLAY SCREEN EQUIPMENT Is the screen image stable? Is the brightness/contrast control easily adjusted? Does the screen tilt and swivel easily?	✓ ✓ ✓	

3. GENERAL PERSONAL RISK ASSESSMENT

ACTIVITY	RISK	MEASURES TO MINIMISE
Working alone at home	LOW	Normal H&S precautions
Travelling alone, visiting someone's home	LOW	Advise responsible person where & expected times

FURTHER ACTION

Detail here further action considered necessary following this assessment:

ACTION COMPLETED: DEFIBRILLATORS - to all be logged on "The Circuit" when installed in agreed locations – Action> Lead Cllr & Clerk - DONE