

KEGWORTH PARISH COUNCIL

RISK ASSESSMENT AND MANAGEMENT POLICY

Policy Statement

The Council has a policy of identifying and assessing risks to minimise the potential for events and their consequences to be a threat to the Council’s assets, employees, contractors, services, or finances. The Council takes steps to successfully manage those threats and their consequences.

Risk Assessment

Risk assessment is central to the Council’s management of its activities. This policy and risk assessment are reviewed at least annually.

The significant risks for the Council are assessed to be:

| RISK | MITIGATING ACTION | RESIDUAL RISK | WHO? WHEN? |
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| Damage to, or loss of, property and assets | <ul style="list-style-type: none">• Protect by adequate insurance cover:<ol style="list-style-type: none">1. assets owned by the Council, including all land, property, equipment & furniture.2. third party property damaged or individuals injured as a consequence of the Council’s activity.3. loss through theft or dishonesty.4. the legal liability of the Council as a consequence of asset ownership. • Review annually the above-mentioned insurance cover. • Keep an up-to-date register of assets and investments. • Inspect the Council’s playgrounds as follows: weekly by the Council, | Low | <p>Clerk annually at renewal of insurance. Approved by Council.</p> <p>Clerk – Reviewed annually and approved by Council</p> <p>Lengthsman – weekly visual</p> |

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| | <p>quarterly by a certificated person, and yearly by a member of the National Register of Playground Inspectors. Any damage to be repaired as soon as possible, or areas secured and not used.</p> <ul style="list-style-type: none"> • Regularly inspect the Council's other assets and, where repair/maintenance is required, carry it out in a timely and professional way. • Ensure that adequate task-specific risk-assessments exist and are briefed to all relevant persons | | <p>inspection, Play Inspection Company – 1/4ly inspection, Suitably qualified company – full annual inspection and report to Council</p> <p>Lengthsman, Clerk with Councillors – routine monitoring, as per schedule approved by Council</p> <p>Clerk – as required, with regular review according to the agreed schedule</p> |
| <p><u>Acts & omissions of contractors:</u></p> | <ul style="list-style-type: none"> • Employ only bona fide contractors, who are qualified and who have Public Liability Insurance, Employees' Liability Insurance, and insurance for any damage to property. Employ only those with satisfactory Health & Safety policies/procedures and risk assessments in place. • Employ professional services in relation to planning, architecture, design, accountancy, employment, and legal matters, to ensure | <p>Low</p> | <p>Clerk - Approved by Council, as required.</p> |

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| | <p>the Council receives proper and professional advice.</p> <ul style="list-style-type: none"> • Fully observe KPC's Financial Regulations re the award of contracts. • Regularly review the performance of suppliers, providers and contractors. • Review ongoing contracts annually. | | <p>Clerk on anniversary of contract – Approved by Council</p> |
| <p><u>Legal & financial risks</u></p> | <ul style="list-style-type: none"> • Ensure all necessary training for the Parish Clerk and Responsible Financial Officer. • Ensure thorough induction and training of new councillors • Keep proper financial records in accordance with KPC's Financial Regulations, and regularly apply internal-control tests to ensure accuracy and prevent fraud. • Ensure that all taxation requirements are met, including VAT. • Ensure that the Council's annual budgeting is thorough and comprehensive, and that the annual Precept is adequate for those budgetary requirements. | <p style="text-align: center;">Low</p> | <p>Council, as the employer of the Clerk/RFO</p> <p>Council and the Clerk – see induction checklist, training records and professional development policy</p> <p>Clerk, Chair & Vice Chair, and Councillor conducting quarterly reconciliation checks</p> <p>Clerk, as required</p> <p>Clerk – budget set annually, monitored throughout the year, Approved by Council</p> |

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| | <ul style="list-style-type: none"> • Build and maintain sufficient reserves to cover the key risks the Council faces, as expressed in this financial risk assessment • Ensure that income & expenditure (against budget) and a current bank reconciliation are scrutinised and presented at least quarterly to a full Council meeting. • Ensure adequate internal & external audit annually. • Ensure all the Council's activities are within its legal powers and compliant with relevant laws and KPC's regulations. • Ensure timely and accurate minuting of the business transacted at Council meetings. • Ensure councillors' written Declarations of Interests are reviewed at least annually | | <p>Clerk – review at least annually and monitor throughout the year, Approved by Council</p> <p>Clerk – monthly & quarterly agenda items</p> <p>Clerk – annually. Internal audit approved by Council annually. Internal & External audit outcomes reported back to Council</p> <p>Clerk and auditors, as required</p> <p>Clerk, as required</p> <p>Clerk – annual review at first meeting of the year. Included as standard</p> |
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| | <ul style="list-style-type: none"> • Declaration of Interests is an agenda item at each Council and Committee meeting. • Ensure adherence to the Council's Code of Conduct • Ensure adequate insurance against libel/slander, fraud, and for business continuity | | <p>agenda item at other meetings</p> <p>Clerk and Councillors – continuously.</p> <p>Clerk – reviewed annually. Approved by Council</p> |
| <p><u>Data protection</u></p> | <ul style="list-style-type: none"> • Ensure that GDPR legislative requirements are adhered to. • Policies: Establish and review Data Protection policy, data breach policy, retention & disposal of documents policy • Documents: Establish Data flow mapping tool, data breach log, subject access request and Freedom of Information log • Data Protection/GDPR Training • Produce and publish data privacy notices • Back-up of all electronic records regularly • Use of Council email accounts and devices, not personal ones | <p style="text-align: center;">Low</p> | <p>Clerk and councillors – routinely</p> <p>Clerk – reviewed routinely. Approved by Council</p> <p>Clerk – routine use and review</p> <p>Clerk to arrange, as required.</p> <p>Clerk – published on website</p> <p>Clerk – daily back up through IT support company</p> <p>Clerk provides email account and advice at induction. Councillors sign</p> |

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| | <ul style="list-style-type: none"> • Password-protected IT systems, firewalls, anti-virus protection in place • Ensure business interruption and cyber security is covered on the Council's insurance | | <p>Security Compliance checklist</p> <p>Clerk – through IT support company</p> <p>Clerk at annual review. Approved by Council</p> |
| <p><u>Employees not working through ill health, isolation, or sudden resignation.</u></p> <p><u>Loss of public service, financial loss</u></p> | <ul style="list-style-type: none"> • Contingency plan in place for Clerk role, such as access to Locum Clerk's services. • Ensure key man insurance is covered on the Council's insurance • Chair has been given a sealed envelope containing passwords, details of location of keys, important Council documents etc. <p>Emergency plans in place, which includes a plan for periods of isolation, lockdown and working from home</p> | <p>Low</p> | <p>Chairman/Vice Chairman as required</p> <p>Clerk at annual review. Approved by Council</p> <p>Clerk/Chairman. Reviewed annually</p> <p>Clerk. Approved by Council, reviewed annually</p> |

Review Date: November 2023