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# RISK MANAGEMENT POLICY & RISK REGISTER

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REVIEWED DATE	REVIEWED BY	NEXT REVIEW DATE
May 2024	Full Council	May 2025
May 2025	Full Council	May 2026
May 2026	Full Council	May 2027

# Risk Assessment Policy and Risk Register

## 1. Statement

The Council accepts its responsibility for risk management, appropriate to its scale and operations, and taking account of best practice as embodied in 'Governance and Accountability in Local Councils in England and Wales, a Practitioner's Guide'.

Risk is a threat that an event or action will adversely affect the council's ability to achieve its objectives, implement its strategies and provide its services. Risk management is the process by which risks are identified, evaluated, addressed and reviewed. The council recognises that it has a responsibility to take all reasonable and practical measures to safeguard its employees, the people it works with and provides services for; and to protect the natural and built environments for which it is responsible.

The council is aware that some risks cannot be eliminated fully and has in place a strategy that provides a structured, systematic and focused approach to managing risk and including where necessary, the introduction of internal controls and/or appropriate use of insurance cover.

## 2. Objectives

The objectives of the risk management policy are to:

- Integrate risk management into the culture of the council
- Manage risk in accordance with best practice and legislative requirements
- Minimise loss, disruption, injury and damages
- Inform policy and operational decisions by identifying risks and their likely impact
- Raise awareness of the need for risk management

## 3. These objectives will be achieved by:

- Identification of risk
- Undertaking risk assessments
- Managing the risk and recording actions
- Incorporating risk management considerations into council processes
- Providing appropriate training
- Establishing clear roles, responsibilities and reporting lines
- Effective communication with, and active involvement of, employees

#### 4. Risk Register

The risk register enables the Parish Council to assess the risks that it faces and confirm that it has taken appropriate steps to manage those risks.

The council has broken the risks into eight areas:

<ul style="list-style-type: none"> <li>1. Finance</li> <li>2. Mansfield Road public toilets</li> <li>3. Outside Workers</li> <li>4. The Village Hall</li> </ul>	<ul style="list-style-type: none"> <li>5. Finance &amp; Governance</li> <li>6. Workplace</li> <li>7. Pandemic Disease</li> </ul>
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#### 5. Evaluation of the Risk

Risks are evaluated on a matrix that considers the **likelihood and consequences**

<b>Likelihood</b>	1 Unlikely	2 Possible	3 Likely
<b>Consequence</b>			
3 Major	3	6	9
2 Moderate	2	4	6
1 Negligible	1	2	3

#### 6. Risk Severity Calculation

Risks are calculated by multiplying likelihood x consequence and **Risk Severity** is defined as follows:

<b>Severity</b>	Low [L]	Moderate [M]	High [H]
<b>Score</b>	1 - 3	4 - 6	9

#### 7. Response

The severity of identified risks might involve one or more of the following responses:

- **Tolerate the risk** – for the risks where the downside is containable with appropriate contingency plans or if the controls cannot be justified (e.g. because they would be disproportionate; and for unavoidable risks, e.g. terrorism).
- **Treat the risk** – by imposing controls so that the Parish Council can continue to operate; or by setting up prevention techniques
- **Transfer the risk** – by buying a service from a specialist external body or taking out insurance
- **Terminate** the activity giving rise to the risk (or not start) which involve intolerable tasks or those where no response can bring the risk to a tolerable level.

## Risk Register

FINANCE								
Topic	Risk	Risk			Management/control of risk	Revised Risk		
		C	L	L		C	L	L
Precept	Request not submitted	3	L	1	Full Parish Council minute showing complete precept.	1	L	1
	Not paid by District Council	3	L	1	Checked and reported to Full Council. Reserves held.	1	L	1
	Adequacy of precept	3	M	2	Review of income & expenditure against budget at every Full Council and Finance and Governance meeting Maintain adequate general reserves	1	L	1
Income	Cash and Banking Handling - failure to accurately record/fraud	3	M	2	Receipts reconciled.	1	L	1
	Income below budget	3	M	2	Reviewed and reported to Finance and Governance Committee Maintain adequate general reserves	2	L	1
Grants and S106	Not received as expected	1	L	3	RFO check & report to Full Council  Not to commit expenditure until receipt of funds	1	L	1
Investment Income	Loss of surplus funds due to bad investments	3	M	2	Policy reviewed annually.	2	L	1
Reserves – General	Inadequate to cover possible unbudgeted expenditure	3	M	2	Considered at Budget setting and all other Governance & Finance Committee meetings. Opinion of RFO also considered.	2	M	2
Reserves – Earmarked	Inadequate to cover possible expenditure	3	M	2	Considered at Budget and at year end. Opinion of RFO sought.	2	L	1

Topic Finance (contd.)	Risk	Risk			Management/control of risk	Revised Risk		
		C	M	L		C	L	L
<b>Assets</b>	Loss, Damage etc.	3	M	2	Quarterly inspections, insurance in force and sums insured checked annually. Asset register updated annually – internal audit	1	L	2
	Risk or damage to third party property or individuals	2	M	2	Adequacy of Public Liability Insurance reviewed annually. .	1	L	2
<b>Loss</b>	Consequential loss due to critical damage or third-party performance	2	M	2	Adequacy of insurance cover reviewed annually.	1	L	2
<b>Cash</b>	Loss through theft or dishonesty	1	L	1	Adequacy of Fidelity guarantee insurance reviewed annually. Financial regulations and internal audit procedures in operation.	1	L	1
<b>Maintenance</b>	Wear and Tear/Damage to assets/amenities.	2	M	3	Regular inspections made by Councillors and Clerk and reported to Council. Reports from residents followed up by Clerk.	2	L	1
<b>Borrowing/lending</b>	Adequacy of finances to be able to repay loans	2	L	1	Financial review and cashflow quarterly forecasting	1	L	1
<b>Legal Powers</b>	Illegal activity or payment	3	M	2	Power to spend stated in minutes. Council informed as to legal powers. Clerk attends relevant training.	3	M	1
<b>Best Value</b>	Overspend on services	2	L	1	Ensure correct tendering for services in accordance with the Procurement Policy.	1	L	1

Topic Finance (contd.)	Risk	Risk			Management/control of risk	Revised Risk		
		C	L	L		C	L	L
<b>Salaries</b>	Wrong salary paid	2	L	1	Payroll company engaged Verified by internal auditor	1	L	1
	Wrong rate of pay	2	L	1	Payroll company engaged Verified by internal auditor	1	L	1
	Wrong deductions PAYE	2	L	1	Payroll company engaged Checked to PAYE Calculations.	1	L	1
	Information sent by email to and from payroll company in intercepted	2	M	2	Encrypt all emails containing personal information.	1	L	1
	False employee	2	L	1	Checked to PAYE Records & lists Verified by internal auditor	1	L	1
<b>Direct Costs and overhead expenses</b>	Goods not supplied to Parish Council	1	L	1	Clerk confirms, recovery of any money tendered	1	L	1
	Invoice incorrectly calculated	1	L	2	Arithmetic checked by Clerk; invoice examined by two councillors.	1	L	1
	Cheque/payment payable	2	L	1	Invoice/payment authorised by 2 councillors. Submitted for approval to the Finance and Governance Committee.	2	L	1
	Cheque/payment made to wrong party	2	M	2	Signatory checks by 2 councillors.	2	L	1
<b>Grants &amp; Support</b>	No agreement of Council to pay	2	M	2	All grant approvals to be minuted at Full Council Meetings.	1	L	1
	No conditions agreed/unreasonable conditions	3	M	2	Conditions checked by RFO and to be agreed in advance of any payments.	2	L	1

Topic Finance (contd.)	Risk	Risk			Management/control of risk	Revised Risk		
		C	M	L		C	L	L
<b>Election Costs</b>	Estimate only given by NSDC – Late submission of District Council invoice therefore cost not fully covered by budget	2	M	3	Full Council to approve annual budget to transfer to election reserve.	1	L	3
<b>VAT irrecoverable</b>	VAT element not recorded	1	L	2	All items verified by internal audit.	1	L	1
	Exemption doesn't apply	1	L	2	RFO verifies.	1	L	1
	Not claimed within time limits	2	M	2	Reported to Full Council – minute. Verified by internal auditor	1	L	1
<b>Financial and Council Records</b>	Inadequate records	3	M	2	Checked annually plus regular internal audit.	1	L	2
<b>Minutes</b>	Failure to be accurate and legal	3	M	2	Reviewed by Council/Committee at following meeting.	1	L	2
<b>Members interests</b>	Conflict of interest	3	M	2	Declarations of interest updated at each Council meeting with reminder note printed on agenda.	1	L	1
<b>RFO/Councillors committing fraud</b>	Public funds Reputation of Parish Council	3	M	2	Insurance cover of £500,000 Finance Regs and internal audits	3	L	1
<b>Loss of money at bank</b>	Public funds	1	L	1	Financial Services Compensation Scheme covers up to <b>£85,000</b> per authorised bank or building society	1	L	1

<b>CAR PARKS/PUBLIC CONVENIENCES/RECREATION AMENITY</b>								
<b>Topic</b>	<b>Risk</b>	<b>Risk</b>			<b>Management/control of risk</b>	<b>Revised Risk</b>		
		<b>C</b>	<b>M</b>	<b>L</b>		<b>C</b>	<b>L</b>	<b>L</b>
<b>Access</b>	Trip/Slip when entering	3	M	2	Disabled access available. Regular inspections and marking of trip hazards	3	L	1
<b>Flooring</b>	Trip/Slip on wet floor	3	M	2	Examined routinely by cleaner – notices erected when floor is wet.	3	L	1
<b>Equipment</b>	Electrical & plumbing failure	2	M	2	Caretaker/cleaner visit daily. Repairs carried out when required. Annual inspection by staff	3	L	1
<b>Claim on Council Following accident to member of the public</b>	Potential for claim against Council and possible prosecution	3	M	2	Insurance cover in operation.	3	L	1
<b>Lone Worker Assault</b>	Assault on Caretaker/Cleaner/Amenity Team	3	M	2	Lone worker policy	3	M	2
<b>Vandalism</b>	Damage to facilities	3	H	3	Toilets closed within the hours of darkness. Facilities visited daily by cleaning contractor and caretaker.	3	H	2
<b>Structure of Building</b>	Falling debris on Staff/Public	3	L	1	Ongoing and Annual inspection carried out by Staff	3	L	1
<b>Trees</b>	Staff/ Public being struck by fallen branches	3	M	2	Examined regularly by Staff as per Tree Safety Management Policy Any problems rectified or areas closed if this is not possible	3	L	1

<b>OUTSIDE WORKERS</b>									
<b>Topic</b>	<b>Risk</b>	<b>Risk</b>			<b>Management/control of risk</b>	<b>Revised Risk</b>			
		<b>C</b>	<b>L</b>	<b>L</b>		<b>C</b>	<b>L</b>	<b>L</b>	
<b>Toxocariasis</b>	Infection	3	M	2	Rubber gloves worn and litter pickers used Informed staff of equipment & protective clothing to be used	3	L	1	
<b>Car Parks</b>	Slipping on wet/frozen surfaces	3	M	2	Warning notices erected	3	L	1	
<b>Needles drug paraphernalia HIV/Hepatitis Infection</b>	Infection when disposing of item	3	H	3	Any paraphernalia found to be notified to Clerk for decision on method to be used. Special gloves to be worn and sharps box used	3	L	1	
<b>Litter and Broken Glass</b>	Cuts/Infection Back Problems	3	H	3	Remove and dispose of using thick gloves and litter picker to prevent close contact with litter and bending.	3	L	1	
<b>Accidents</b>	Any accident to staff	3	H	3	Protective clothing to be worn. No electrical work to be carried out. No road work carried out unless carried out and supervised by trained authorised personnel. First aid equipment issued. Staff informed to report any accidents to Clerk.	3	L	1	
<b>Contractors</b>	Employment issues	2	L	1	Contracts issued Inland Revenue documents submitted when required. Must abide by Council's Health & Safety Policy	2	L	1	
<b>Assault</b>	Assault on Staff	3	H	3	Staff training and Insurance cover in place	3	M	2	

The Village Hall									
Topic	Risk	Risk			Management/control of risk	Revised Risk			
		C	M	L		C	L	L	
Flooring	Trip/Slip	3	M	2	Carpets to be kept defect free.	3	L	1	
Equipment	Trip/Slip/damage to person	3	M	2	Equipment examined regularly. Repairs carried out when necessary. Annual inspection carried out by Risk Committee	3	L	1	
Electrical Equipment	Burns/Electrocution	3	H	3	Visual inspection monthly Circuit breakers installed. Door to electrical cupboard locked 5yr and annual testing carried out by a qualified electrician.	3	L	1	
Dangerous substances	Dangerous cleaning materials	2	M	2	Dangerous cleaning materials kept in a locked cupboard. Staff trained and provided with Personal Protective Equipment	2	L	1	
Structure of Building	Falling debris	3	H	3	Exterior of Building & walls inspected monthly and as appropriate	2	L	1	
Car Park	Trip/Slip	2	L	2	Examined regularly by Amenity Team Any problems rectified or car park closed if this is not possible. Annual inspection carried out by Committee	2	L	1	
Fire Equipment	Failure of equipment	3	H	3	Fire Alarm serviced every 6 months, Fire Extinguishers serviced every 12 months. Fire blanket and signs reviewed every 12 months.	3	L	1	

<b>Fire</b>	Fire	3	M	2	Call the fire brigade Evacuation procedure explained to staff Fire Drill, Muster point and Fire Marshalls exercised annually Attendance Register kept up to date	3	M	2
<b>Legionella</b>	Severe illness	3	L	1	Legionella Policy in place Weekly & Monthly Testing Training for staff	3	L	1
<b>Medical emergency</b>	Severe illness	3	H	3	Call ambulance, call designated First Aider,. Defibrillator on the outside of Building	3	M	2

**GOVERNANCE & MANAGEMENT**

Topic	Risk	Risk			Management/control of risk	Revised Risk		
		C	M	L		C	L	L
<b>Lack of forward planning and budgetary controls</b>	Lack of direction and prioritisation; insufficient funds to cover spend	3	M	2	Budget in operation and regularly reviewed.	3	L	1
<b>Poor reporting to council</b>	Poor quality decision making  Council becomes ill informed	3	M	2	Timely and accurate financial reporting. Clear instructions to staff. Matter raised at meeting	3	L	1
<b>Failure to keep proper financial records in accordance with statutory requirements</b>	Inadequate financial control	3	M	2	Proper arrangements for the notification of income and approval of expenditure. Review of internal controls in place and their documentation by Internal auditor.	3	L	1
<b>Failure to respond to electors' wish to right of inspection</b>	Loss of confidence. Loss of reputation	3	L	1	Operating protocols set by external auditor	3	L	1
<b>Poor document control</b>	Information not passed on in a timely manner. Deadlines missed, Lack of achievement	3	M	2	Clear job descriptions	3	L	1
<b>Failure to ensure that the Council complies with law in particular: *Health and Safety *Equal Opportunities *Data Protection *Human Rights *Disability Discrimination *Employment Law *Racial Discrimination</b>	Fines and Penalties from regulation bodies  Loss of reputation	3	M	2	Policies and procedures kept updated and reviewed annually by Finance and Governance Committee  Regular review of law.  Training and Induction carried out	3	L	1

Topic Gov & Management (contd)	Risk	Risk			Management/control of risk	Revised Risk		
		C	M	L		C	L	L
<b>Failure of the provision of services being carried out under agency/partner agreements with principal authorities</b>	Loss of reputation  Poor public image	3	M	2	Clear service level agreements.  Review of adequacy of insurance cover provided by suppliers	3	L	1
<b>Failing to ensure that all business activities are within legal power</b>	Illegal expenditure	3	M	2	Recording in the minutes the precise power under which expenditure is being approved	3	L	1
<b>Failure to provide proper, timely and accurate reporting of Council business in the minutes</b>	Confusion and misunderstandings  Actions not reflecting the intentions of Council	3	M	2	Draft Minutes published within 10 working days after the meeting. Approval by Committee/Parish Council. Minutes properly numbered. Master copy kept in safekeeping	3	L	1
<b>Failure to meet the laid down timetables when responding to consultation invitation</b>	Affect reputation.  Ineffectual involvement	2	M	2	Agenda to state closing date for responses. Extraordinary Meetings called and/or delegated procedures in place	2	L	1
<b>Council lacks relevant skills and commitment</b>	Council fails to achieve its purpose. Decision making bypasses Council. Poor value for precept income.	2	M	2	Training for Councillors  Close review of attendance	2	L	1
<b>Council becomes dominated by one or two individuals.</b>	Conflicts of interest. Pursuit of personal agendas. Decisions made outside Council Meetings	3	M	2	Clear Standing Orders regarding conduct of meeting and conflict of interests	3	L	1

Topic Gov & Management (contd)	Risk	Risk			Management/control of risk	Revised Risk		
		C	M	L		C	L	L
<b>Councillors benefiting from being on the Council</b>	Affect reputation	3	M	2	Clear Standing Orders Code of Conduct and Standard guidance issued to all members.	3	L	1
	Conflicts of Interest							
<b>Failure to register Members' interest, gifts etc</b>	Member could make inappropriate gains Could affect reputations	3	M	2	Procedures in place for recording and monitoring Members' interests and gifts	3	L	1
<b>Lack of maintenance of Council owned land or property</b>	High cost of repair. Injury to third-party leading to claims.  Damage to property.  Trees or branches fall	3	M	2	Regular routine inspections.  Maintenance when required. Insurance cover  Trees examined regularly as per Land Management Policy Any problems rectified or if this is not possible the area is cordoned off	3	L	1
<b>Damage or loss to Council owned property</b>	High cost of repair	3	M	2	Insurance cover. Police report or damage report Good fire alarm.	3	L	1
<b>Legal liability as a consequence of asset ownership</b>	Damage to public property or person	3	H	3	Public Liability Insurance Cover	1	L	3
<b>Damage to third party property or individual due to service or amenity provided</b>	Claim against Council	3	H	3	Public Liability Insurance Cover  Comprehensive event planning. Regular checks of facilities. Ensure all amenities/facilities are maintained to appropriate level	1	L	3

Topic Gov & Management (contd)	Risk	Risk			Management/control of risk	Revised Risk		
		C	H	L		C	L	L
<b>Loss of records</b>	Services not provided? Inability to carry out functions? Loss of historical records (irreplaceable) IT passwords	3	H	3	Digitisation of important documentation Ensure regular backups are undertaken and copied to cloud storage. IT security policy	3	L	1
<b>Cyber Security</b>	Loss of sensitive information Loss of funds Lack of confidence in the Council. Disruption of services	3	H	3	Use a good quality paid for Anti-virus. Full firewalls in place. Encryption on the hard drives in place, to prevent access if the computers are stolen	3	L	1
<b>Safeguarding – Assault/injury Failure of the Council to take reasonable steps to ensure anyone carrying out duties for or on behalf of the Council is adequately safeguarded. This includes not placing any such person in a potentially vulnerable position.</b>	Injury/assault on a member staff or councillor	3	H	3	Site meetings to be carried out by any Councillor to be notified to the office in advance and accompanied where possible.  All other precautions stated in the staff risk assessment to be applied to councillors.	3	M	2

1. WORKPLACE								
Topic	Risk	Risk			Management/control of risk	Revised Risk		
		C	L	L		C	L	L
<b>Workstation</b>	Repetitive strain injury  Eye damage/VDU Screen	2	L	2	Computer screen free from defects. Keyboard adequate. Good lighting. No glare. Adjustable chair, footrest. Staff self- assessments  Eye test every two years.  Annual inspection of office	2	L	1
<b>Accident occurring in office</b>	Injury to staff, Councillors, visitors or contractors	3	M	2	Flooring inspected regularly for defects.  Filing cabinets closed when not in use and only one drawer open at one time.  Equipment regularly checked for defects & annual inspection  Electrical inspection annually.  First Aid equipment & insurance cover provided.	3	L	1
<b>Lone Worker Assault</b>	Injury to staff, Councillors, visitors or contractors	3	H	3	Lone Worker Policy in place and adhered to.  Insurance cover.	3	H	3

## 2. Infectious Diseases

Topic	Risk	Risk			Management/control of risk	Revised Risk		
		C	H	L		C	M	L
<b>Health and safety during Covid-19, or any other serious epidemic Extreme scenario (Lockdown)</b>	Infection risk to staff at the workplace	3	H	3	Guidance issued and staff set up to work from home Online meetings for staff, Councillors, contractors and members of the public when required  Support system for staff - regular contact via zoom, telephone and WhatsApp group	3	M	2
	Infection risk to staff and contractors carrying out tasks e.g. cleaning toilets, clearing litter, grass maintenance	3	H	3	Review of all cleaning and maintenance duties including issue of PPE Consider risks for individual grass cutting areas Consider alternative duties for staff if not possible to continue safe cleaning/maintenance	3	M	2
	Infection risk to public at Edwinstowe Parish Council owned or leased property such as public toilets, car parks, play areas, open spaces with seating	3	H	3	Consideration be given to closure on a case-by-case basis based on government guidance and the most recent medical advice.  Appropriate signage	3	M	2
	Meeting Rooms risk of infection to staff, contractors, visitors and volunteers.	3	H	3	Closure of room with regard to the latest medical advice,	3	L	1
	Risk of staff/contractors being infected when they are in the workplace.	3	H	3	Consider if it is necessary for staff/contractors to be in the workplace as the risks for each epidemic	3	H	3

<p><b>Health and safety during Covid-19, or any other serious epidemic</b>  <b>Less extreme scenario (social distancing)</b></p>				<p>scenario will be different; staff should continue to work from home if necessary  No personnel should return to work if exhibiting symptoms, during an isolation period, or if in quarantine  Provide Government Guidance on Guidelines to all staff (if/when available)  Display Government Guidance Compliance  ‘Staying COVID-19 Secure  Screens separating staff/contractors must be used and desks separated  Maintain PPE stocks, hand sanitiser, soap, wipes and disinfectant  Cleaning and handwashing hygiene procedures &amp; stations in place/hygiene notices displayed  Frequent disinfecting of objects and surfaces that are touched regularly, door handles and keyboards  If cleaning after a known or suspected case of COVID-19 (or other significant health risk) then we should refer to specific guidance  Careful consideration be given to permitting non-essential personnel into the The Village Hall  Review risk as situation evolves</p>			
	<p>Public at risk of being infected whilst at the Village Hall</p>	3	H	<p>3  Careful consideration should be given to the latest medical guidance  Visitors to be briefed at arrival on the safety precautions in place, and procedures that must be followed</p>	3	L	1

				No one to be allowed entry if exhibiting symptoms, during an isolation period, or if in quarantine				
	Infection risk to public at Edwinstowe Parish Council owned or leased property such as public toilets, car parks, play areas, open spaces with seating	3	H	3	Consideration be given to reopening on a case-by-case basis based on government guidance and the most recent medical advice. Individual risk assessments for play areas/outdoor fitness equipment and toilets performed and	3	H	3
	Risk of Legionella infecting stagnated water at Edwinstowe Parish Council property whilst water systems not in use	3	H	3	Before water is used, follow the Legionella Control Procedure as defined in the Health and Safety at Work Act (1974), and any updates to that guidance	3	L	1
<b>Decision Making</b>	Continuity of business during lockdown	3	H	3	Scheme of Delegation agreed	3	L	1
<b>Finance</b>	Access to accounts software Ability to pay invoices Ability to pay staff Annual accounts, sign offs, Annual Return	2	L	1	Payments and accounts operated remotely and via email for authorisation. Consider training for additional staff to access accounts system should the RFO be unavailable	2	L	1
<b>Operations</b>	Inability to carry out services Statutory duties to inspect play areas and attend to any maintenance Grass cutting Toilets cleaning and restocking Visits to TH, Meter readings, H&S checks etc Council meetings	3	H	3	Closure of all play areas Notice on all play areas  Payments and accounts operated remotely and via email for authorisation. Consider training for additional staff to access accounts system should the RFO be unavailable Replacement and inspection of equipment in play areas/seating areas where necessary Maintenance continued in play areas and SPC land if no risk to staff member	3	L	1

					Staff to display good social distancing guidance Toilets closed and locked Visits stopped or limited if necessary, virtual meetings to be used via Zoom Council meetings done by Zoom Meter readings done by staff members			
<b>Communication</b>	Public confusion and misinformation	3	H	3	Details on Website Posters on notice boards Details on Facebook Keep Residents informed via email Email and phone call to those not on social media Councillors kept updated regularly via Zoom and email.	3	M	2
<b>Resilience &amp; Continuity</b>	Council unable to function due to unforeseen circumstance	3	M	2	Emergency Plan for council	3	L	1

Adopted by Full Council on 13<sup>th</sup> May 2026, Minute Reference 26/007