Woodbury Parish Council

Risk Management Policy

And

Risk Register

Adopted: March 2022

Reviewed: Annually

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Objectives

The aims and objectives of this Risk Management Policy are comprehensive beginning with the need to develop risk management beyond Health and Safety.

- Integrate risk management into the culture of the organisation;
- Embed risk management through the ownership and management of risk as part of all decision-making processes;
- Manage risk in accordance with best practice.

Introduction – Woodbury Parish Council Risk Management Policy Statement

The Parish Council recognises that, in addition to its statutory duties, there are significant economic and ethical reasons to take all reasonable and practicable measures to safeguard the people that it works with, and provides services for, and to protect the natural and built environments for which it is responsible.

This policy document first establishes:

- What is risk management?
- Why the Council needs a risk management policy?
- The reasoning behind the risk management procedures of the Parish Council What the risk management process is;
- Options for control of risks; Risk monitoring;
- Roles and responsibilities; Future monitoring.

What is Risk Management?

Risk management is essential to good governance.

Risk is the possibility that an event or action will adversely affect or impact an organisation's ability to achieve its objectives and to successfully execute its strategies. A Parish Council needs to review its risks; Risk = Threats and Opportunities.
Inherent Risk is a risk presented with no mitigating factors taken into account.
Residual Risk is a risk that remains once mitigating controls have been considered.

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.

The Parish Council is more likely to achieve its objectives if it manages risk properly. It is critical to recognise that risk management applies to every aspect of the Council's work, and is not just about Health and Safety. Risks can be classified into various types but it is important to recognise that for all categories the direct financial losses may have less impact than the indirect costs such as disruption of normal working.

Not all these risks are insurable and for some the premiums may not be cost effective. Even where insurance is available, money may not be an adequate recompense. The emphasis should always be on eliminating or reducing risk before costly steps to transfer risk to another party are considered.

Good risk management can help facilitate being proactive, rather than merely defensive responses. Measures to manage adverse risks are likely to help with managing positive ones.

The examples below are the main profiles, but not exhaustive:

Health and Safety Risk
The Council will adhere to the requirements of the Health and Safety at Work Act 1974 and other relevant health and safety legislation and codes of practice.

Strategic Risk
The long-term adverse impacts from poor decision making or poor implementation.
Damage to the reputation of the Parish Council, loss of public confidence, and in a worst-case scenario Government intervention.

Compliance Risk
The failure to comply with legislation, laid down procedures or the lack of documentation to prove compliance.
Exposure to prosecution, judicial review, employment tribunals, inability to enforce contracts.

Financial Risk
Fraud and corruption, waste, excess demand for services, bad debts.
Risk of additional audit investigation, objection to accounts, reduced service delivery, dramatically increased council tax levels/impact on Parish Council reserves.

Operating Risk
Failure to deliver services effectively, malfunctioning equipment, hazards to service users, the general public or staff, damage to property.
Risk of insurance claims, higher insurance premiums, lengthy recovery processes.

Why the Council needs a Risk Management Policy?

Risk management will strengthen the ability of the Parish Council to achieve its objectives and enhance the value of services provided.

Risk management will help to ensure that the Parish Council has an understanding of 'risk' and that the Parish Council adopts the same approach to identifying and prioritising risks. This should in turn lead to conscious choices as to the most appropriate method of dealing with each risk, be it elimination, reduction, transfer or acceptance.

Why Risk Management?

Whilst it is acknowledged that risk cannot be totally eliminated it is accepted that much can be done to reduce the extent of injury, damage and financial loss. Therefore, the Parish Council is committed to identifying, reducing or eliminating the risks to both people and the natural and built environments.

The Council will ensure the insurance cover includes such perils and will provide protection against significant losses whilst being cost effective.

The Council will seek to embed effective risk management into its processes and structure to ensure that opportunities are maximised.

The Council will seek to encourage staff to identify, assess and manage risks.

What is the Risk Management Process?

Implementing the Policy involves identifying, analysing/prioritising, managing and monitoring risks.

Risk Identification

Identifying and understanding the hazards and risks facing the Parish Council is crucial if informed decisions are to be made about policies or service delivery methods. The risks associated with these decisions can then be effectively managed.

Risk Analysis

Once risks have been identified they need to be systematically and accurately assessed using proven techniques. Analysis should make full use of any available data on the potential frequency of events and their consequences. If a risk is seen to be unacceptable, then steps need to be taken to control it or respond to it.

Risk Prioritisation

An assessment should be undertaken of the impact and likelihood of risks occurring, subject to detailed consideration and the preparation of an action plan to appropriately control the risk.

Risk Control

Risk control is the process of taking action to minimise the likelihood of the risk event occurring and/or reducing the severity of the consequences should it occur. Typically, risk control requires the identification and implementation of revised operating procedures, but in exceptional cases more drastic action may be required to reduce the risk to an acceptable level.

Options for control of Risks

Elimination

The circumstances from which the risk arises are removed so that the risk no longer exists.

Reduction

Loss control measures are implemented to reduce the impact/likelihood of the risk occurring.

Transfer

Where the financial impact is passed to others, for example, by revising contractual terms.

Sharing
By sharing the risk with another party or parties.

Insuring
Insuring against some or all of the risk to mitigate financial impact.

Acceptance
Documenting a conscious decision after assessment of areas where the Council accepts or tolerates a particular risk.

Risk Monitoring

The risk management process does not finish with putting any risk control procedures in place. Their effectiveness in controlling risk must be monitored and reviewed. It is also important to assess whether the nature of any risk has changed over time. The information generated from applying the risk management process will help to ensure that risks can be avoided or minimised in the future. It will also inform judgments on the nature and extent of insurance cover and the balance to be reached between self-insurance and external protection.

How will it feed into the Council's existing polices?
Initial identification of risks will be by individual Councillors, the Clerk, members of the public, contractors or volunteers.

Roles and Responsibilities

It is important that risk management becomes embedded into the day to day and performance management process of the Parish Council.

The roles and responsibilities set out below, are designed to ensure that risk is managed effectively across the Council and its operations, and responsibility for risk is located in the right place. Those who best know the risks to a particular service are those responsible for it. The process must be driven from the top but must also involve staff throughout the Parish Council.

Councillors
Risk management is seen as a key part of Councillors' role and there is an expectation that they will lead and monitor risk management.

This will include:

- Approval of the Risk Management Policy.
- Analysis of key risks in reports on major projects, ensuring that all future projects and services undertaken are adequately risk managed.
- Consideration, and if appropriate, endorsement of the Statement of Internal Control.
- Assessment of risks whilst setting the budget, including any bids for resources to tackle specific issues.

Clerk / Responsible Finance Officer

The Clerk / RFO will act as the lead officer on risk management, overseeing the implementation of the detail of the Risk Management Policy and will:

- Provide advice as to the legality of policy and service delivery choices.
- Provide advice on the implications of potential service actions for the Parish Council's aims and objectives.
- Update Parish Council and service areas on the implications of new or revised legislation.
- Advise on any health and safety implications of the chosen or proposed arrangements for service delivery.
- Assess and implement the Parish Council's insurance requirements.
- Assess the financial implications of policy options.
- Provide assistance and advice on budgetary planning and control.
- Ensure that the budget monitoring documents allow effective budgetary control and informs financial decisions made by the Parish Council.

Role of Internal Audit

The Independent Internal Auditor provides an important scrutiny role carrying out audits to provide independent assurance to the Parish Council that the necessary risk management systems are in place and all significant risks are being managed effectively.

Internal Audit assists the Parish Council in identifying both its financial and operational risks and seeks to assist the Parish Council in developing and implementing proper arrangements to manage them, including adequate and effective systems of internal control to reduce or eliminate the likelihood of errors or fraud.

The Internal Audit Report, and any recommendations contained within it, will help to shape the operation of the Parish Council.

The adoption of a sound risk management approach should achieve many benefits for the Parish Council. It will assist in demonstrating that the Parish Council is committed to continuous service improvement and demonstrating effective corporate governance.

Future Monitoring

The progress of the policy will be measured on:

- Adjustments to the way in which services are delivered.
- Greater satisfaction of Councillors, staff, volunteers, customers and visitors with the provisions made by the Parish Council.

Reviewing this Policy

This policy will be reviewed annually as part of the Parish Council's continuing review of its policy documents, Standing Orders and Financial Regulations. Recommendations for change will be reported to the Parish Council.

Woodbury Parish Council
Risk Register

ADOPTED March 2022
(reviewed annually)

Categories of risk

1. Financial - loss of money, fraud, theft, embezzlement, value for money
2. Property – damage to property
3. Legal – breaking the law or being sued
4. IT – failure of IT systems or misuse
5. Reputational – actions harm the council's public reputation
6. Open Spaces, Equipment & Activities – covering our management of the Open Spaces
7. Parish Office
8. Flower Street Toilets and car park

Risk Assessment Matrix

Likelihood

Consequences		1 Rare	2 Unlikely	3 Possible	4 Likely	5 Almost Certain
	5 Catastrophic	5 Moderate	10 High	15 Extreme	20 Extreme	25 Extreme
	4 Major	4 Moderate	8 High	12 High	16 Extreme	20 Extreme
	3 Moderate	3 Low	6 Moderate	9 High	12 High	15 Extreme
	2 Minor	2 Low	2 Moderate	6 Moderate	8 High	10 High
	1 Negligible	1 Low	2 Low	3 Low	4 Moderate	5 Moderate

Reviewed Annually by	Staffing, Finance & Policy Committee	**Recommended** – to be actioned
Approval required by	Full Council	
Approved and adopted	**Full Council**	
Notes:		
Next Review Date: March 2023		

1. Financial

Risk no.	Description	Impact	Likelihood score	Impact score	Risk rating	Mitigation
1.1	Precept not sufficient for intended purpose	The council has insufficient income for the forthcoming year	2	2	4	Budgeting process is held once per year through the Council meeting cycle, starting October and finalised in January. Revisions can be made throughout the year to bring in additional funds from Reserves and/or CIL (or other); or to change activity to adjust to revised income; Projected Spend is reviewed quarterly (spend against budget). updated.
1.2	Loss of cash through theft or dishonesty (Fidelity guarantee)	The council loses income and assets	1	2	2	Fidelity Guarantee up to £150,000 with Ecclesiastical through Came and Company.
1.3	The council does not identify its risks	Financial, criminal or reputational loss.	2	4	8	Annual review of risk and the adequacy of insurance cover undertaken annually by Council and each individual activity, e.g. an Event, has a separate risk assessment carried out and reviewed by Clerk. Risk walks are carried out twice per year for P3 Scheme footpaths and larger areas to ensure open space risks are spotted, documented and, where required, resolved. This is in addition to annual playground safety checks, as well as weekly/monthly checks; Tree checks to identify issues with trees are by Tree Wardens / Contractors. **Recommend** - a full Tree Survey every three years. All risks or concerns are notified to the next appropriate committee or Full Council meeting. Any urgent actions are carried out immediately using appropriate delegated authority as specified in Standing Orders and Financial Regulations.
1.4	The council is not insured adequately	Financial, criminal or reputational loss.	3	2	6	Review of management arrangements regarding insurance cover are reviewed annually prior to policy renewal via Council. RFO and Insurance broker (Came & Company) confirms adequate cover annually and ensures everything is covered.

1.4b	The council is OVER INSURED	The Council pays too much for its premiums and isn't obtaining value for money	1	1	1	The level of cover is reviewed annually by the RFO with the input of the broker and put to full Council for review. Quotes to be sought from variety of companies ahead of next renewal May 2022.
1.5	Failure to correctly award contract for services or the purchase of capital equipment.	The council does not award contracts correctly (with the correct type of contract) resulting in financial or reputational loss to the council.	3	2	6	Standing Orders reviewed and adopted January 2022, reviewed annually. Financial Regulations reviewed and adopted January 2022 Professional guidance to be sought before major contracts (> £25,000) are put in place; follow Procurement Guidance as set out in NALC LTN 87. All Contracts > £25k will be put on Contract Finder. Take guidance from Wellers Hedley where appropriate.
1.6	The council does not act legally and exceeds its powers.	The council risks financial and reputational loss.	3	2	6	Expenditure of Section 137 / CIL /S106 is regularly monitored and reported separately. New Internal Auditor – Auditing Solutions - was appointed in October 2021. Clerk qualified with CILCA, ensuring high standard of competency. SLCC and NALC membership provides go to Advice Service, proactive Legal Topic Notes and guidance on key topics and legislative changes Wellers Hedley are available on a query-by-query basis, eg drafting a legal agreement for CIL expenditure. External review, points raised are now being worked through. The Council to work through and identify a long-term strategy/plan.

1.7	Activity does not match information reported.	The council does not know of activity undertaken and risks financial loss. An unauthorised activity takes place.	1	2	2	The Parish Council is using Rialtas Alpha System to record and run reports of our cashbook and receipts and payments. List of payments and receipts is agreed at either a Full Council or Staffing, Finance and Policy Committee meeting mainly prior to payment. This is recorded in the minutes as well as bank reconciliations which are completed on a monthly basis. A separate petty cash transactions report and reconciliation is also presented to the Council. Quarterly review of income and expenditure is agreed by the Full Council and initialed by a Councillor. Public can also ask questions of the office regarding how we manage public funds and information will be on our website. Two Councillors to sign off monthly invoices from the payment list; where paid by cheque two Councillors required to sign; where paid online, authorisation is staff sets up payment, 2 Councillors to authorise. Review and testing of arrangements to prevent and detect fraud and corruption. Undertaken by both the Full Council and Internal Auditor. Password protection for internet and telephone banking and all cheques / payments authorised by 2 Councillors. Credit card transactions checked monthly as part of regular checks

1.8	Contracts are not reviewed annually.	The council does not achieve value for money or works are not carried out correctly.	2	2	4	**Recommend** - Open Spaces contracts for grass cutting, hedges and P3 Scheme maintenance will be reviewed on a three-year basis starting in 2022, during this period it will operate on a rolling basis. Quarterly reviews to take place to ensure work carried out as agreed. If possible, Contracts to have a break clause in. Provide high quality specifications for all work to be undertaken to enable verification to take place that work has been carried out to the required standard.
1.9	Failure to adhere to codes of practice for procurement and investment	Financial loss to the council.	1	2	2	Covered by Standing Orders and Financial Regulations; Professional advice sought on larger projects. Future Investment strategy to be considered by Council. Any grants funded from CIL to third parties will be subject to a legal agreement.
1.10	Failure to regularly reconcile bank accounts.	The council is unaware of its financial position. Financial loss to the council.	2	2	4	Monthly checks by Full Council or Staffing, Finance and Policy Committee. Annual review by Internal Auditor. Due to transparency code the Bank Reconciliation report now covers all accounts.
1.11	The council does not scrutinise income or expenditure.	The council is unaware of its financial position. Financial loss to the council. Risk of reputational loss.	3	2	6	Regular scrutiny of financial records and proper arrangements for the approval of expenditure. Parish Council meets regularly to approve expenditure including projected spend. Financial section of Council Agenda gives greater visibility Projected spend included monthly so can identify likely areas of overspend or underspend before they arise.

1.12	Salaries and contributions are not paid correctly.	The councils risk reputational and financial loss; impact to staff	1	2	2	Salaries of staff are calculated by the NALC Salary Point system. Periodic job evaluation is carried out to make sure role is still within the correct range which is specific in the SLCC Contract. Payroll is via HMRC PAYE system and monthly time sheets are submitted by the Clerk / staff. Any overtime is recorded on the time sheets and taken in lieu. If this gets excessive then the Chairman of the Staffing, Finance and Policy Committee will be contacted. Pension calculations are via the NEST system and a monthly breakdown is part of the payment list. All items checked by Internal Auditor. Contract and annual increments are recorded in writing in a letter to each member of staff. In event of a meeting postponed all salary related payments will be processed.
1.13	The council fails to review contracts of employment for all staff and does not take account of any changes in relevant legislation.	The council risks financial and reputational loss.	1	2	2	All staff contracts reviewed periodically. Any change in personnel should trigger a review of employment contracts for that role. SLCC/NALC provide employment advice. New legislation states that contracts must be available on day 1 of employment.

1.14	Council does not claim back appropriate VAT	The council risks financial loss.	3	3	9	Financial regulations set out requirements. VAT returns submitted online. Internal Auditor checks Annually.
1.16	The council fails to make required submissions to HMRC and/or NEST Pension Fund.	The council risks being fined.	1	2	2	HMRC records are prepared through payment submissions . Council meetings are held on 2nd Monday of each month to ensure payments can make the agreed date with HRMC to avoid financial penalty. In event of a meeting postponed all salary related payments can be Processed.
1.17	The council does not monitor its budgets adequately.	The council is unaware of its income or expenditure against targets set. Financial loss to the council.	1	2	2	Regular budget monitoring statements & projections prepared by RFO and presented to Council on a quarterly basis, so likely areas of overspend or underspend to be identified before they arise. All changes to budget are supported by a minuted Resolution.
1.18	The council does not monitor income – grants (e.g. S106), CIL or loans correctly.	Financial loss to the council.	3	3	9	All loans discussed and approved by Parish Council - none in place at present and this is reflected in the Financial Regulations. CIL income and spending is reported through both Council and / or Committee, a tracker to be put in place to record what CIL is received and be reviewed by the Council. How and where CIL is spent and an annual report will be part of the year end process, shared with both Auditors, public and put on website. CIL/S106 funds / Grants are in separate budget heading to ensure ringfenced for the appropriate items or shown as an earmarked reserve. All expenditure to be approved by Council.
1.19	Minutes of meetings are not properly kept	The council risks reputational damage. Risk of illegality of decisions.	1	2	2	Minutes properly numbered with a master copy signed and kept in safekeeping – both online and hard copy. RESOLUTIONS are clearly recorded within the minutes and any appropriate action. Internal Auditor checks on an annual basis.

1.20	Lessees do not pay invoices (for rent or other charges) in accordance with lease/management agreement	The council risks financial loss	2	3	6	**Recommend** that all Lease and management agreements will clearly set out charges to be paid and the frequency of payments; Any disputed charges will be discussed thoroughly by officers of the Council and the lessee's management team and any investigations carried out. Where necessary, issues will be reported up to Asset Committee and/or Council. Any breach of the lease will be reported to Council. Council have access to legal advice via Wellers Hedley Law Firm who specialise in Parish Council law. **Recommendation** might be to build up a reserve in event of non-payment of rent and to build up reserves for building maintenance/equipment repair.
1.21	The parish council does not achieve value for money throughout its expenditure	Wasteful use of limited resources; risk of complaints from residents; risk of notification from Internal Auditor or Auditor	1	3	3	Financial Regulations states that the systems must include for the safe and efficient safeguarding of public money; It also states that the RFO (a statutorily required role) must assist the council to secure economy, efficiency and effectiveness in the use of its resources; (Fin Regs section 4) details the budgetary controls and authority to spend – this includes the annual budgeting cycle which supports scrutiny of every line of the precept expenditure; It states that members and officers are responsible for obtaining value for money at all times, including recommending at least 3 quotes (or estimates) are received. (Fin Reg 11) states the procedures to appoint contract which includes regulations for contracts below £25k and above £25k (to meet the Public Contracts Regulations 2015); Terms of reference allocate budgetary responsibility to the Committees where necessary and only for the precept allocated; any reserves spending must be approved by Council. Projected Spend is shared at Full Council and questions are able to be raised at any point by any member on forecast or incurred expenditure

						Recommend a Grant Policy is adopted - supports giving grants that are commensurate with the benefit to be received by the parish/its residents and are determined by full Council. CIL Policy to be adopted referring to delivering benefits and ensuring CIL delivers lasting benefits to the parish - CIL proposals will be assessed against a set of weighted criteria.
1.22	Insufficient funds to cover an unplanned election	Impact to other reserves which could prevent other activities from happening, and/or negative impact to the reputation of the parish council	1	3	3	Earmarked reserves for £4k in the 2022-23 budget to assist with covering a full election. If a casual vacancy arose and an election called this would put pressure on reserves.
1.23	Failure to spend, or inappropriate spending of, CIL results in funds being returned to EDDC CIL is used in a way that does not deliver lasting value to residents	Lost opportunity to create lasting value for the parish/residents. Lost opportunity to create lasting value for the parish/residents.	3	3	9	**Recommend** for a CIL tracker to record dates of income received, and all funds spent as received, i.e., oldest first. Locality project gained input from the community as to the kinds of projects residents would like to see and these are going through a prioritisation process. All requests for CIL funding are reviewed by a committee or working party, if later then recommendations made to Council. Clerk will update Council at least annually on "expiry date" of CIL received. **Recommend** that a CIL policy is adopted and itself should be reviewed at least annually and a commitment to ongoing community engagement to ensure any expenditure agreed is of value to the widest cross section of the community.

2. Property

Risk no.	Description	Impact	Likelihood score	Impact score	Risk rating	Response
2.1	Parish Council Office - the loss of, or damage to: the Parish Office	The loss or damage to buildings or assets will affect the council's ability to carry out its business	2	4	8	Parish Council rents the Parish Office from Mrs. C Lear who lives in the adjacent property. 3-year Contract. All documents are saved in the Cloud and all documents and emails are accessible through Office365 in a password protected system so work could continue off site on any PC if required. Insurance cover in place and reviewed. Fire safety systems, checking processes and firefighting equipment in place. **Recommend** - fire risk assessment which will be reviewed annually.
2.2	Parish Council building - physical assets owned by the council – furniture and other assets may be damaged or stolen.	Assets may be useable or unsafe and cannot be accessed. Financial loss to the Council. There would be a short-term impact, which could affect delivery of service	2	1	2	All other equipment and furniture insured by Parish Council is with Ecclesiastical through Came and Company.
2.3	Loss of or damage to other physical assets owned by the Council (e.g. play equipment, benches, bins etc.)	Assets may be useable or unsafe and cannot be accessed. Financial loss to the Council. Risk of injury to users. There would be a short-term impact, which could affect delivery of service	3	4	12	All equipment and furniture insured by Parish Council Ecclesiastical through Came and Company. Short term support could be available from other local town and parishes. All play equipment is inspected weekly by the Parish Warden also by an Annual full reported inspection. Any maintenance/repair undertaken as soon as possible. Damaged equipment will be fenced off where required. The publicly accessible Defibrillators recently gifted by

						Newton Poppleford Council are located at Diggers Rest – Woodbury Salterton, the Parish Office – Woodbury and The Puffing Billy in Exton. The Office defibrillator is checked by the Clerk weekly **Recommend** – the other two are checked by a designated person/s. **Recommend** - Rolling Maintenance programme of all Parish Assets to maintain equipment and replace regularly which feeds into budget process. **Recommend** - Handyman by appointed to assist with identification of problems. All assets are now checked at least annually and proposals put forward for repair or replacement as required. Asset's check completed by Clerk and Internal Auditor to improve recording and monitoring of assets. Any new play area equipment added or other assets are added to both the fixed asset register (RFO) and the rolling maintenance programme and insured.

2.4	Ownership of Trees	Damage caused to or by trees which endangers public safety or causes legal nuisance to others.	3	3	9	**Recommend** - Parish Trees are inspected by tree wardens and every three years a full inspection by a qualified tree assessment provider. This is supplied in both hard and soft copy; all trees to be numbered, species and an assessment as A, B or C with A requiring urgent work, B requiring some work to ensure safety within a recommended timeframe and C a preventative measure. All reports are shared with and discussed by the Asset Committee who have responsibility for any spend on trees (both survey and management). Our Contractor will carry out the recommended works – Best value, price, range of services offered will be reviewed periodically. Work carried out is verified by the Clerk. Specific tree assessments will be requested if problems are reported outside of the tree survey. **Recommend** that a Tree Management policy is adopted to include reference specific management actions suitable for veteran trees and section on dealing with trees as a result of an insurance claim.
2.5	Failure of security for vulnerable buildings, amenities or equipment.	Buildings, amenities or equipment may be damaged or stolen preventing use or access.	2	2	4	Parish Office building - Keys held by staff, some Councillors and the cleaning contract company. Toilets – Cleaning Contractor and Office. The Old Fire Station – Lease holder has keys. Building insured and premium reviewed annual. Recommend - Lone Worker guidelines in place when member of staff in office on own or other staff members out. Contractors to make their own risk assessments and lone working provision.

2.6	Failure to maintain vulnerable buildings, amenities or equipment.	Buildings, amenities or equipment may breakdown or be unsafe to use or access.	3	2	6	Visual inspection in line with Health & Safety responsibilities of the Clerk. Risk assessment for building, Parish Wardens and Handy Workers briefed to update on any issues they see around Parish. Parish Warden carries out weekly checks on all play equipment; all maintenance carried out is recorded in the Rolling Maintenance programme and reported up to Asset Committee.
2.7	Cash on site could be attractive as a theft Target	Theft, damage to equipment and risk to staff	1	1	1	Minimal cash on site at any one time.
2.7	Unauthorised traveler encampment	Damage caused to land or assets due to an unauthorised traveler encampment; costs incurred.	2	3	6	**Recommend** a policy/action plan to deal with unauthorised traveler encampments. The office / Councillors to notify the Police, EDDC/ DDC, supply bin bags and request considerate use of the land and a leave date/time; Ensure staff / Councillors do not attend a site unaccompanied or without a mobile phone. Clerk to see advice regarding serving notice to vacate and if necessary, appointing Bailiffs, if the encampment fails to vacate by the date specified on the notice.
2.8	Failure to verify work undertaken by contractors or suppliers.	The council does not know of work undertaken by contractors or suppliers or its outcome.	2	3	6	Parish Warden provides a weekly inspection report of all play equipment. check all works are completed satisfactorily. Invoices not paid until work has been verified and approved by Clerk or Councillor. Other reports are produced whenever the Council has a new activity or project (as approved by a committee or Council decision).

3. Legal

Risk no.	Description	Impact	Likelihood score	Impact score	Risk rating	Response
3.1	Legal liability as a consequence of asset ownership (public liability)	The council has to fight a legal case that may lead to financial or reputation loss.	1	2	2	Current policies give the following cover under heading of Legal Liabilities: - Employers Liability £10m - Public and Products Liability - £10m - Officials Indemnity - £500,000 - Liable and Slander - £250,000
3.2	The risk of damage to third party or individuals as a consequence of the council providing services or amenities to the public (public liability)	An insurance claim may be made against the council	3	3	9	All amenities and public open spaces, managed by the Parish Council are insured with Ecclesiastical via Came and Company for public liability up to a maximum of £10 million. **Recommend** - Risk assessments are carried out at least once (and aimed for twice) per year. Playgrounds visited and safety checked once a week by Play Area Warden, check equipment and remove rubbish. Small jobs undertaken when identified. All equipment insured. Annual inspections undertaken and results acted upon – inspection completed January 2022 via PI Play Inspections. Reports are presented to Asset & Estates Committee for information with a list of the recommended actions. Open Spaces contractor appointed on a contract basis, recommend for review and handy man to be appointed – where expenditure not in line with the open spaces budget will be incurred these are routed through Asset & Estates Committee unless urgent and dealt with by Clerk as per the Financial Regulations. Tree management process of surveys and carrying out required work

						If an occurrence of an unauthorised traveler encampment took place a full check would be made of the open space/any assets/trees to ensure no risk to public safety remained when the camp was cleared.
3.3	Legal liability as a consequence of an event (public liability)	The council has to fight to a legal case that may lead to financial or reputation loss.	2	1	2	A risk assessment would be carried out for each event and shared with key personnel and be part of the Event Management Plan. All third parties booked for events are asked to supply their own risk assessment and a copy of their PLI and any other licenses that they may require.
3.4	Failure of professional services employed by the council or leases of the Council	The council may use unqualified or insufficiently qualified professionals leading to loss.	1	2	2	The council will use properly accredited professionals who have partnered other towns and parishes or appear on approved contractor lists from SLCC or NALC; or have sought recommendation, proposals and quotes from 3 providers for any advice. Advice service from both SLCC and DALC (subset of NALC) regularly used as first port of call for advice. Professionals should have in place professional indemnity insurance as recommended by Came & Company. Take up references for all contractors employed by Council if appropriate.
3.5	Loss of Clerk or RFO	The Parish Council may be unable to undertake all duties and responsibilities in a way that is complaint with current legislation	3	3	9	The council is insured for loss of key personnel for up to 26 weeks. A locum clerk may be available through contact with SLCC or DALC. Other key personnel are aware of major projects and work flows. All inbox and documents are accessible to key staff. Processes are slowly being documented and made accessible to all staff and key Councillors.

4. IT

Risk no.	Description	Impact	Likelihood score	Impact score	Risk rating	Response
4.1	Business continuity	Loss of Parish Office would restrict access to documentation	2	2	4	All files are electronically stored and accessible in the cloud. A copy of all leases is held in the Office safe. A hard copy of Minutes is maintained as well as copies of approved minutes on the parish website. The Parish Council can take up computer advice or assistance from out Computer Contractor in the in event of any difficulties.
4.2	The council risks losing files and data	The council is unable to carry out its business and regulatory requirements.	2	2	4	All files are stored in the Office365 system which is cloud hosted. Rialtas financial data is stored via Rialtas and the cloud
4.3	Access to council's data subject to GDPR by a non-authorised person	Council data is accessible to non- council staff	1	2	2	Passwords are in place to access computers, datafiles, and finance systems. **Recommend** a data protection policy to cover the management, retention, transfer and disposal of data. A DPO to be appointed in conjunction with DALC An IT policy will be produced to support this outstanding.
4.4	Accessing full Electoral Roll data	An offence may occur if data is not used correctly	1	3	3	The data is password protected and can only be accessed with the authority of the Clerk.

5. Reputational

Risk no.	Description	Impact	Likelihood score	Impact score	Risk rating	Response
5.1	Ad hoc provision of amenities/facilities for events to local community groups	Reputational damage to the council if associated with a dangerous, illegal or immoral activity	1	2	2	Recommend policy – open spaces usage. Facilities are booked through the Office. The policy gives notice of any byelaws or lease restrictions and a reminder given that users are responsible for any litter. Checks on activities to be undertaken are made at the time of booking. Evidence of PLI is sought from hirer and relevant licenses. No Charges are made for bookings.
5.2	The council does not respond to enquiries from the public	The council risks reputational damage.	2	2	4	Verbal enquiries dealt with at the time and recorded if considered important. E-mail and other mail dealt with and filed; Clerk/staff to own their inbox and forward all emails to relevant person; master correspondence list kept and reported to the next available meeting.
5.3	The council fails to handle documents correctly.	The council risks reputational damage.	1	2	2	Recommend policy in line with GDPR legislation. These cover the management, retention, transfer and disposal of data. All staff / Councillors to be briefed on their responsibilities in accordance with these policies.

5.4	Members are unaware of the Council's policy regarding declarations of interests and the receiving of gifts and hospitality	The council risks reputational damage.	1	3	3	Recording and monitoring members' interests, gifts and hospitality received undertaken by Clerk. Code of conduct, Standing Orders and Financial Regulations are all reviewed annually by Council. New Councillors joining part way through a year/term are all issued with a copy of these key policies. Gifts and/or hospitality of £25 or over should be recorded in a register kept by the Clerk as required by the Code of Conduct None recorded.
5.5	Members (or employees) do not behave to the standards expected	The council risks reputational damage.	3	4	12	Revised code of conduct for Members re-adopted January 2022; little mitigation can be carried out as a member cannot be forced to resign. Recommend Grievance and Disciplinary policies to be in place and reviewed annually.
5.6	Loss of Clerk or other staff	The council risks reputational damage.	3	3	9	The council is insured for loss of key personnel for up to 26 weeks. A locum clerk may be available through contact with SLCC or DALC. All passwords should change when a member of staff leaves to prevent unauthorised access (eg to social media sites and remote cloud access of documents)

6. Open Areas, Equipment and Activities

Risk no.	Activity or Equipment	What could happen?	Likelihood score	Impact score	Risk rating	Response
6.1	Play Equipment – Exton, Woodbury Green, Woodbury Recreation Ground and Woodbury Salterton (New Way)	Risk of injury from use of play equipment if not maintained in a safe condition Risk of vandalism or other harm caused to play equipment which could cause issues such as injury or prevent use of equipment	**3**	**4**	**12**	Play equipment checked weekly by Parish Warden and issues reported to office; action taken to repair or replace with closure of equipment if required (including temporary removal) Annual check of all play equipment and any item marked as Medium or High Risk is recorded and an action plan put in place Parish Warden and Handyman both completed playground check training Ensure Handyman completes check at least 2 times per year in case PW misses anything Checks include surrounding surfacing, overhanging trees etc. as well as the equipment itself Any anti-social or criminal (suspected or proven) activity (broken glass, deliberate damage) is reported to the neighbourhood policing team
6.2	Outdoor Assets – Bins, Benches, Bus Stops & Signage	Risk of injury (splinters, trip hazard, minor cuts etc.)if outdoor assets are not well maintained Risk of Vandalism or other damage to equipment which in turn could cause injury	**3**	**4**	**12**	**Recommend** Assets are checked throughout the year. Damage caused by weather is routinely inspected, cleaned and/or repaired. Review of assets currently taking place to determine life of assets, signage and . To identify high, medium and low priorities for repair/replacement. Replacement benches – complete; replacement bins – complete; replacement signage – underway

6.3	Open Space Contract activities – grass cutting, hedge trimming/cutting, managing shrubbery	Risk of injury to both public and contractors if sensible precautions not put in place	**3**	**2**	**6**	All contractors who carry out work for the Parish must have PLI insurance to a minimum of £5m, except the Parish Handy workers who carry out low risk maintenance tasks. All contractors are expected to carry out work in a safe manner towards both the public and their employees with the appropriate use of protective equipment and the right tools for the task at hand; Regular spot checks, ensuring work areas are left in good condition after a task complete and regular management meetings to plan in required works. If chemicals have to be used then they are logged and reported to the office.
6.5	Litter Picking	Risk of injury if involved in litter picking – glass or other dangerous item or from a collision with bikes or vehicles.	**1**	**3**	**3**	Any Parish organised litter picks high vis garments to be provided for a proportionate amount of people attending, Gloves and bags provided along with litter pickers to avoid bending/straining to reach items Sensible safety guidelines given to volunteer groups Children always properly supervised by either parents or group leaders (e.g. Brownies or Cubs)
6.6	Allotments Woodbury Woodbury Salterton	Risk of injury Risk of vandalism Risk of Fire	**3** **3** **3**	**2** **2** **2**	**6** **6** **6**	Use of allotments is at allotment holders' own risk – they provide all equipment and must maintain their allotment to prevent injury or accidents **Recommend** – review of contract and rules

7. Parish Office

Woodbury Parish Council Office, Greenside, Greenway, Woodbury EX5 1LP

Risk no.	Activity or Equipment	What could happen?	Likelihood score	Impact score	Risk rating	Response
7.1	Main working office	Trip hazards, electrical issues, health issues related to work stations. Theft of personal items belonging to staff. Knocks and bumps on windows/glass sliding doors/window ledges	**2**	**3**	**6**	The Office is leased on a 3-year contract with Mrs. C Lear who lives in the adjacent property. The owner is responsible for the upkeep of the building, heating, lighting and electrics. The larger work space includes a good amount of circulation space and sufficient storage for files and other items to prevent items having to be stored on the floor. There is seating and information for the public, visual checks by staff. Display boards to be checked for damage by staff. All electrical equipment tested annually. Flooring visually checked by staff for wear/tear and trip hazards.
7.2	Resource Room	Burns and scalds from microwave, kettle and coffee maker; burns/scalds from hot water tap or radiator; injury from broken glass	**1**	**3**	**3**	Only available to staff and those who are using the meeting room facilities. Firefighting equipment is in place. Sufficient storage to enable items to be put away and keep work surface clear. Sufficient space to move around to avoid radiator. Shelving, cabinets and safe for safe storage of paperwork.
7.3	Staff WC facilities	Burns/scalds from hot water	**1**	**3**	**3**	Sufficient signage in place.
7.4	Defibrillator	Vandalism or electrical fault	**2**	**5**	**10**	Sufficient signage in place, regular checks to make sure the electric source is still working and that it has not been vandalized or missing. Pads and battery replaced as stated on the life date.

8. The Flower Street car park and public toilets

The car park and public toilets are owned by the Parish Council and we have responsibility for the daily operation of the toilets which are cleaned by our Contractor. Annual electrical tests etc. are carried out and action taken with any recommendations raised in the reports.

Risk no.	Activity or Equipment	What could happen?	Likelihood score	Impact score	Risk rating	Response
8.1	Public toilets	Trip hazards causing falls Wet floors from spills or cleaning causing falls Electrical issues (lighting, sink operation). Health issues related to hygiene practices.	3	3	9	The public toilets will be cleaned on a daily basis and the contractor will report any issues or damage to the equipment to our other Contractor. All electrical equipment will be checked at least annually.
8.2	Cleaners Cupboard	Burns from chemicals	2	3	6	Door locked. Chemicals only used by cleaning contractors who are fully insured/trained in usage.
8.2	Cleaners not attending	Toilets are not in a clean condition and complaints received	2	2	4	If the Cleaner is unable to attend the Parish Office is to be notified to arrange alternative cover.