

**Report on risk management**

Carlton Parish Council (the PC) is required to undertake a risk assessment, and to review it at least annually (Audit Commission Act 1988; Governance and Accountability for Local Councils A Practitioners' Guide (England) 2010).

The Civil Contingencies Act 2004 requires the PC to provide a service to the public during and after a period of disaster. The PC has a statutory duty to develop a business continuity plan for all of the public functions that it provides.

**a) Activities of the PC**

The PC is a landowner, and is responsible for Saint Andrew's Churchyard, Carlton Parish Cemetery, Carlton Green, the Glebe Farm Green and Little Lane.

The PC carries out works on land which it owns and on land owned by others, and also engages contractors to carry out works and to supply goods and services.

The PC owns or is responsible for items of street furniture and equipment.

The PC is an employer, and must therefore take out employers liability insurance (Employers Liability (Compulsory Insurance) Act 1969).

The PC deals with money, and holds public money on trust. The PC is required to take a security for employees who deal with money, though this need not be in the form of fidelity insurance (Local Government Act 1972, s114).

The PC carries on the business of local government, which includes holding public meetings and publishing minutes and other reports.

The PC holds and maintains important public documents and records.

**b) Insured risks**

As stated in current policy [June 2011]	£
Public and products liability	10,000,000
Employers liability	10,000,000
Hirers indemnity	2,000,000
Official indemnity	250,000
Fidelity guarantee	100,000
Inadvertent libel or slander	250,000
Commercial legal protection	50,000
Property damage and theft	
Office contents	1,519
General contents & stock	1,751
Street furniture	11,244
Money	
Crossed cheques, bank giros etc	250,000
In transit (other than above)	1,000
In private dwelling house of principals or authorised employees	500
Assault, personal injury and accident to Councillor, Clerk or volunteer workers while on Council business	contingency table

**c) Risks managed by the PC**

Acting *ultra vires*. All expenditure must be lawful. Double-check legality of resolution and cite statute if action involves significant expenditure. PC holds latest editions of administration and best practice guides; also covered by membership of LRALC & NALC which are indemnified to offer legal advice. Members and the Clerk must not enter into any arrangements or agreements

which could be interpreted as bribery.

Land and property controlled by assets register, regular maintenance, annual review and index-linking of insurance cover, insurance held by contractors and sub-contractors. Safety considerations are an integral part of all projects and work plans.

Voluntary activities are tailored to the age and experience of the volunteers involved, and usually supervised by experienced personnel. Training may be given in house, or by external courses as appropriate.

Sudden death of Clerk or Chairman. Would cause disruption, but established procedures and reports should enable new appointee to take over quickly. All significant documents are kept in written form in clearly identified filing cabinets. Chairman should be cognisant of routine administration and location of key documents. Post of Vice-chairman is rotated so that all Councillors have experience of the work of Chairman.

Election called to fill casual vacancy, or Parish Poll called by Parish Meeting. Costs covered by reserve funds.

Computer malfunction. All important documents stored as hard copy. Bank accounts managed manually or by telephone so no security risk.

Total destruction of documents by (say) fire at Clerk's home. Financial records for current and previous financial year could be reconstituted from copies of minutes held by Councillors. Past minutes and account books deposited at County Record Office. Current account book copied and copies stored in church safe. Important documents (deeds etc) stored in safe by Flavell's Solicitors, Hinckley.

Register of Burials and Deeds of Grant of Exclusive Rights of Burial photocopied and copies stored in church safe.

Public litigation - complaints dealt with promptly in accordance with published procedure. Council business administered in accordance with current best practice with intention of applying for Quality Status.

Unauthorised occupation of Carlton Green (registered village green) would be an offence and would be dealt with through the Police and the County Court.

Monuments in closed churchyard and cemetery - annual safety inspection carried out by Clerk, and identified defects remedied.

Leaning chestnut tree in closed churchyard - condition monitored by regular inspections.

#### **d) Unmanaged risks**

Bank deposits. Local council accounts are not covered by any deposit protection schemes. Deposits split between HSBC and Standard Life Bank which are well capitalised, and did not require government support in the recent banking crisis.

Consequential loss of income would not be a factor for Carlton PC.

Business interruption and terrorism are not insured.

#### **e) Specific risk assessments**

These are carried out before public events and project works, and identify the different activities involved in the project. Each activity is then assessed under the following headings:

Activity	description of the activity involving risk
Hazard	description of those areas of the activity with potential for harm
Risk	estimated level of risk (low/medium/high)
Control measures	ways to eliminate or reduce the hazard to reduce the risk of harm

## **f) Parish Council Risk Review Calendar**

Registers of member's interests, and gifts and hospitality are available for inspection at all meetings.

### January

Quarterly financial report

### April

Quarterly financial report

Receipt & Payments accounts made up for approval; checked by Chairman; compliance checked by Internal Auditor

Summary financial statement prepared for previous financial year

### May – Annual Meeting

Parish organisations

Carlton Charity Land

Carlton Footpath Group - Rights of Way

Carlton Neighbourhood Watch Group

Carlton Parish Plan Group – preparation of 2011 Parish Plan

Keep Carlton Tidy Group - Litter and fly tipping

Parish Council

Chairman's declaration of acceptance of office

Inventory checked

Report on condition of all Council property

Statement of fixed assets

Statement of tenancies

Report on condition of memorials in the Churchyard and Cemetery

Annual summary of s137 expenditure and earmarked funds

Annual report prepared for Council approval

### June

Annual audit return completed and submitted

### July

Quarterly financial report

### October

Quarterly financial report

Mid year financial review prepared for consideration

Review of risk management

Review of internal financial control

### November – Finance Meeting

Donations and budgets of community groups

Membership of societies

Review of insurance policy

Review of salaries

Review of Cemetery fees and regulations

Review of tenancies

Budget approved

Precept set

Other reviews	Frequency	Last review	Next review
Ground maintenance contracts	3-yearly	Sept 2009	Sept 2012
Elections	4-yearly	May 2011	May 2015
Financial regulations	5-yearly	Oct 2010	Oct 2015
Publication scheme	5-yearly	Jan 2007	Jan 2012
Parish appraisal	10-yearly	Jan 2011	Jan 2021
Cemetery plan	When necessary	Nov 2010	

## **g) PC Business Continuity Plan**

The PC has made reasonable arrangements to ensure that its operations would not be compromised by a local or national disaster. In this context, the most important statutory function of the PC is the provision and management of the cemetery, and this is maintained by keeping a copy of the necessary records in a second secure location.

**This document was adopted by Carlton Parish Council on 9th November 2011.**