

Annual review of 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 |
| Officials indemnity | 250,000 |
| Employee dishonesty | 100,000 |
| Inadvertent libel or slander | 250,000 |
| Commercial legal protection | 100,000 |
| Property damage and theft | |
| Office contents | 1,595 |
| General contents & stock | 1,838 |
| Street furniture | 11,806 |
| 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 provided through 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 on website. Hard copies of 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 as a Quality Parish Council.

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 a suitably qualified person, and identified defects remedied.

Leaning chestnut tree in closed churchyard - condition monitored by regular inspections at intervals recommended by qualified surveyor.

Failure of grounds maintenance or other contractor – urgent appointment of new contractor by PC.

Carlton News - would be produced by Clerk until new volunteer editor was found.

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

The Register of member's interests is available for inspection at all meetings.

January

- Quarterly financial report
- Annual Finance Meeting from 2014

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
- Review of insurance policy (renewal May)

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 – Annual Finance Meeting

- Donations and budgets of community groups
- Membership of societies
- 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 or 5-yearly | Nov 2012 | Oct 2015 |
| Elections | 4-yearly | May 2011 | May 2015 |
| Financial regulations | 5-yearly | Oct 2010 | Oct 2015 |
| Publication scheme | 5-yearly | Jan 2012 | Jan 2017 |
| 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 14th November 2012.