

**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, Little Lane and the Carlton Diamond Jubilee Orchard. The PC plans to create a Toddlers Play Area in the Carlton Diamond Jubilee Orchard during 2015.

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 employer's 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 [1 <sup>st</sup> June 2014]	£
Public and products liability	10,000,000
Employers liability	10,000,000
Hirers indemnity	5,000,000
Officials indemnity	500,000
Employee dishonesty	150,000
Inadvertent libel or slander	250,000
Commercial legal protection	100,000
Property damage and theft	
Office contents	1,693
General contents & stock	1,950
Street furniture	12,525
Money	
Crossed cheques, bank giros etc	250,000
In transit (other than above)	1,000
In private dwelling house of principals or authorised employees	1,000
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 are usually supervised by experienced personnel. Training may be provided through external courses as appropriate.

The Council holds very little personal information, and this is kept in a locked filing cabinet in a locked outside store to which only the Clerk's family have access. The Council is registered with the Information Commissioner's Office.

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 signed 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.

Toddlers Play Area will require regular safety inspections from the date of installation. An appropriate training course will be attended during 2015.

Leaning chestnut tree in closed churchyard became diseased in 2014 and has been felled.

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**

- Annual Finance Meeting
- Quarterly financial report
- Review of risk management
- Review of internal financial control
- 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

**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 Gardening Group – management of Diamond Jubilee Orchard
  - Carlton Neighbourhood Watch Group
  - 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

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	Sept 2014	Sept 2019
Publication scheme	5-yearly	Jan 2012	Jan 2017
Parish appraisal	10-yearly	Jan 2011	Jan 2021
Cemetery plan	When necessary	Nov 2010	

**g) Parish Council Business Continuity Plan**

The PC has prepared an emergency plan and 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 is to be adopted by Carlton Parish Council on 14<sup>th</sup> January 2015.**