

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 Parish Council

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 is responsible for the Toddlers Play Area in the Carlton Diamond Jubilee Orchard.

The PC carries out works on land which it owns and on land owned by others, arranges for work to be carried out by volunteers, 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 a parish newsheet, minutes and other reports.

The PC holds and maintains important public documents and records.

b) Insured risks

As stated in current policy [21 st June 2017]	£
Public and products liability	10,000,000
Employers liability	10,000,000
Hirers indemnity	5,000,000
Officials indemnity	500,000
Inadvertent libel or slander	250,000
Fidelity	150,000
Commercial legal protection	100,000
Employee dishonesty	5,000
Property loss, damage and theft	
Office contents	2,070
Street furniture	13,291
Outside equipment	1,797
Playground equipment	13,208
Money	
Non negotiable money	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

Councillors are classified as employees; sums above are subject to excess

c) Risks managed by the Parish Council

Acting *ultra vires*. All expenditure must be lawful. The PC adopted the Power of General Competence on 20th May 2015; this power will expire in May 2019. The statutory basis for any resolutions outside normal business must be checked. The PC holds recent 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 and risk assessments 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.

Toddlers Play Area is inspected weekly, and a written record kept. Cllr Sarson and the Clerk attended a play inspection training course in 2015 and have prepared an inspection schedule.

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.

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

Cyber crime. The Council does not use on-line banking or debit or credit cards. Invoices and accounts are carefully scrutinised before payment.

Website subversion or infiltration would be rectified by the host. The website could be shut down without any effect on the day to day operation of the PC.

Ransomware. Computer could be shut down and replaced without serious loss.

Computer malfunction. Monthly back-up to external hard drive. All important documents stored as hard copy. Bank accounts are 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.

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.

Failure of grounds maintenance or other contractor – temporary management by volunteers and 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. Deposits of up to £75,000 made by small local councils (defined as having an annual budget of less than 500,000 euros) are now covered by the Financial Services Compensation Scheme. Deposits are split between two independent banks.

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. Risks are evaluated using the RoSPA formula of probability multiplied by severity (each on a scale of 1-5), which yield the following ratings:

1-3	very low risk	monitor
4-7	low risk	monitor and reduce if possible
8-12	medium risk	reduce if possible
13-20	high risk	implement control measures asap
21+	unacceptable risk	stop activity, take immediate action

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
- 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
- Review of direct debit agreements
- Appointment of internal auditor
- Budget agreed
- 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 Lands
 - 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

August

Independent inspection of Toddlers Play Area

October

Quarterly financial report

Other reviews	Frequency	Last review	Next review
Ground maintenance contracts	3 and 5-yearly	Oct 2017	Oct 2020
Elections	4-yearly	May 2015	May 2019
Financial regulations	5-yearly	Sept 2014	Sept 2019
Parish appraisal	10-yearly	Jan 2011	Jan 2021
Cemetery plan	When necessary	April 2016	
Emergency plan	When necessary	Sept 2013	

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 Report was adopted by Carlton Parish Council on 10th January 2018.