



# **RUDGWICK PARISH COUNCIL RISK ASSESSMENT MANAGEMENT SCHEME**

<b>Date Adopted</b>	<b>Minute Number</b>	<b>Review Date</b>
10 December 2018	187/18	May 2019
9 September 2019	107 – 19/20	May 2020
14 September 2020	140-20/21	Sept 2021

## Rudgwick Parish Council

### Risk Assessment Management Scheme September 2020

In all types of undertaking, there is the potential for events and actions that may either benefit an organisation or threaten its success. Local councils are no different and assessment and management of risk are recognised as being central to a council's strategic planning.

This document has been produced to enable Rudgwick Parish Council to assess the risks that it faces and satisfy itself that it has taken all practical steps to reduce or eliminate the risks, insofar as is practically possible, whilst accepting that some risks can never be fully eliminated.

#### Financial and Management

Subject	Risk(s) Identified	H/M /L	Management /Control of Risk	When	Responsible	Review/Assess/Revise
<b>Precept</b>	Adequacy of precept for the Council to carry out its Statutory duties	<b>L</b>	The council receives regular budget update information from the Clerk.	Monthly	Clerk	Existing procedures adequate.
			Expenditure to budget reported.	Quarterly	Clerk	
			At the November meeting the Finance, Policies and Human Resources committee receives a budget report, including actual position and projected position to the end of the year. The Clerk provides indicative figures or costings. With this information the committee maps out required monies for standing costs, projects and earmarked reserves for the following year and applies specific figures to budget headings. The precept amount to be requested from Horsham District Council (HDC) agreed. The budget is recommended for resolution to the full council at the December meeting.	Annually	Clerk/FPHR committee	
<b>Financial Records</b>	Inadequate records	<b>L</b>	The council has Financial Regulations in place which are reviewed regularly.	Annually	Clerk	Existing procedure adequate.

	Financial irregularities		Internal audits (two per annum) and external audit. Internal Auditor 2019/20 Mark Mulberry Ltd; External Auditor Moore.	(Bi-) Annually	Arranged by Clerk	Financial Regulations reviewed when necessary.
			RIALTAS accounting package is used to record income/expenditure and monitoring budget control, past/current/future budgets. Back-up copies on Microsoft 365 cloud are made monthly.	Monthly	Clerk/Assistant Clerk	
			Reconciliation completed by the Clerk/RFO and checked by councillors at meetings.	Monthly	Clerk	
			Two authorised councillor signatures required on cheques/BACS transfers in addition to the Clerk/RFO's signature. Banks holds electronic authorisation history record of electronic bank transfers. Chairman and FPHR committee Chairman signatures required on invoice payment slips. All financial obligations are resolved at council meetings and clearly minuted in adherence to Financial Regulations para 4.1.	On-going	Clerk/Authorised Councillors/ Chairman and FPHR committee Chairman	
<b>Bank and Banking</b>	Inadequate checks Bank/banking mistakes	<b>L</b>	The council has Financial Regulations (Section 5) which set out banking requirements for the council bank accounts: Lloyds plc Business Account Lloyds plc Savings Account (Lease Deed) National Lloyds Instant Access Savings Account Lloyds KGV Trust Account Savings and Investments Account	On-going	Clerk	Existing procedures adequate.
			Bank reconciliation presented at council meetings	Monthly	Clerk	
			Inspection of bank statements/ reconciliation by non-signatory councillor	Quarterly	Clerk/Non- signatory Councillor	
			Reconciliation of bank account with RIALTAS accounting system.	Monthly	Clerk/Assistant Clerk	

<b>Cash</b>	Loss through theft, dishonesty or error	<b>L</b>	The council holds no petty cash or float	n/a	n/a	No change required.
			Cash settlement of invoices is discouraged; cash payments received are kept in a locked filing cabinet and banked at the earliest opportunity. Receipts are provided for cash payments.	As required	Clerk	Existing procedure adequate.
			Fidelity guarantee insurance	Annually	Clerk	Update 3-year policy requirements in October 2020
<b>Reporting and auditing</b>	Information communication	<b>L</b>	Financial information is a regular agenda item and discussed/reviewed and approved at each meeting.	Monthly	Clerk	Existing procedures adequate.
			Finance, Policies and Human Resources (FPHR) committee meet regularly.	Twice/ three times p.a.	Clerk/ FPHR committee	
<b>Grants</b>	Receipt of Grant	<b>L</b>	Parish council presently receives no regular grant payments. When S106 grant, or any other grants, claims take place, relevant paperwork is submitted to HDC and all invoices relating to the grant retained as appropriate.	As appropriate	Clerk	Existing procedures adequate.
<b>Grants and support payable</b>	Power to pay Authorisation of Council to pay	<b>L</b>	Any such expenditure would go through the council process of approval, minuted and listed accordingly if a payment is made using S137 powers of expenditure the council's S137 policy is adhered to.	S137 applications/ payments twice p.a.	Clerk	Existing procedures adequate.
<b>Election Cost</b>	Risk of Election costs	<b>M</b>	Higher risks in election years (2023). The council to build up contingency funds towards funding contested (co-option/election) elections.	Every four years/as required	Clerk	Should be included in financial statement when setting precept.

<b>Best value account-ability</b>	Work awarded incorrectly. Use of fund not giving value for money	<b>L</b>	Normal parish council practice is to endeavour to obtain three quotations for any substantial purchase/work to be undertaken up to £3,000. (for work/purchases up to £1,000 this is not a requirement). Other parish clerks are contacted for information of/on regarding potential contractors.	When required	Clerk	Existing procedures adequate.
	Overspend on services	<b>M</b>	Effective budget management. Forward planning. If problems encountered with a contract the Clerk would investigate the situation and report in the first instance to the FPHR committee Chairman and council Chairman.			
<b>Business Continuity</b>	Council not being able to continue its business due to unexpected tragic circumstances	<b>L</b>	All files and records are stored appropriately in the parish office. The council maintains three banking signatories In the event of short-term illness, the Clerk will inform the Chairman/FPHR committee Chairman as soon as possible. If the Clerk is long-term ill (more than a month) the Chairman/FHPR committee Chairman will contact Surrey and Sussex Association of Local Councils (SSALC) for further advice. If the Clerk is unexpected unable to attend a meeting, she is to contact the Assistant Clerk. If she is unable to attend, one of the councillors will note the minutes of the meeting.	When required	Clerk	Existing procedures adequate. Obtain alternative signatory in the event of councillor resignation. Contact Lloyds Bank plc Horsham Business Advisor if Clerk is on long term sick leave to arrange for Assistant Clerk to obtain signatory authorisation.
	Unexpected financial burden Pressure regarding precept setting	<b>M</b>	A full review of all additional expenditure should be undertaken, activity prioritised, and a budget impact analysis undertaken.	When required	Clerk/FPHR committee	Council to maintain very close watch on spending and ensure effective budget planning process.

<b>Staffing: Clerk/RFO Asst Clerk</b>	Loss of Clerk Limited funds for advertising	<b>M</b>	Set aside contingency in budget to pay for this type of eventuality.	When required	Clerk/Councillors	Include in financial statement when setting precept.
<b>Wardens</b>	Actions taken by Clerk/performance in post	<b>L</b>	Clerk supported in role by Councillors; Assistant Clerk and Wardens by Clerk. Attend SSALC and other relevant training/ meetings when required for Clerk/Assistant Clerk	On-going	Clerk/Councillors	Existing procedures adequate.
			and access to relevant assistance and legal advice if necessary. SLCC membership for Clerk.			
			Annual appraisal and regular 1-2-1's.	Annually/ when required.	Clerk/FPHR Committee Chairman	
	Fraud	<b>L</b>	Robust recruitment procedures adhering to current legislation. Two references sought on offer of employment, in addition DBS check for Clerk. Adherence to Fidelity insurance requirements.	When recruiting		
	Health and Safety	<b>L</b>	All employees to be provided adequate information and resources required to undertake their roles. Lone Working Policy is in place (adopted May 2019).  Litter Warden to wear protective clothing as supplied by council.	On-going	Clerk/Council  Clerk/ Litter Warden	Monitor health and safety requirements and insurance (annually).
	Compliance with Employment Law and Regulations	<b>M</b>	Contracts of Employment as recommended by SSALC. The council is part of the West Sussex County Council (WSSCC) Local Government Pension Scheme (LPGS) and Clerk/Assistant Clerk are eligible to join the scheme.	When required	Clerk/FPRH committee	Existing procedures adequate.
			Wardens have the option to opt into the Government NEST pension scheme. They both declined (May 2019).	Every 3 years	Clerk	Existing procedures adequate. To be revisited in 2022.

			Salary review - National Association of Local Councils (NALC) pay scale applied. The council has appointed Seofon Ltd to undertake Payroll duties. National insurance, tax and pension contribution payments are in adherence to legislation.	Annually Monthly Monthly	Clerk/Council Clerk Clerk	Existing procedures adequate.
			Relevant employment policies and procedures in place. Guidance from SSALC/NALC/Society of Local Council Clerks (SLCC)/ Her Majesty's Revenue & Customs (HMRC)/ The Advisory, Conciliation and Arbitration Service (ACAS)	On-going	Clerk/FPRH committee	
<b>VAT</b>	Reclaiming/ charging	<b>L</b>	The council has Financial Regulations (Para 9.8) which set out requirements regarding VAT recovery.	Quarterly	Clerk	Existing procedures adequate.
<b>Annual Return</b>	Must be submitted within time limits (normally before the beginning of June)	<b>L</b>	Annual Return is completed and submitted by post with the prescribed time frame. Annual Return completed and signed by the council, submitted to Internal Auditor for completion and signing then checked and sent to External Auditor within time frame.	Annually	Clerk	Existing procedures adequate.
<b>Legal Powers</b>	Illegal activity or payments	<b>L</b>	All activity and payments within the powers of the parish council to be resolved at full council meetings, including reference to the power used under the Finance section of the agenda.	On going	Clerk	Existing procedures adequate.
			Appropriate policies and procedures in place.	On going	Clerk	Policies and procedures to be reviewed as appropriately.
<b>Minutes/ agendas/ Notices and Statutory Documents</b>	Accuracy and legality	<b>L</b>	Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements. Minutes are consecutively numbered, approved by the council and signed and dated by the Chairman at the next council meeting.	When required	Clerk	Clerk undertaking CilCA qualification.

			Agenda displayed according to legal requirements.	When required	Clerk	Members adhere to Code of Conduct.
	Business Conduct		Business conducted at council meetings is managed by the Chair (or Vice-Chairman in his/her absence).	At meetings	Chairman/Vice-Chairman	
	Non-compliance with statutory requirements		Clerk advises council of statutory requirements. Clerk attends SSALC courses/Legal and Financial networking events/accesses information from SSALC office; legal advice from solicitor. The council's Standing Orders (adopted May 2019) and Financial Regulations (to be adopted September 2019).	On-going	Clerk	Existing procedures adequate.
<b>Members' interests</b>	Conflict of Interests	<b>L</b>	Declarations of interest by members at council meetings.	At meetings	Clerk/Councillors	Existing procedures adequate.
	Register of Members Interest	<b>M</b>	Register of members' interests' forms reviewed regularly. These are published on the council's website.	Annually	Clerk/Councillors	Existing procedures adequate - members take responsibility to update register.
<b>Members' Propriety</b>	Breach of policies/procedures	<b>L</b>	Councillors must report receipt of gifts/hospitality of £25 and over. None have been received recently; an electronic record will be kept.	When required	Clerk/Councillors	Existing procedures adequate.
<b>Allowances</b>	Breach of policies/procedures	<b>L</b>	Members Allowance (taxable) has not been claimed by members. Travel allowance (non-taxable) of 45p per mile.			Members Allowance Policy to be adopted – September 2020
<b>Insurance</b>	Adequacy	<b>L</b>	Policy with Came & Company Local Council Insurance, reviewed annually (current policy is for three years, until October 2021) and agreed by the council.	Annually	Clerk/ FPHR committee Chairman	To be reviewed September 2020
	Cost	<b>H</b>	Employers and employee liabilities a necessity and within policies. Ensure compliance measures are in place.		Clerk	Existing procedures adequate.
	Compliance	<b>M</b>	Adhering to relevant legislation regarding insurance policy conditions.	On-going	Clerk	



	Consequential loss of income	<b>H</b>	Consequential loss insurance (3-year insurance).		Clerk	
	Contractors/Hirers		All relevant insurances to be asked for before work/hire period commences.		Clerk	
	IT	<b>L</b>	<p>Parish office desktop and laptops encrypted, and password protected.  Anti-virus software in place.  Information stored on Microsoft 365.  Councillors have a separate e-mail address for council business.  External IT company, Netcom IT provides appropriate support adhering to General Data Protection Regulations (GDPR) legislation. Council website is supported by an external company, adhering to GDPR legislation.</p> <p>Insurance cover for:  Replacing/reconstituting electronic data and business documents if they have been lost or destroyed.  A civil claim against the council for compensation in the event of a data breach under the GDPR legislation.  A claim against the council due to the content of the council's website or email systems including where these cause damage to a third party's computer systems.</p>	<p>On-going</p> <p>Annually</p>	Clerk	
<b>Damage to third party property or</b>	Claims against the council Health and Safety	<b>H</b>	<p>£10 million public liability in place.  Fire instructions/hire conditions and post event checklist supplied to hirers when booking halls.</p>	<p>Annually</p> <p>On-going</p>	<p>Clerk/Assistant</p> <p>Clerk</p>	Existing procedures adequate.

individuals as a result of the council providing			Open Space Warden employed to undertake inspections of all play areas, open spaces and Foxholes Copse. Records stored electronically and actions undertaken by Clerk.	Weekly	Open Space Warden/Clerk	
			Tree surveys and resulting recommendations actioned following HDC arboculturist's advice.	18 months	Clerk	
services of amenities			RoSPA inspections of children's play areas/open spaces, playing fields and pond.	Annually	Clerk	
GDPR/Data Protection	Breach in Data Protection legislation	<b>M</b>	The parish council has appointed Satswana Ltd as their Data Protection Officer (DPO). The parish council is registered with the Information Commissioner's Office (ICO) since 2008 and registration is renewed annually.	Annually	Clerk	Existing procedures adequate. Appointment of DPO to be reviewed in 2020.
			Councillors have a dedicated e-mail address for electronic council business. E-mails are accessed via a cloud server. Parish office desktop and laptops are encrypted, and password protected. Insurance cover for a civil claim against the council for compensation in the event of a data breach under the new	On-going	Clerk	Existing procedures adequate.
	Record Keeping		Documents are stored in secure cabinets in parish office. Old records are stored at West Sussex County Council (WSCC) record office. Computer records are backed up (Microsoft 365 cloud).	On-going	Clerk	

<b>Freedom of Information (FOI)</b>	Policy Provision	<b>L</b>	The Council has a Model Publication Scheme and FOI policy in place, both adopted in May 2019.  To date there has been no requests under FOI. The council supports openness and transparency and as much information as possible is posted on the council's website.	Annually	Clerk	Model Publication Scheme/FOI policy to be reviewed annually. Monitor any requests made under FOI.
		<b>M</b>	The Parish Council is aware that if a substantial request came in it could create several additional hours' work.	When required	Clerk	Fee to be applied for FOI requests which require
						more than 20 hours of Clerk time to research.

<b>Physical Equipment or Areas</b>						
<b>Assets</b>	Loss or damage	<b>L</b>	Fixed asset register in place and reviewed regularly. All assets are covered by insurance policy with Came & Company Local Council Insurance.	Annually	Clerk	To be reviewed by October 2019.
	Disrepair of assets	<b>M</b>	Regular maintenance/servicing of all buildings, contents and areas (children's play areas, skate park, playing fields, open spaces) by contractors. All repairs and relevant expenditure for any repairs actioned/authorised in accordance with the correct procedures (Financial Regulations) of the council.	On-going	Clerk	Existing procedures adequate.
<b>Legal liability as a result of asset ownership</b>	Health & Safety Costs		Public liability insurance.	Annually	Clerk	Existing procedures adequate.
<b>Rudgwick Hall</b>	Adequacy/Loss of income Health and Safety	<b>H</b>	Covered by insurance: Re-building and contents (including office resources, IT equipment and oil tank and content) replaced and hirers' insurance.	Annually	Clerk	Existing procedures adequate. Risk Assessments in the process of being updated – General and COVID19  <b>Recommendation: Valuation of all Rudgwick Hall, Jubilee Hall and King George V for insurance purposes in 2021/22 est. costs £1,000</b>
			Electrical inspection (every 5 years). Fire safety equipment inspection. PAT inspection. Oil Boiler Service. Oil Tank Service. Water compliance checks Councillors' annual inspection.	Annually/ adhering to legislation  weekly	Clerk/ Contractors and Water Maintenance Open Space Warden	
			Fire safety and housekeeping checks.	Monthly	Clerk	
			Emergency lights/ fire safety equipment checks	Yearly	Clerk	

<b>Jubilee Hall</b>	Adequacy/Loss of income Health and Safety		Covered by insurance: Re-building and contents replaced and hirers' insurance.	Annually	Clerk	Existing procedures adequate. Risk Assessments in the process of being updated – General and COVID19
			Electrical inspection (every 5 years). Fire safety equipment inspection. PAT inspection. Gas Boiler Service. Water Compliance checks Risk Assessments Councillors' annual inspection.	Annually/ adhering to legislation weekly	Clerk/ external contractors and water compliance: Open Space Warden/ Facilities Officer Councillors	
			Fire safety and housekeeping checks.	Monthly	Clerk	
			Emergency lights/ fire safety equipment checks.	Yearly	Clerk	
<b>King George V Building and changing rooms/ contents</b>	Adequacy/Loss of income Health and Safety	<b>H</b>	Covered by insurance: Re-building and contents replaced and hirers' insurance.	Annually	Clerk	Existing procedures adequate Risk Assessments in the process of being updated – General and COVID19
			Electrical inspection (every 5 years). Fire safety equipment inspection. Gas Boiler Service.	Annually/ adhering to legislation	Clerk	
			Councillors' annual inspection.		Councillors	To be implemented.
			Fire safety and housekeeping checks. Risk Assessments	Monthly	Clerk Facilities Officer	Monthly inspection for fire safety/housekeeping to be implemented. Risk Assessments in the process of being updated – General and COVID19

			Water Compliance checks	Weekly/ Quarterly/ Yearly	Clerk/ Facilities Officer	To ensure correct process is in place and water compliance recommendations are implemented.
			Emergency lights/ fire safety equipment checks.	Yearly	Clerk	
<b>King George V Children's Play Area; Playing Fields Skate Park and pond. Benches/ Bins</b>	Adequacy/Loss of income/play opportunities Health and Safety	<b>H</b>	Covered by insurance: Equipment and public liability insurance cover.	Annually	Clerk	Existing procedures adequate. Risk Assessments in the process of being updated – General and COVID19
			Health and Safety inspections/Risk Assessments	Weekly	Clerk/Open Space Warden/Facilities Officer	
			The Royal Society for the Prevention of Accidents (RoSPA) inspection.	Annually	Clerk	

<b>Churchmans Meadows Children's Playground and Open Space. Benches/ Bins</b>	Adequacy/ Loss of play opportunities Health and Safety	<b>H</b>	Covered by insurance: Equipment and public liability insurance cover.	Annually	Clerk	Existing procedures adequate.
			Health and Safety inspections.	Weekly	Clerk/Open Space Warden	
			The Royal Society for the Prevention of Accidents (RoSPA) inspection.	Annually	Clerk	
<b>Bus Shelter</b>	Adequacy Health and Safety	<b>M</b>	Insurance cover for replacement. No inspection procedure.	Annually	Clerk	Existing procedures adequate - consider Litter Warden to inspect quarterly.
<b>Notice boards</b>	Adequacy Health and Safety	<b>M</b>	Insurance cover for replacement. No formal inspection in place but visited regularly by Clerk/Assistant Clerk/Councillor and public is good at reporting anything irregular.	Annually	Clerk	Existing procedures adequate.
<b>Street Lighting (PC owned)</b>	Adequacy Health and Safety	<b>L</b>	Maintenance and replacement contract with WSCC. Contract for 25 years or such lesser period as may occur by reason of or in accordance with the agreement, commenced in February 2010. Yearly invoice from WSCC.	Annually	Clerk	Existing procedures adequate.
<b>Defibrillators</b>	Adequacy	<b>M</b>	Insurance covers for replacement/damage. Litter Warden inspects equipment/batteries annually and an electronic record is maintained.	Annually	Clerk/ Litter Warden	Existing procedures adequate.