

**PIRBRIGHT PARISH COUNCIL RISK ASSESSMENT 2019-20**

Specific Risk	Likelihood	Impact	Risk score	Controls & Mitigating Measures	Residual Likelihood	Residual Impact	Residual risk score
<b>1. Councillors/Staff</b> Councillors and/or staff do not meet the expected standards and/or actions Reported to GBC Standards Committee	2	4	8	Councillors & staff are made aware of expected standards and confirm understanding. Code of Conduct & Financial Interest declarations updated annually. Declarations of interest to be minuted at all meetings as appropriate. PPC's own Standing Orders to be followed at meetings.	1	4	4
And/or individual action brings Council into disrepute	3	3	9	Council to act as corporate body; Clerk to write correspondence; Laws on data protection (GDPR) to be observed. Councillors reminded of their responsibilities.	1	4	4
<b>2. Internal controls</b> Decisions being deemed Ultra Vires Inaccurate resolutions recorded; incorrect actions taken	3	3	9	Resolutions to be recorded during the meeting, following a vote by members if there is any doubt. Chairman to ensure that members know when a resolution is being taken, without input from public.	1	2	2
Qualified audit	3	4	12	All financial transactions to be verified as within legal powers of the council and PPC's own Financial Regulations. <b>Appropriate financial records retained.</b>	1	4	4
Loss of funds through fraud Cheques intercepted and cashed fraudulently	2	4	8	Regular internal audit, reviews of level of Fidelity Insurance cover & Internal Control Systems all to be undertaken regularly. Cheques / BACS payments to be photocopied on rear of invoices.	1	4	4
Loss of financial records through fire or flood	2	4	8	Financial records to be printed in hard copy <b>(or use of cloud back up)</b>	1	2	2
Precept spent before end of financial year	2	6	12	<b>Budget, with a contingency amount to be set for precept and income against expenditure reviewed</b> regularly. Realistic reserves to be kept.	1	2	2
<b>Internal Audit</b> Scope of internal audit inadequate	3	3	9	Terms of reference and scope of audit to be agreed before confirming appointment. <b>Use of firm with relevant experience of PC matters.</b>	1	1	1
Lack of independence	2	2	4	Check that the Independent Internal Auditor has no known personal connections with PPC. Testing to be unbiased and objective.	1	1	1
Competence (inadequate qualifications)	2	2	4	Check that IIA has adequate qualifications, with knowledge of parish council law & is able to add value.	2	2	4
Relationships – lack of contact	2	2	4	RFO and members to agree content of audit plan; members to be clear about own responsibilities.	1	1	1
Audit Planning & Reporting inadequate	3	3	9	Internal Audit plan to include all risks and be approved by the Council. Audit report to be presented to Council and minuted.	2	2	4
Inadequate reporting on Annual return, qualified audit	3	3	9	Members must be able to agree to statements on Section 2 of the Annual Governance Statement of Official Return.	2	2	4

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<b>External Audit</b> Qualified audit opinion	3	4	12	Independent Internal Audit to be carried out and signed off. Full Council to approve and submit Annual Return by required date. Bank reconciliation and Variances to be included with Annual Return. Chairman/internal auditor to complete checklist for financial year-ends.	1	4	4
<b>3. Bank Reserves</b> Loss of revenue through bank insolvency	2	4	8	Regular review of security of bank reserves. <b>Ensure reserves are with protection limits of the Financial Services Compensation Scheme (£85K)</b>	1	1	1
<b>4. Parish Shop &amp; Green Hut</b> Loss of data and other records through computer break-down, virus, fire or flood	2	4	8	Computer: anti-virus software to be used; essential files to be backed up independently. Deeds/important documents to be kept in fireproof file.	1	4	4
Loss of equipment through theft	3	3	9	No expensive equipment to be left in Green Hut Meeting Room.	2	2	4
Theft of cash or stamps	2	3	6	Bulk stamp stock and petty cash to be kept in safe. Minimal cash float to kept in cash drawer.	1	1	1
<b>5. The Green</b> Harm or damage to people and property	3	4	12	Paths to be kept in good condition, grass professionally mown, holes filled. Included in Public Liability insurance cover.	1	2	2
<b>6. Playground</b> Harm or accident to users Vandalism	2	4	8	Insurance cover; new items added to premium. Annual inspection of play equipment by insurance company. Monthly inspection by councillor, weekly by grounds man. Defective items to be cordoned off and repairs made as necessary by manufacturer.	1	4	4
<b>7. Benches</b> <b>Vandalism or accidental damage resulting in financial loss or equipment becoming unsafe</b>	2	2	4	Insurance cover. Monthly inspection by clerk. Repairs made as necessary.	2	1	2
<b>8. Trees</b> Harm or damage to people & property by falling branches	3	4	12	Regular inspection by arboriculturist with professional indemnity. Removal of dead branches & other safety work to be done as required by professional tree surgeon, also with professional indemnity.	2	3	6
<b>9. Notice boards</b> <b>Vandalism or accidental damage resulting in financial loss or equipment becoming unsafe</b>	3	2	6	Monthly inspection by clerk or grounds man.	2	2	4
<b>10. Banners &amp; hoardings erected on Green</b> Injury from inadequate fixing; fire/vandalism	3	4	12	Permission to be granted by PPC with terms & conditions; any issues of liability to be responsibility of fixer.	2	2	4
<b>11. Cricket pavilion</b> <b>Vandalism, accidental damage or theft resulting in financial loss or equipment becoming unsafe</b>	3	4	12	Insurance cover. Day-to-day management by Cricket Club. Repairs to be made quickly to discourage vandalism.	2	2	4

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<p><b>12. The Green Licence (should this be an appendix for events?)</b>  Risk of loss of licence though non-compliance of licensing objectives and conditions; failure to do so is an offence under section 136 of the Licensing Act 2003, for which the penalty can be a fine up to £20,000, six months in prison, or both.</p> <p>A. Prevention of crime &amp; disorder</p> <p>B. Public Safety</p> <p>C. Prevention of Public Nuisance</p> <p>D. The Protection of children from harm (is this our responsibility? Do we police events to ensure they are appropriate?)</p>	4	4	16	<p>Event organisers required to sign a written agreement to comply with safety points &amp; legislation relating to all aspects of the event. Risk assessments to be provided + public liability insurance up to £5 million.</p> <p>Adequate supervision and stewarding to be a requirement of acceptance of hiring. Hirers to be made aware of their responsibilities to ensure there is no drunken or disorderly behaviour.</p> <p>Hirers to be provided with operating schedule and Licensing conditions. Electrical supply fitted with RCDs; equipment to be PAT tested if possible. External power point only to be used if supply connected to LPH. Cables not to be left trailing along the ground. First Aid area provided. Parking only in specific areas, clearly marked. No driving on or across the Green permitted. Provision of safe assembly area in case of fire. Marshalls to be provided by organisers for large events.</p> <p>The management have the right to attend any function &amp; close it down where inappropriate behaviour is apparent. Respect and consideration for neighbours is included in the terms &amp; conditions.</p> <p>We should just set out in a policy / the terms of hire what the expected standards are. The DPS will ensure hirers understand responsibility towards safety of children in all areas of event. Notice displayed refusing alcohol sales to minors. No admission of children to plays/dance where there is an age classification of unsuitability for minors. Provision of safe area for children separated from parents/supervisors.</p>	2	2	4
<p><b>13. Refreshments at events</b>  Risk of food poisoning from contaminated food or incorrect storage and handling (is this us providing food or is this vendors? If vendors we should link to their requirements not what we think they should be)</p>	2	4	8	<p>Food and refreshments to be handled hygienically and safely according to the Food Hygiene (England) Regulations 2006. Cooks to hold Food Hygiene certificates; Food handlers to wear clean aprons and offered latex gloves. Provenance of food served to be recorded; food to be kept chilled (below 8° or reheated until piping hot (75°) as appropriate.</p>	1	2	2
<p><b>14. War memorial</b>  Vandalism or accidental damage resulting in financial loss or memorial becoming unsafe</p>	3	4	12	<p>Insurance cover. Annual inspection to check state of repair.</p>	2	1	2
<p><b>15. Bus shelters</b>  Damage by vandalism/accident</p>	3	4	12	<p>Insurance cover. Monthly inspection by clerk. Repairs to be made as necessary and quickly to discourage vandalism.</p>	2	2	4

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<b>16. Outside work</b> Risk of injury when staff / contractors are cleaning footways & other lengthsman work; injury to contractor	4	4	16	Insurance cover and suitable training. Operative and supervisor to have NRASW (New Roads & Street Works) certification. Provision of portable "Man at Work" signs; high visibility jacket & protective gloves to be worn.	1	2	2
Injury during erection of road safety equipment or bunting etc for events	4	4	16	Installers of VAS & SDR to undergo specific training. Volunteers to work in pairs at low levels and in safe areas away from the highway. Mobile phones to be carried to enable help to be summoned in an emergency.	2	4	8
<b>17. Car parks</b> Damage/vandalism to signs - repair costs Worn surfaces creating accidental damage to vehicles and claims from car owners.	3	2	6	Monthly inspections.	2	2	4
Damage from abandoned vehicles and fire risk	3	3	9	Monthly inspections; repairs to be made as soon as possible.	2	2	4
Damage/vandalism to vehicles; claims from owners	2	4	8	Report to Guildford Borough Council.	2	4	2
Damage to vehicles from potholes; claims from owners	2	4	8	Warning notices that PPC cannot take responsibility.	2	2	4
Vehicles parking on the Green: becoming bogged down/damaged leading to claims from owners	3	3	9	Assess depth of potholes and cost of repair; repairs to be made as soon as possible.	2	2	4
Personal injury: traffic flow	3	4	12	Parking on the Green permitted by application to the Parish Council and approved, subject to suitable ground conditions. Access limited by posts and locked gates.	1	4	4
Personal injury: icy weather	3	4	12	Controlled parking, with orderly flow at the Sandpits site; hatching at entrances on The Green car park.	2	4	6
Personal injury/damage to vehicles from cricket balls	4	4	16	Grit to be spread over walkways when icy weather has been forecast (but not suitable for the Sandpits site).	2	3	6
<b>Sandpits site</b> Personal injury: to pedestrians from traffic problems in School Lane caused by congestion/impatient drivers when car park closed	4	4	16	Warning signs to be put out on the morning of match days	2	4	8
Personal injury: to car park users during work at Sandpits site (drainage/potholes)	4	4	16	Car park to be closed for duration of work; neighbours to be notified in advance. Warning signage to be erected in advance.	2	2	4
Personal injury: to pedestrians from traffic problems in School Lane caused by congestion/impatient drivers when car park closed	4	4	16	Work to be scheduled for non-peak times; school parents to be warned to drop off and collect children on the village green car park and walk.	2	4	8