



RISK MANAGEMENT POLICY

Pirton Parish Council

Adopted: 12 March 2015
Doc011.
Chairman R.Diane Bailey

Re-Assessed (date)	Signed (Chairman)
08.03.2018	A.Smither
14.06.2019	J Rogers
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Pirton Parish Council



RISK MANAGEMENT POLICY

Doc011

v3 05.2021

06.05.21	J Rogers
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Pirton Parish Council

RISK MANAGEMENT POLICY



Doc011

v3 05.2021

Contents

1. Background	2
2. Risk Management of Pirton Parish Council	2
3. Areas where insurance can be used to manage risk.....	3
4. Areas where the work of third parties can be used to help manage risk	4
5. Internal controls.....	4
6. Areas where risk can be self-managed	4
7. Internal Controls.....	5
8. Continual Review of Risk Management	5

1. Background

- a The need for a Risk Management Policy is set out in Section 5 of the Joint Panel on Accountability and Governance Practitioner's Guide dated March 2020 published by the National Association of Local Councils.
<https://www.nalc.gov.uk/library/our-work/jpag/3223-practitioners-guide-2020/file>
- b By the very nature of risk, it is impossible to produce a standard list of risks which the Council might face, and therefore this policy deals with general guidance to help reduce and where possible eliminate any risk.
- c In accordance with Section 6 of the Local Audit and Accountability Act 1974, an authority is a 'smaller authority' if the higher of the authority's gross income for the year and its gross expenditure for the year does not exceed £6.5m. Pirton Parish Council is a small council with an income of approximately £40,000 per annum and similar expenditure, and therefore clearly falls into this category.
- d The Practitioner's Guide, referenced above, sets out examples of risk management considerations.

2. Risk Management of Pirton Parish Council

Pirton Parish Council

RISK MANAGEMENT POLICY



Doc011

v3 05.2021

- a Pirton Parish Council has considered its risk under three headings:
- b The use of insurance to manage risk.
- c The help of a third party to manage risk.
- d Self-management of risk.

3. Areas where insurance can be used to manage risk

- a A thorough insurance review should be undertaken every three years with a provisional review at each renewal date. This review will be carried out by the Clerk, with assistance from Councillors and the insurance company as necessary. A report of the insurance review will be presented to a full Council meeting for approval and minuted accordingly. Insurances to be considered should include:
 - i) Public Liability
 - ii) Employer's Liability
 - iii) Money
 - iv) Fidelity Guarantee
 - v) Property Damage
 - vi) Libel and Slander
 - vii) Personal Accident
 - viii) Legal Expenses
 - ix) Internal controls:
- b Physical assets should be inspected regularly and details logged. The Clerk will be responsible for ensuring that inspections take place and are logged. Councillors will assist with the inspection of assets.
- c Maintenance and repair of assets should be carried out as soon as practicable and an amount set aside in the annual budget for this purpose.
- d An annual review of the adequacy of insurance cover should be carried out at each insurance renewal date.
- e Consideration should be given to the need for a specialist insurance provider in view of work carried out by the council.
- f The Asset Register should be updated on a regular basis by the Clerk, but as a minimum annually at the financial year end.

Pirton Parish Council

RISK MANAGEMENT POLICY



Doc011

v3 05.2021

4. Areas where the work of third parties can be used to help manage risk

- a In order to comply with its powers and duties, the Parish Council may find it necessary to enrol the services of external bodies to undertake tasks such as maintenance, security, legal assistance, etc. This need will arise when the Council is unable to carry out this function using internal resources or where external expertise is required.

5. Internal controls

- a In all cases where external help is needed, the council should ensure that its Financial Regulations and Standing Orders are adhered to, especially when awarding contracts.
- b The Council should review the performance of the external provider both during and on completion of the job.
- c The payments procedure should be checked in line with the council's Financial Regulations, and expenditure kept within its budget limit.
- d In addition to its own checking procedure, an annual inspection and risk assessment of the council's play equipment should be carried out by an external organisation.
- e Under the terms of the Licence held by Pirton Sports & Social Club, an annual inspection of the facilities at the Recreation Ground should be reported to the Parish Council.

6. Areas where risk can be self-managed

- a A large proportion of the Council's work is undertaken by the Parish Clerk under terms and conditions of employment. The main role of the Clerk is to ensure compliance of the Council's statutory and financial responsibilities within the framework of the Council's powers and duties.

Pirton Parish Council

RISK MANAGEMENT POLICY



Doc011

v3 05.2021

7. Internal Controls

- a At all times the Clerk and Councillors will work within the limits set out in the Council's own Standing Orders and Financial Regulations and comply with the Accounts and Audit Regulations 1996 as amended (guidance for which is detailed in NALC's 'Governance and Accountability Practitioner's Guide'.
- b Where relevant Council Minutes will record details of the powers under which decisions have been made. The Minute book will be kept up to date and the Minutes approved monthly to ensure accuracy and adequate detail.
- c Replies to correspondence, consultation and parishioner contact will be dealt with as soon as practical.
- d A Risk Assessment will be carried out and reviewed annually in reference to the work of the Council's street cleaner. Risk assessments will be carried out for future employees of the Council at the commencement of employment.

8. Continual Review of Risk Management

- a In order to ensure that the Council's risk management process remains effective, the Council will review this policy *annually*.
- b In addition, the Council will review its Standing Orders and Financial Regulations annually at the Annual Meeting.
- c All decisions reached by the Council should be considered in relation to this policy.
- d The appointment of the Internal Auditor will provide an independent opinion regarding the effectiveness of this policy.

9. Risk Register

- a The council currently maintains a register of risk, covering the following:

RA001 – Finance
RA002 – Street cleaner
RA003 - Strimmer
RA004 – Clean-up Day
RA006 – Play Areas
RA007 – Fire (PSSC)
RA008 – Pond Work