



## **AINTREE VILLAGE PARISH COUNCIL**

### **Risk Management Plan**

19<sup>th</sup> November 2018  
Minutes 6851

**Aintree Village Parish Council  
Risk Management Plan  
Reviewed 19<sup>th</sup> November 2018**

Risk management is the process whereby a local council methodically address the risks associated with what it does and the services which it provides. The Parish Council should identify potential risks, then take all practical and necessary steps to reduce or eliminate the risks, as far as is practically possible. This document below should enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

<b>Potential risk</b>	<b>Existing Mitigation factors and control measures</b>	<b>Action to be taken</b>
<p>1) Failure to agree a precept which, with reserves, would cover the Parish Council's known expenditure</p> <p><b>Likelihood – low</b> <b>Impact – high</b></p>	<p>1. Training and literature available to guide Councillors as to their role &amp; responsibilities.</p>	<p>1. Experienced Clerk &amp; RFO to advise Councillors, 2. Clerk and RFO to express their concerns to the Parish Council which are to be recorded in the minutes. 3. Clerk and RFO, either singly or jointly, to express their concerns to the LALC, Sefton Council and the Secretary of State for Communities and Local Government 4. Inform the Internal and External Auditors</p>
<p>2) The Parish Council becoming insolvent</p> <p><b>Likelihood – low</b> <b>Impact – high</b></p>	<p>1. Experience Clerk &amp; RFO to advise Councillors 2. Training and literature available to guide Councillors as to role &amp; responsibilities. 3. Budget monitoring reports are received by the Parish Council each month showing the Council's financial position against budget and total reserves available.</p>	<p>1. The Chairman and or the Clerk to call an emergency meeting of the Parish Council with a view to agreeing courses of action to solve the insolvency. 2. The Clerk and/or RFO to notify Sefton Council and seek immediate advice from LALC as to what action could be</p>

	<p>4. Internal auditor's reports are received and reviewed by the Parish Council on a regular basis.</p> <p>5. Review of reserve levels at budget/precept setting.</p>	<p>taken, which could include an emergency bank loan.</p> <p>3. An Emergency Committee comprising the Chairman and Vice Chairman will meet to immediately suspend all non-essential expenditure as they deem fit.</p> <p>4. Inform the Internal and External Auditors.</p>
<p>3) Sudden loss of the Clerk due to:  (i) incapacity of the Clerk as a result of long-term illness, or  (ii) sudden resignation</p> <p><b>Likelihood – medium</b>  <b>Impact – high</b></p>	<p>1. Agreement with adjoining Parish Clerks to provide temporary cover.</p>	<p>1. Should the Clerk be either:-  (i) incapacitated as a result of long-term illness, or,  (ii) the Clerk suddenly resign,  an Emergency Committee comprising the Chairman and Vice Chairman will meet to appoint a Parish Councillor (which could be himself/herself but preferably a Parish Councillor with administrative experience) as Acting Clerk to the Parish Council until such time as the Clerk returns to duty or resigns. The vacancy can then be dealt with by the Parish Council; the RFO will offer all possible assistance.</p> <p>2. If the committee deems it appropriate, it will contact other Parish Councils, perhaps through the Sefton Area Partnership of Local Councils, or the LALC, seeking urgent and temporary assistance with clerking matters. Sefton Council to be informed.</p> <p>3. Sub group to be formed by the Emergency Committee with authority to agree advertisement, job description, salary, application form, conditions of service, contract of employment and short list. Sub group to also</p>

		act as interviewing panel and to recommend an appointment to the Parish Council.
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<p>4) Sudden loss of the RFO due to  (i) incapacity of the RFO as a result of long-term illness, or  (ii) sudden resignation of the RFO</p> <p><b><i>Likelihood – medium</i></b>  <b><i>Impact – medium</i></b></p>	<p>1. The Parish Clerk to take on the responsibility of the RFO for a very limited period of time.</p>	<p>1. Should the RFO be either (i) incapacitated as a result of long-term illness, or (ii) the RFO suddenly resign, an Emergency Committee comprising the Chairman and Vice Chairman will meet to appoint a Parish Councillor, preferably one with financial experience, as Acting RFO to the Parish Council until such time as the RFO returns to duty or resigns. The vacancy can then be dealt with by the Parish Council; the Clerk will offer all possible assistance.</p> <p>2. If the committee deems it appropriate, it will contact other Parish Councils in the area, perhaps through the Sefton Area Partnership of Local Councils, or the LALC, seeking urgent temporary assistance with financial matters.</p> <p>3. Sub group to be formed by the Emergency Committee with authority to agree advertisement, job description, salary, application form, conditions of service, contract of employment and short list. Sub group to also act as interviewing panel and to recommend an appointment to the Parish Council.</p>
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<p>5) Risks faced by park employees</p> <p><b><i>Likelihood – low</i></b> <b><i>Impact – medium</i></b></p>	<ol style="list-style-type: none"> <li>1. Relevant training provided to Park employees.</li> <li>2. Regular recording of any potential incidents.</li> </ol>	<ol style="list-style-type: none"> <li>1. The Park Officer will carry out a risk assessment of the tasks required of park employees (which will include himself/herself) and the action to be taken to eradicate/mitigate those risks. The Clerk will submit the assessments to the Parish Council for its consideration.</li> <li>2. The Parish Council will continue to employ the services of a Health and Safety professional to undertake annual risk assessments of employee actions and to advise on its responsibilities in this area</li> <li>3. The Parish Council will ensure that its employees are appropriately trained.</li> <li>4. The Parish Council supply appropriate workwear and protective equipment and ensure that its employees know how and when to use them.</li> <li>5. The Parish Council has a lone working policy which has been circulated to all employees.</li> <li>6. Employers Liability Insurance in place.</li> </ol>
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<p>6) Fraud and corruption</p> <p><b>Likelihood – medium</b></p> <p><b>Impact – high</b></p>	<ol style="list-style-type: none"> <li>1. Declaration of interest at each Parish Council meeting.</li> <li>2. Parish Council’s financial regulations set out the policies and procedures which the Parish Council has in place.</li> <li>3. All cheques to be signed by a minimum of two Parish Councillors (Initialling Invoice &amp; cheque stub)</li> <li>4. Parish Council’s asset register records the location and value of the Council’s assets.</li> <li>5. A comprehensive internal audit terms of reference to cover a broad spectrum of risks. Undertaken by an experienced auditor.</li> <li>6. Internal Auditor’s reports are received and reviewed by the Parish Council on a regular basis.</li> <li>7. RFO ensures that at all times the Parish Council’s Fidelity Guarantee covers the Parish Council’s liquid assets.</li> <li>8. RFO ensures that at all times the Parish Council’s liquid assets are held in bank accounts with values no greater than is covered by the Financial Services Compensation Scheme (FSCS).</li> </ol>	<ol style="list-style-type: none"> <li>1. In the event of any fraud or corruption being discovered or reported – <ol style="list-style-type: none"> <li>i) the Clerk will report the matter to the Parish Council’s internal and external auditors,</li> <li>ii) the Chief Executive of Sefton Council and</li> <li>iii) the LALC.</li> </ol> </li> <li>2. Subsequently she will send copies of the investigation report and inform them of the Parish Councils conclusions, decisions made and any actions taken. This will be undertaken by the Chairman if the suspected fraud/ corruption is by the Clerk</li> <li>3. The Clerk will carry out an investigation and submit a written report to an emergency meeting of the Parish Council to be held within seven days of the corruption being discovered or reported to the Parish Council, or as soon as practicable in the light of the circumstances. This will be undertaken by the Chairman if the suspected fraud/corruption is by the Clerk.</li> <li>4. Inform the police, depending on the circumstances.</li> <li>5. Should the Clerk or the RFO be suspected of fraud or corruption, the Chairman of the Parish Council will immediately suspend them from service on full pay until such time as an investigation has been completed.</li> <li>6. Should a Parish Councillor be involved then, depending on the circumstances, action should be taken under the Code of Conduct which will</li> </ol>
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		require reference to Sefton Council's monitoring officer.
<p>7) Risks faced by users of the play equipment</p> <p><b>Likelihood – low</b> <b>Impact – medium</b></p>	<ol style="list-style-type: none"> <li>1. Appropriate warning signs erected</li> <li>2. Public Liability Insurance cover in place at all times.</li> </ol>	<ol style="list-style-type: none"> <li>1. The Parish Council to continue to engage the services of ROSPA to carry out an annual playground inspection and, if appropriate, a reputable playground equipment supplier which carries out inspections.</li> <li>2. The Clerk will ensure the reports are submitted to the Parish Council which will then give immediate instructions for the rectifying of high and medium risks identified in the reports. All action taken will be recorded in the minutes.</li> <li>3. The Park Officer will carry out a weekly inspection of the play equipment and will record that the inspection has been undertaken. The Park Committee to ensure that the Park Officer's inspections are undertaken each quarter by checking all equipment with the Park Officer.</li> <li>4. The Park Officer will report any defects that he/she considers to be significant to the Clerk in writing who will report accordingly to the Parish Council. The defects and action taken will be recorded in the minutes</li> </ol>



<p>8) Risks faced by users of the park</p> <p><b>Likelihood – low</b> <b>Impact – low</b></p>	<ol style="list-style-type: none"> <li>1. Appropriate warning signs erected</li> <li>2. Public Liability Insurance cover in place at all times.</li> </ol>	<ol style="list-style-type: none"> <li>1. The Park Officer will carry out a weekly inspection of the park and will record that the inspection has been undertaken. The Park Committee to ensure that the inspections are undertaken each quarter by checking the park with the Park Officer.</li> <li>2. The Park Officer will report any defects that he/she considers to be significant to the Clerk in writing who will report accordingly to the Parish Council. The defects and action taken will be recorded in the minutes.</li> </ol>
<p>9) Theft from and/or damage to the Parish Council's property</p> <p><b>Likelihood – medium</b> <b>Impact – high</b></p>	<ol style="list-style-type: none"> <li>1. CCTV in operation, monitored by Sefton Security</li> <li>2. Intruder &amp; fire alarm systems are in operation and are serviced regularly</li> <li>3. Park gates are locked at night</li> <li>4. Listing of assets &amp; property maintained and evaluated</li> <li>5. Regular inspection of assets to ensure possession &amp; condition.</li> <li>6. Insurance cover is in place</li> </ol>	<ol style="list-style-type: none"> <li>1. SeftonArc to record all incidents recorded on the CCTV and report to the Clerk, who will the report such incidents to the Parish Council</li> <li>2. Park Officer to record and report to the Clerk any incidents of theft and/or damage to the Parish Council property, which in turn to be reported to Parish Council, with recommendation for appropriate actions to be taken.</li> </ol>
<p>10) The Parish Council has inadequate insurance cover</p> <p><b>Likelihood – low</b> <b>Impact – high</b></p>	<ol style="list-style-type: none"> <li>1. Regular review taken of all assets and independent valuation reports produced, which are then used to obtain the correct insurance cover.</li> </ol>	<ol style="list-style-type: none"> <li>1. Review of the Parish Council's insurance arrangements (at least) on an annual basis.</li> <li>2. Experienced Insurance Brokers to tender advice.</li> <li>3. Maintenance of the Parish Council's asset register which records the value which the asset should be insured for.</li> </ol>

<p>11) Risk of receiving a qualified audit</p> <p><b>Likelihood – Low</b> <b>Impact – high</b></p>	<ol style="list-style-type: none"> <li>1. Compliance with Parish Council's financial regulations,</li> <li>2. Compliance with the requirements of the external auditor,</li> <li>3. Internal &amp; External auditor's reports, examined at Parish Council meetings throughout the year,</li> <li>4. Parish Council review of budget monitoring reports on a monthly basis,</li> <li>5. Experienced RFO and Clerk in post.</li> </ol>	<ol style="list-style-type: none"> <li>1. Both the RFO and the Parish Clerk to undertake regular and appropriate training,</li> <li>2. Any irregular financial concerns to be report to the Parish Council at the earliest opportunity, with proposed course of remedial actions.</li> </ol>
<p>12) Outsourcing of services</p> <p><b>Likelihood – high</b> <b>Impact – medium/high</b></p>	<ol style="list-style-type: none"> <li>1. Contractors Safety/Disclaimer review form has been completed</li> <li>2. Contractors Public Liability Insurance certificate obtained.</li> <li>3. Contractor carries out health and safety risk assessment for its own staff, and report provided</li> <li>4. Ad-hoc monitoring of the Contractor by Park staff</li> </ol>	<ol style="list-style-type: none"> <li>1. Parish Clerk make regular reports to the Park Committee and the Parish Council on the performance of the Contractor, and make recommendations.</li> </ol>
<p>13) Activities being outside legal powers (the Parish Council acting 'ultra vires' i.e. acting beyond its powers)</p> <p><b>Likelihood – low</b> <b>Impact – high</b></p>	<ol style="list-style-type: none"> <li>1. Compliance with Parish Council Standing Orders, and Financial Regulations,</li> <li>2. Regular reporting of Parish Council's Code of Conduct</li> </ol>	<ol style="list-style-type: none"> <li>1 Clerk and/or RFO as appropriate to express their concerns to the Parish Council which are to be recorded in the minutes.</li> <li>2 Clerk and/or RFO, to express their concerns to the LALC, the Chief Executive of Sefton Council and the Secretary of State for Communities and Local Government.</li> </ol>

		3 Clerk and/or RFO as appropriate be authorised to seek legal advice on the issue at the Parish Council's expense.
14) Electors' rights not being followed  <b>Likelihood – low</b> <b>Impact – medium</b>	<ol style="list-style-type: none"> <li>1. Agendas, Minutes, and other relevant information displayed on three local Notice Boards,</li> <li>2. Same information on Parish Council website (when fully operational)</li> <li>3. Standing item 'Public Participation' on the Agenda for both Parish Council and Park Committee at all times</li> <li>4. Electors actively encouraged to attend and participate in Parish Council meetings.</li> </ol>	<ol style="list-style-type: none"> <li>1. The Clerk will ensure that Electors' Rights in all spheres of the Parish Council's activities are adhered to, particularly in respect of notices of audit, meetings and vacancies and in financial matters.</li> <li>2. Should the Parish Council not so adhere, then the Clerk will record his concerns in the minutes and express them to the LALC, the Chief Executive of Sefton Council and the Secretary of State for Communities and Local Government.</li> </ol>
15) Improper expenditure under section 137  <b>Likelihood – low</b> <b>Impact – medium</b>	<ol style="list-style-type: none"> <li>1. All requests for Section 137 grant considered by the Parish Clerk and report prepared for Members consideration at the Parish Council meeting.</li> </ol>	<ol style="list-style-type: none"> <li>1 Before authorising a section137 grant, the Parish Council will seek advice from both the Clerk and the RFO that the proposed grant is in accordance with legislation.</li> <li>2 Should either the Clerk or RFO, or both, advise that a payment is not in accordance with legislation, such advice should be recorded in the minutes. In such circumstances, the Parish Council will not authorise that payment until further advice has been obtained from the LALC, such advice to be recorded in the minutes.</li> </ol>

<p>16) Loss of a significant number of Parish Councillors leaving the Parish Council inquorate</p> <p><b>Likelihood – medium</b> <b>Impact – high</b></p>	<p>1. Parish Clerk in regular contact with the Chairman, Vice- Chairman, Chair of Park Committee and other Members, and keeps record of absence of Members at meetings.</p>	<p>1 The Clerk will notify the LALC and request the Chief Executive of Sefton Council to urgently carry out the procedure for the advertising of the vacancies and seek assistance from the Borough Council in paying the Parish Council's creditors.</p> <p>2. Any remaining Parish Councillors will form a sub group and are hereby authorised to carry out minimal services on behalf of the Parish Council.</p> <p>3. In the event that no Parish Councillors remain, the Clerk and/or RFO are hereby authorised to carry out minimal services on behalf of the Parish Council.</p>
<p>17) The Chairman/Parish Councillors/Clerk/RFO/internal auditor are unsure of respective roles/duties/responsibilities and as a consequence are unable to fulfil their duties effectively/efficiently</p> <p><b>Likelihood – low</b> <b>Impact – high</b></p>	<p>1. Parish Council's Code of Conduct, Standing Orders and Financial Regulations are in place and are reviewed on an annual basis.</p> <p>2. Experienced Clerk and RFO in post and are able to advise the Parish Council.</p> <p>3. Guidance available from LALC and NALC.</p>	<p>1. The provision of the requisite training to any Councillor and Officer to enable them to understand the duties and responsibilities of their particular role in order to fulfil that role effectively and efficiently.</p>
<p>18) The Parish Council receives reputational damage as the direct result of a Councillor/officer's direct action, and/or article in the press/public domain.</p> <p><b>Likelihood – medium</b> <b>Impact – high</b></p>	<p>1. The Parish Council observes its standing orders</p> <p>2. Parish Councillors observe the code of conduct</p> <p>3. the Parish Council has a policy of a press officer</p> <p>4. The Parish Council has suitable insurance cover for libel and slander.</p>	<p>1. The Clerk to inform the Chairman, with the aim of convening a special meeting of the Parish Council.</p> <p>2. Sub group to be formed investigate the matter and report back to the Parish Council.</p> <p>3. Insurance company to be informed.</p>

<p>19) Loss of Parish Council's physical records – hard and soft copy – through theft, damage or loss.  <b>Likelihood – medium</b>  <b>Impact – high</b></p>	<ol style="list-style-type: none"> <li>1. Back-up copies of all electronic (soft) documentation are made and stored in a safe place</li> <li>2. All deeds and/or important legal documentation are stored in a fire/flood-proof safe or are held in an established archive with archival controls, humidity, etc.</li> <li>3. All financial documentation is stored in the safe provided by the Parish Council.</li> </ol>	<ol style="list-style-type: none"> <li>1. The Clerk and/or RFO to take all necessary actions to restore missing records.</li> </ol>
<p>20) Charges – rentals received  <b>Likelihood – Low</b>  <b>Impact - Low</b></p>	<ol style="list-style-type: none"> <li>1 The Clerk issues an application forms, terms and conditions for usage and invoice.</li> <li>2 The cheque/cash is dealt with as per Cash and Cheque Handling Policy, and reported to Parish Council regularly.</li> <li>3 Organisations using the pitch/bowling green confirm to the Parish Council that they have their own insurance policy</li> </ol>	<ol style="list-style-type: none"> <li>1. The Clerk to take all necessary actions to ensure compliance.</li> </ol>