



Rushmere St. Andrew Parish Council

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RISK MANAGEMENT STRATEGY 2023-2024

1. INTRODUCTION

1.1 This document forms the Council's Risk Management Strategy. The objectives of the strategy are to:

- Develop risk management and raise its profile within the Council
- Manage risk in accordance with best practice
- Anticipate and respond to changing social, environmental and legislative requirements

2. POLICY STATEMENT

2.1 Risk management is the process that is used by the Parish Council to address the risks associated with an event or action which will adversely affect its ability to achieve its objectives to deliver high quality public services. The failure to manage risks effectively can be expensive in terms of litigation and reputation, the ability to achieve desired targets and, eventually, on the local community's council tax bills. The Council is aware that some risks can never be eliminated fully, and it has in place a strategy that provides a structured, systematic and focussed approach to managing risk. The emphasis should always be on eliminating or reducing the risk before costly steps to transfer risk to another party are considered.

3. IMPLEMENTING THE RISK MANAGEMENT STRATEGY

3.1 Risk Control – is the process of taking action to minimise the likelihood of the risk occurring and/or reducing the severity of the consequences should it occur.

Methods used will include:

- Elimination – circumstances from which a risk arises are removed so the risk no longer exists
- Reduction – control measures are implemented to reduce the impact/likelihood of the risk
- Transfer – the financial impact is passed to others
- Sharing – the risk is shared with another party
- Insuring – insure against some or all of the risk to mitigate financial impact
- Acceptance – documenting a conscious decision after assessment of areas where Council accepts or tolerates the risk ongoing reviews as detailed under future monitoring risk monitoring – the risk management process must be monitored and reviewed on a regular basis to ensure that any changes to the nature of any risk has been taken into account and the risk control procedures adapted accordingly.



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Risk Management System – is the process by which risk will be managed:

- Risk Identification – informed decisions can only be taken by the Council if it has identified and understood the hazards and risks facing the policies and decisions it has undertaken. Risks will be identified in the annual risk assessment carried out in February / March of each year.
- Risk Analysis – once risks have been identified, analysis should be undertaken as to the potential frequency of the risk and its consequences. If a risk is seen to be unacceptable then steps should be taken to ensure that the risk is controlled or a response it taken to the risk.
- Risk Prioritisation – an assessment should be made of the impact and likelihood of risks occurring and prioritised as low, medium or high.

4. ROLES AND RESPONSIBILITIES

4.1 Risk management is seen as a key part of the Council's role which will include:

- Establishing clear roles, responsibilities and reporting lines within the council for risk management
- Providing opportunities for shared learning on risk management across the council
- Providing risk management training and awareness sessions
- Incorporating risk management considerations into the Council's management processes
- Effective communication with, and the active involvement of, employees
- Monitoring arrangements on an on-going basis
- Ensure that internal audit provides a scrutiny role to provide independent assurance to the Council that the necessary risk management systems are in place and all significant risks are being managed effectively
- Ensure that feedback from internal and external audit is fed into the Council's risk management strategy
- Ensure that the Council reviews legal guidance published by NALC, on all matters relating to governance and accountability
- Ensure that Council is aware and trained to take effective action on the requirement under the General Data Protection Regulations 2018 on the documents needed to be kept in order to show that the Council is complying with the legislation.
- Ensure that the Parish Council annually reviews the Risk Management Strategy



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RUSHMERE ST ANDREW PARISH RISK ANALYSIS

1. Insurance Based Risk

IDENTIFIED RISK	CONTROL	AUDIT ASSURANCE
Protection of physical assets (buildings, furniture, equipment etc)	a. Loss or damage/ All Risks cover b. Timely maintenance of assets	a. Annual review of asset register linked to Insurance cover review. b. Maintenance contracts.
Damage to 3 rd party property or individuals as a result of council actions/services	Public liability cover	Annual review of risk and adequacy of cover. Robust insurance provider
Consequential loss of income or need to provide essential services following critical damage loss or non-performance by a third party	Consequential Loss cover	Annual review of risk and adequacy of cover. Robust insurance provider
Loss of cash through theft or dishonesty	Fidelity guarantee cover. Petty cash system not operated.	Annual review of risk and adequacy of cover. Robust insurance provider
Legal liability as a consequence of asset ownership	Public liability cover	Annual review of risk and adequacy of cover. Robust insurance provider

2. Using third parties to manage risk

IDENTIFIED RISK	CONTROL	AUDIT ASSURANCE
Security/safety of Broke Hall play equipment, etc.	Regular safety inspection by qualified contractor. Inspection by RoSPA or RoSPA qualified person; regular checks by volunteers between RoSPA safety checks	Appropriate reports and recording of inspections
Security/safety of Tower Hall play equipment	Regular safety inspection by qualified contractor. Inspection by RoSPA or RoSPA qualified person; regular checks by volunteers between RoSPA safety checks	Appropriate reports and recording of inspections

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IDENTIFIED RISK	CONTROL	AUDIT ASSURANCE
Security/safety of Chestnut Close play equipment	Regular safety inspection by qualified contractor. Inspection by RoSPA or RoSPA qualified person; regular checks by volunteers between RoSPA safety checks	Appropriate reports and recording of inspections
Security/safety of Yewtree Grove play equipment	Regular safety inspection by qualified contractor. Inspection by RoSPA or RoSPA qualified person; regular checks by volunteers between RoSPA safety checks	Appropriate reports and recording of inspections
Security/safety of Kelvedon Drive play equipment	Regular safety inspection by qualified contractor. Inspection by RoSPA or RoSPA qualified person; regular checks by volunteers between RoSPA safety checks. In each of the above cases 'regular' is taken to mean monthly depending on the inspection contract in force at the time.	Appropriate reports and recording of inspections
Contracted-out services.	By contract or similar arrangement. Contractors have appropriate indemnity.	Regular review and contract meetings.
Allotments: Risk of vermin infestation owing to nature of materials on site and inappropriate storage of animal feed (chicken/rabbits)	Suitably located bait boxes/traps. Correct storage of animal feed. Limit excess rubbish/compost/materials by adopting a controlled allocation of dedicated manure & compost bins.	If evidence of rats, etc. Approved contractor to check minimise risk. Regular inspections/advice/re-baiting with reports to the PC

3. Self Managed risk.

IDENTIFIED RISK	CONTROL	AUDIT ASSURANCE
Failure to keep proper financial records	Adhere to NALC Financial Regulations and statutory requirements. Review by internal audit. Follow approval process for any expenditure	Schedule and document periodic reviews of Finance Regs – normally at Annual Meeting of PC

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IDENTIFIED RISK	CONTROL	AUDIT ASSURANCE
Failure to ensure all business activities are within local council legal powers	Record in the minutes the expenditure is approved with S137, S142 & S19 payments specifically identified. Review minutes to ensure legal power in place, recorded and correctly applied.	Expenditure subject to annual budget review and approval by PC.
Compliance with restrictions on borrowing	All requests to go via SALC/NALC for approval.	PC and relevant authority approval needed and documented.
Compliance with employment law	Contract of employment signed by both parties. Use template supplied by SALC/NALC. Inland Revenue calculations are made by the Payroll Software System and are subject to the audit process. Salary forecasts are undertaken as part of the budget setting process.	Regular reviews. Annual review and internal audit.
Compliance with Inland revenue regulations	Register as employer with IR. Inland revenue calculations are made by the payroll software system and are subject to the audit process.	Annual review and Internal Audit.
Compliance with Customs & Excise regulations (VAT)	Application for VAT refund. Ensure all requirements are met on annual basis. Review by internal audit.	Annual claim and audit report at Annual Meeting of Parish Council.
Failure to submit returns of VAT	RFO responsible for completion and submission of VAT returns and these are submitted yearly.	Annual review of PC of VAT submission.
Failure to develop system of performance measurement.	In accordance with legislation, staff appraisals for the Clerk and Assistant Clerk will be undertaken annually by the Chairman and Parish Council.	Annual appraisal for Clerk and Assistant Clerk.
Failure to ensure the adequacy of the annual precept	Preparation and adoption of annual budget.	Annual budget review and approval by PC.
Failure to ensure the proper use of funds granted to local community bodies made in accordance with the General Power of Competence (Localism Act 2011 Part 1, Chapter 1, ss 1-8) are brought into force by SI 965 The Parish Councils (General Power of	Grants applications are considered by the Council within the parameters of the grants policy.	Approval of grant applications by PC.

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IDENTIFIED RISK	CONTROL	AUDIT ASSURANCE
Competence)(Prescribed Condition) Order 2012: Grants Policy		
Failure to ensure the proper use of funds under section 137 or other specific powers	Regular review of payments by RFO and Chairman.	Annual audit and yearly review by qualified internal auditor.
Failure to respond to electors exercising rights of inspection	The Council has adopted the ICO's model publication scheme under the Freedom of Information Act 2000 and all information is publicly available online or by request.	Document all requests with timings.
Failure to report proper, timely and accurate council business	Weekly review of Parish matters by Clerk and Chairman. Council minutes are distributed to members in advance of the subsequent meeting and verified as a correct record as one of the first items of business of that meeting and signed at the meeting. Failure to do so is recorded. Any Council Committee and Working Party Minutes/ Notes are presented to full council for information.	Report of matters at next relevant meeting. Approval of minutes of previous meeting item on agenda of all meetings.
Failure to have register of Members' Interest and Gifts and Hospitality in place, complete and accurate and up to date.	The Members' Register of Interest is held by the Monitoring Officer at East Suffolk Council. It is the responsibility of Members to notify the Clerk or Monitoring Officer of any gifts or hospitality in accordance with the Local Government Association Model Code of Conduct 2020 or any changes to their interests.	The registers are reviewed annually.
Failure to meet timescales when responding to consultation requests	Weekly review of Parish matters by Clerk and Chairman.	Report of matters at next relevant meeting.
Failure to exercise proper document control	Computer and paper filing structures numerically synchronized.	Documented and open master index.
Failure to have internal controls in place	Internal controls reviewed by Clerk and RFO, Chairman and Internal Auditor. Recommendations submitted to Council.	

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IDENTIFIED RISK	CONTROL	AUDIT ASSURANCE
Failure to keep data safe	All necessary procedures and documents are computerised and backed up to cloud storage. Appropriate IT security in place. GDPR policies adopted by Council	Data backed up. Appropriate IT security in place and regularly review this by IT consultant. Annual Review of GDPR policies.
Failure to record in the budget and minutes the precise power under which expenditure is being approved.	Review of minutes to ensure legal powers in place, recorded and correctly applied.	Review minutes regularly.
Failure to provide regular returns to the Inland Revenue; contracts of employment, job descriptions for all staff; systems of updating records for any changes in relevant legislation reviewed by Council.	Inland Revenue Returns are completed and submitted by the RFO. Salaries are calculated by the Payroll Software System and are subject to internal audit. Staffing issues considered by Parish Council. The Council has adopted personnel procedures.	Annual internal audit. The Council has adopted personnel procedures.
Compliance with Code of Conduct rules	Comply with rules, regularly update Register of Interests, record declared Interests in meeting minutes.	Annual review of Register entry by each Councillor
Failure of Parish computer system and / or loss of stored data.	Data backed up in Cloud.	Data backed up in Cloud. Reviewed as part of internal audit.
Failure of regular scrutiny of financial records and proper arrangements for approval of expenditure	Payments schedules submitted to full council every month for scrutiny.	PC reviews payment schedules monthly
Failure to number minutes properly and to keep a master copy in safe keeping.	All minutes are number correctly. These are loose leaf and signed. Original copies are kept in the Parish Office. They are also kept as computer files and are backed up in the Cloud. Minutes are also available on the PC website.	Reviewed annually and internal audit.
Failure to document procedures to deal with enquiries from the public.	Calls, letters and e-mails are dealt with as soon as practically possible.	Review IT and Communications Policy Annually.

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IDENTIFIED RISK	CONTROL	AUDIT ASSURANCE
Loss of key personnel for example, Clerk, Chairman, Asst Clerk, or Registrar of Burials	Clerk contract of employment (i.e. 3 month Notice of resignation), Vice Chairman, plus two other persons familiar with systems.	Business as usual procedures documented and reviewed annually. Electronic copy of burial records now available; verifying data at present.
Damage to 3 rd party property or individuals as a result of falling memorial headstones in Lawn Cemetery	Regular inspection from approved contractor, with remedial action if necessary.	Report of inspection visits remedial action undertaken. Cover under Parish insurance. Cemetery Regs. include disclaimer and advice to client to take out own insurance cover.
Failure for Members to act in the appropriate way	The Council has adopted the Local Government Association Model Code of Conduct 2020. A copy is available on the Council's website.	Review Code of Conduct Policy Annually.
Financial control and VAT recovery of Internet purchases on behalf of The Council made with private credit/debit cards	Limit expenditure and reimburse by BACS against invoice in compliance with normal PC finance procedures	Define addendum to Financial Regulations to cover Internet purchases.
Financial control and integrity of payments via on-line banking services by authorised officer of the Council.	Limit authorised personnel to Clerk only. Login data to be held in sealed envelope by Chairman. Regular check of bank statements against ledger information to be initialled by Chairman (or vice-Chairman) .	Procedures documented in Financial Regulations and regularly reviewed for adequacy. Ensure fidelity insurance cover adequate. Report transactions at PC meetings.
Failure to prevent and detect fraud and corruption	Use Standing Orders, Financial Regulations, internal controls and consideration by Council.	PC review Standing Orders, Financial Regulations and Internal Controls annually.
Loss/corruption of financial information and/or theft of funds by 3 rd parties by obtaining user and	Adequate firewall precautions on Broadband links. Installation of approved Internet Security monitoring software on all computers used by the PC. – Automatic update on PCs	Annual subscription to ensure latest threats are downloaded by automatic polling of security software website

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IDENTIFIED RISK	CONTROL	AUDIT ASSURANCE
password information by eavesdropping/spyware/Trojans etc		
Loss of paper records in Parish Store Room, Parish Office, Clerks residence or Asst Clerks residence (if used as office) by fire, theft or flood	Adequate fire safety and security audits on premises including fire detection/alarms where required. Adequate locks, no excess rubbish suitable furniture.	Yearly safety checks. Document results and follow up any notifications
Injury to staff/public in Parish Store Room at Village Hall, Parish Office at Tower Hall, Clerks residence or Asst Clerks residence (if used as office).	Ensure safe entry/exit from premises. No obstacles, safe working environment. Operators to be aware of rules regarding exposures to VDU screens	Yearly safety checks. Document results and follow up any notifications
Allotments- Injury to tenants & other personnel from insecure fencing, sheds, loose rubbish, poor storage of materials.	Ensure area is gated to minimise unauthorised visitors. Clearly defined walkways, fenced areas, compost areas, secure loose materials away from pathways. Manage all material quantities to realistic proportions.	Regular inspection by Officers of the PC/Councillors. Appointment of manager for day-to-day activities. Written regulations & guidelines with annual review. Ensure all tenants have copy of documentation.
Allotments – Fire hazard from burning of waste or poor composting of rubbish	Ensure rubbish is burnt in defined area in small quantities with due regard to wind speed/direction. Ensure compost bins are of suitable material	PC to provide dedicated burning area. Allotment manager to provide local control of burning times/amounts.
Lawn Cemetery – toppling of memorials Tripping hazards Burial in wrong plot Disputes regarding exclusive rights	Complete topple test every 2-3 years; safety checks every year Contractors to regularly check for sunken graves and fill Operate appropriate procedures Included appropriate information/ requirements in regulations booklet and in job description of Burial Registrar of Authority	Yearly safety checks. 2-3 years topple test by registered contractor Regular safety checks by staff and contractors Detailed procedures included in job description of Registrar of Burials

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IDENTIFIED RISK	CONTROL	AUDIT ASSURANCE
Another activity at church	Registrar of Burials in regular contact with church	Review regulations annually Detailed procedures for Registrar of Burials
Limes Pond – Safety- Protecting personnel from drowning. Risk of vermin infestation in damp area where feeding fish/ducks with scrap food may take place	Fencing around pond, locked maintenance gate. Lifebelt in prominent position and deep water warning notice. Suitably located bait boxes/traps and notices warning not to feed wildlife.	Safety checks on fencing and gates by maintenance contractor and officers/councillors of the PC. Regular checks on lifebelt by officers/councillors of the PC. If evidence of rats, etc. Approved Contractor to check to minimise risk
Chestnut Pond – Safety- Protecting personnel from drowning Risk of vermin infestation in damp area where feeding fish/ducks with scrap food may take place. Risk of flooding from blocked outlet	Lifebelt in prominent position and deep water warning notice Suitably located bait boxes/traps and notices warning not to feed wildlife. Keep clear of weed and litter	Regular checks on lifebelt by officers/councillors of the PC If evidence of rats, etc. Approved Contractor to check minimise risk Regular checks on outlet by contractors/ officers/councillors
Protection of recorded and use of personal information	Compliance with Data Protection Act 2018 Compliance with General Data Protection Regulation	Register with Information Commissioners Office (ICO) as a Data Controller Adopted appropriate policies and procedures
Protection of external wall mounted Defibrillators at Tower Hall, Baptist Church and Broke Hall Jaipur Restaurant	Defibrillators in combination locked secure cabinets with box ID codes linked to Ambulance Service for access codes. Responsibility for checking battery levels etc. in place	All items registered with Ambulance Service and Manufacturer. Asset Insurance in place.

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Council has responsibility for a Speedwatch camera, SIDs and associated equipment. Also running of CSW monitoring programme with Kesgrave Town Council. Risk to operatives of CSW and risk to equipment from damage or loss	CSW locations registered and approved by police. CSW operatives receive training and appropriate documentation. Contractor alter SID locations.	Procedure policies in place, covering operation of camera, SIDs, CSW locations, wearing of clothes etc. Equipment insured for external use. Operatives insured by police