



# RISK ASSESSMENT (INCLUDING PLAY PARK)

Review of risks and the measures currently adopted or recommended – **2024/25**

## Purpose:

This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

The purpose of the Council discussion is to record our consideration of these risks and recommendations. The need for this discussion is recommended by NALC and the SLCC and is a requirement of an Intermediate External Audit.

## Source of information:

The list of risks is based on the NALC/SLCC guidelines “Governance and Accountability in Local Councils in England and Wales – A Practitioners’ Guide”.

The risk weighting includes columns for ‘likelihood’ (of an event occurring), (1 = Low to 3 = High), the ‘impact’ on the council if such an event occurred (also rated 1 = Low to 3 = High) and the weighted total (a sum of likelihood x impact) which should prioritise our thoughts but has only limited value in some areas.

Priority of Risk Management				
<b>Likelihood of Occurrence</b>	Highly Likely (Score 3)	Medium (3 x 1)	High (3 x 2)	Very High (3 x 3)
	Possible (Score 2)	Low (2 x 1)	Medium (2x 2)	High (2 x 3)
	Unlikely (Score 1)	Very Low (1 x 1)	Low (1 x 2)	Medium (1 x 3)
		Negligible (Score 1)	Moderate (Score 2)	Severe (Score 3)
<b>Impact</b>				

## Action required:

Please review this document in time for the meeting of the Parish Council to be held 20<sup>th</sup> June 2024.

Consider if any other general or specific risks should be added to the list and if the measures are appropriate to the risks. If you wish to suggest any changes, please contact the Clerk. Following discussion and resolution, the completion of the review will be recorded in the minutes.

Reviewed and Adopted at a meeting of Waltham on the Wolds and Thorpe Arnold Parish Council held 20<sup>th</sup> June 2024. Next review: November 2024

Signed: \_\_\_\_\_ Chair of Waltham on the Wolds and Thorpe Arnold Parish Council



	Risk What may go wrong	Likeli- hood	Impact	Total	Current Measures What we currently do about it	Review, Assess, Revise Improvements
<b>PROPERTY - ASSETS</b>						
1	Loss of or damage to physical assets (buildings, street furniture, playground equipment, trees, paths on Council property and public seating)	3	2	6	<ul style="list-style-type: none"> <li>1 Maintain Asset Register at year end 31<sup>st</sup> March</li> <li>2 Regular maintenance of assets</li> <li>3 Insurance with reputable companies</li> <li>4 Review insurance values</li> <li>5 Internal Audit review of adequacy of insurance cover and controls</li> <li>6 Tree Policy adopted in August 2014. A tree survey is carried out every 3 years.</li> <li>7 Annual Inspections by Councillors</li> <li>8 Annual inspection by External professional bodies</li> </ul>	Existing procedure adequate. BHIB – renewal date 11/08/2024 Review insurance requirements annually. Due April 2025
2	Damage to third parties or their property as a consequence of the Council providing a service (public liability)	2	3	6	<ul style="list-style-type: none"> <li>1 Insurance (Public and Employer Liability Policies) with reputable companies</li> <li>2 Internal Audit review of adequacy of insurance cover and controls</li> <li>3 Weekly premises inspection</li> <li>4 Annual electrical inspection (portable appliances)</li> <li>5 Triannual electrical inspection (structural)</li> <li>6 Regular inspection and maintenance of assets, including safety equipment, playground equipment, trees and paths on Council property</li> <li>7 Five yearly inspections of headstones and similar structures as recommended by ICCM.</li> </ul>	Existing procedure adequate. Public Liability £10M Review insurance requirements annually.  Issues passed on to clerk by Cllrs Memorial Management Policy adopted July 2023 Testing completed 09/23
<b>SECURITY - FRAUD/THEFT</b>						
3	Loss of cash or monies through theft or dishonesty (fidelity)	1	1	1	<ul style="list-style-type: none"> <li>1 Financial Regulations set out requirements</li> <li>2 Two signatures required on all payments, online authorisations and on review of automated payments (e.g. direct debits)</li> <li>3 Monthly bank reconciliations by the Clerk, checked by 2 Councillors at every Council meeting</li> <li>4 Mini-audit is carried out on a 6 monthly basis by a Councillor</li> <li>5 Insurance with a fidelity guarantee</li> <li>6 Internal Audit review of adequacy of insurance cover and controls</li> <li>7 There is no petty cash.</li> </ul>	Existing procedure adequate.  Review the Financial Regulations annually  Ensure Fidelity Insurance is adequate.



FINANCE AND MANAGEMENT						
4	Proper financial records are not maintained	1	3	3	<ul style="list-style-type: none"> <li>1 Financial Regulations set out requirements and expectations.</li> <li>2 Effective arrangements exist for the approval of expenditure</li> <li>3 Budget monitoring statements are reviewed quarterly</li> <li>4 Office processes involve dual control and/or independent review</li> <li>5 Monthly bank reconciliations</li> <li>6 Asset register is updated annually</li> <li>7 Annual Internal Audit</li> </ul>	<p>Existing procedure adequate.</p> <p>Review the Financial Regulations annually</p>
5	Loss of or damage to critical data and documents	1	3	3	<ul style="list-style-type: none"> <li>1 Financial documents kept in a filing cabinet.</li> <li>2 All invoices are uploaded to Scribe so can be viewed electronically</li> <li>3 Signed minutes are kept in a filing cabinet</li> <li>4 Electronic documents are stored on Dropbox</li> </ul>	<p>Key documents should be stored in the County Archives</p> <p>Damage (apart from fire) and theft is unlikely</p>
6	Failure to comply with the Council's own financial regulations or those laid down by statute	1	3	3	<ul style="list-style-type: none"> <li>1 Internal Audit - standard financial activity is reported, minuted and accepted at a Council meeting, at the time of signing the Annual return</li> <li>2 Findings are published online</li> </ul>	<p>Existing procedure adequate.</p>
7	Inadequacy of the precept due to unsound budgeting arrangements	1	3	3	<ul style="list-style-type: none"> <li>1 Precept requirement reviewed annually</li> <li>2 Budgets are reviewed quarterly</li> <li>3 Forecasting future needs drawn from the budget documents</li> <li>4 Full Council approves the Precept</li> </ul>	<p>Existing procedure adequate.</p> <p>Use Precept calculation forms</p>
8	Failure to be able to operate in the event of the precept not being received on time	1	3	3	<ul style="list-style-type: none"> <li>1 Six to nine months operating costs kept in reserve each year. This is to enable the Council to be able to continue to operate and function in the event of any problems with lateness or non-receipt of the precept.</li> <li>2 The Council's Reserve Policy is reviewed and agreed annually.</li> </ul>	<p>Existing procedure adequate.</p>
9	Requirements of VAT regulations are not met	1	3	3	<ul style="list-style-type: none"> <li>1 Financial Regulations set out requirements and expectations.</li> <li>2 Internal Audit - standard financial review</li> </ul>	<p>Existing procedure adequate.</p>
10	Illegal awarding of a grant	1	2	2	<ul style="list-style-type: none"> <li>1 Council has a grant awarding policy in place</li> <li>2 The correct legal powers are enacted</li> </ul>	<p>Existing procedure adequate.</p>
11	Lack of business continuity	1	3	3	<ul style="list-style-type: none"> <li>1 All files kept up to date and accessible</li> <li>2 Documents stored at the Office or Clerk's home</li> <li>3 Passwords shared</li> </ul>	<p>Existing procedure adequate.</p>



				4	4 In the instance of an unexpected or tragic circumstances, the Chair should contact LRALC	
12	Annual Return not submitted on time	1	3	3	<ol style="list-style-type: none"> <li>1 Financial Regulations set out requirements and expectations</li> <li>2 Annual Return is completed and signed by the Council in April or May</li> <li>3 The return is submitted to the internal auditor for completion</li> <li>4 The return is sent on to the External Auditor within the time limit.</li> <li>5 Council receives reports on timescales and requirements.</li> </ol>	<p>Existing procedure adequate.</p> <p>Annual Return timetable downloaded from the External Auditor's website</p>
<b>EMPLOYEES</b>						
13	Loss of key personnel (Clerk/RFO)	1	3	3	<ol style="list-style-type: none"> <li>1 Chair steps in for the short term</li> <li>2 Locum clerk available from LRALC and/or Council can appoint a temporary clerk</li> <li>3 Advertise for a new clerk in due course</li> </ol>	<p>Existing procedure adequate.</p> <p>Maintain membership of LRALC</p>
14	Failure to comply with Health and Safety legislation	1	3	3	<ol style="list-style-type: none"> <li>1 Provide appropriate training and support and annual review of all H&amp;S Systems and practices.</li> <li>2 Membership of local and national bodies such as LRALC, NALC and SLCC</li> <li>3 Checklists and risk assessments of safety related activities are provided and maintained</li> <li>4 Staff receive relevant and work appropriate training on H&amp;S</li> <li>5 All staff are asked to read the Health &amp; Safety Policy on an annual basis</li> </ol>	<p>Existing procedure adequate.</p> <p>Maintain membership of LRALC</p>
15	Failure to comply with Employment legislation	1	3	3	<ol style="list-style-type: none"> <li>1 Membership of local and national bodies such as LRALC, NALC and SLCC</li> <li>2 Systems have been introduced to monitor Sickness Absence and holidays.</li> <li>3 All Staff are to be given a copy of the Employee contract to ensure that all members of staff are fully aware of their rights and what is expected of them.</li> </ol>	<p>Existing procedure adequate.</p> <p>Maintain membership of LRALC</p>
16	Failure to comply with salary and HMRC requirements	1	3	3	<ol style="list-style-type: none"> <li>1 Payroll work is contracted to professional specialists</li> <li>2 Internal Audit - standard financial review</li> <li>3 The Clerk submits the information to the payroll management company. They prepare all necessary documentation and provide online reporting to HMRC</li> <li>4 Payment to staff and HMRC are approved by Council and submitted for two Councillors to sign the payment off.</li> </ol>	<p>Existing procedure adequate.</p> <p>Maintain Payroll system externally</p>



					5 Salary rates are assessed annually by the Council and based on agreed NJC rates.	
<b>LIABILITY</b>						
17	Council activities and contractual arrangements are not within legal powers	1	3	3	<ol style="list-style-type: none"> <li>1 Standing Orders and Financial Regulations exist for purchasing and creation of contracts</li> <li>2 Clerk to review legality of Council decisions</li> <li>3 Legal Powers are recorded in Scribe</li> <li>4 Internal Audit review of minutes re decisions made</li> <li>5 Measures have been put in place where the minute number (where applicable) is placed on the transaction to complete the audit trail</li> </ol>	<p>Existing procedure adequate.</p> <p>Clerk CiLCA trained</p>
18	Register of member's interests (ROMI) and register of gifts and hospitality is not in place, complete or up to date. Conflicts of interest are not declared	1	1	1	<ol style="list-style-type: none"> <li>1 ROMI is completed after elections and updated annually.</li> <li>2 This is the responsibility of Councillors, not the Clerk or the Council and failure to register interests could be seen as a criminal offence</li> <li>3 There is an item on every agenda for Councillors to declare interests</li> </ol>	Existing procedure adequate.
19	Late and/or inaccurate reporting of Council business in the minutes	1	1	1	<ol style="list-style-type: none"> <li>1 Draft Minutes sent to review by Councillors normally within one week and published on the website and notice boards.</li> <li>2 Minutes are made available with the next agenda</li> <li>3 Minutes are approved at the very next meeting</li> <li>4 Minutes and agenda are displayed according to the legal requirements.</li> <li>5 Business conducted at Council meetings managed by the Chair.</li> <li>6 Meetings are recorded for accuracy of minutes</li> </ol>	<p>Existing procedure adequate.</p> <p>Members adhere to the code of conduct.</p> <p>Chairs should undertake training for that role.</p> <p>Standing Orders are updated annually</p>
20	Failure to meet the laid down timetables when responding to [a] consultation invitations	1	1	1	[a] Circulation of papers with invitation to comment and return by the specified deadline	Existing procedure adequate.
	[b] planning applications	1	1	1	[b] Contents of the Planning Committee agenda is checked against the Borough Council's website and extra meetings are called to meet Melton Borough Council's (MBC) deadlines. Time extensions can be applied for from MBC.	Extensions for submission of Council's resolutions are generally granted.



21	Inability or delay in responding to electors wishing to exercise their rights under Freedom of Information legislation	1	2	2	The Model Publication Scheme was adopted and is publicised on the website, which includes compliance procedure for FOI requests.	Existing procedure adequate.
22	Legal liability arising as a consequence of asset ownership (public liability)	2	2	4	See section 2 above	Existing procedure adequate.

**Risk Assessment: Visitors to Goadby Road Play Park. The following risks apply to all activities carried out within the Play Park**

Hazard	Potential injury....	Initial Assessment			Control Measure	Residual Assessment			Monitoring and Further Action Required
		Probabilit	Severity	Risk		Probabilit	Severity	Risk	
Litter, glass and dog mess	Cuts, grazes and illness	2	4	8	Users to safely dispose of litter, glass, dog mess in waste disposal bin provided. Bin is emptied regularly by MBC. Signage prohibiting dogs in play area	1	4	4	Users to report problems to the Parish Council/Clerk for response. Provide contact details for public to report issues
Poisonous, thorny or stinging plants	Skin irritations, scratches	3	2	6	Grounds maintained by an approved contractor.	2	2	4	Users to report problems to the Parish Council/Clerk for response.
Poorly maintained ground	Slips, trips and falls resulting in cuts, bruises, abrasions & other injuries.	2	3	6	Regular ground maintenance by approved and qualified contractor to keep grass short and obstructions visible.	1	3	3	Contractors' risk assessments and procedures reviewed at appointment and copies kept with the Clerk.

**Severity:**

- Slight (minor injury, first aid required).
- Moderate (minor injury, first aid/medical attention).
- Serious (injury, medical attention, 7 day absence).
- Major (serious injury/death).
- Catastrophic (number of casualties/deaths).

		Severity				
		1	2	3	4	5
Probability	5	5	10	15	20	25
	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5

**LOW (1-4):** May be ignored  
**MEDIUM (5-9):** Control measures Required  
**HIGH (10+):** Design out if possible



Hard, uneven or slippery surface around play equipment	Slips, trips and falls resulting in cuts, bruises, abrasions & other injuries.	2	3	6	Suitable safety surfacing (e.g. grass, bark, sand, matting) maintained under and around play equipment	1	3	3	Annual ROSPA accredited inspections reported to Councillors. Users to report problems to the Parish Council/Clerk for response.
Operation of vehicles or machinery by contractors	Collision/contact injuries, burns, cuts, impact from materials flying out of mower blades	2	4	8	Contractor to operate safely and work in accordance with risk assessments	1	4	4	Contractors' risk assessments and procedures reviewed regularly and copies kept with the Clerk
Damaged or faulty benches, gates or fencing	Cuts, bruises, trapped fingers etc from contact with or falls from faulty benches, gates or fences	2	4	8	Benches are bolted to the ground. Gates and fencing inspected as part of annual inspection Repairs actioned ASAP	1	4	4	Parishioners/users to report urgent problems to the Parish Clerk for rapid response. Provide contact details for public to report issues
Damaged or defective play equipment	Slips, trips & falls causing cuts, bruises, broken limbs, head injuries following use or falls from play equipment	2	4	8	All equipment inspected as part of annual RoSPA accredited inspections  Quarterly operational and weekly visual inspections carried out.  Defective or damaged equipment is removed, repaired or replaced ASAP	1	4	4	Annual RoSPA accredited inspections reported to Councillors Records kept by Clerk for 21 years Parishioners/users to report urgent problems to the Parish Clerk for rapid response. Provide contact details for public to report issues.
Trees	Injury from falling trees or branches Trips, falls caused by fallen branches	2	3	6	Regular inspection of trees by qualified arborist. Dangerous branches or trees removed following inspection	1	3	3	Maintain regular inspections and maintenance programme Users to report problems to the Parish Council/Clerk for response.