



## Controlled Document

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# Risk Management Policy

## Introduction

A risk is anything that can threaten or impact upon the assets, operations or reputation of the Parish Council. Risk Management is the planned and systematic approach to the identification, analysis and economic controls of all risks. It is not just about financial management, but it is about achieving the objectives of the Parish Council.

There are four recognised ways of dealing with risk:

- Remove the risk.
- Reduce the risk to an acceptable level.
- Transfer the risk (e.g. to a contractor) or insure against it.
- Accept the risk.

The Risk Management Policy forms part of the Parish Council's internal control and corporate governance arrangements.

This Policy explains the Parish Council's underlying approach to risk management and documents the roles and responsibilities of Councillors and officers. It also outlines the key aspects of the risk management process and identifies the main reporting procedures.

The risks are assessed using the risk assessment matrix as follows:

Priority of Risk Management				
Likelihood of occurrence	Highly Likely (score 3)	Medium (3x1)	High (3x2)	Very High (3x3)
	Possible (score 2)	Low (2x1)	Medium (2x2)	High (2x3)
	Unlikely (score 1)	Very low (1x1)	Low (1x2)	Medium (1x3)
		Negligible (score 1)	Moderate (score 2)	Severe (score 3)
		Impact		



## **Role of Officers**

The role of the officers in relation to risk management is as follows:

- To implement policies on risk management and internal control.
- To identify and evaluate the significant risks faced by the Parish Council for it's consideration (please see Appendix A for Risk Management Record).
- To provide adequate information in a timely manner to the Parish Council on the status of risk and controls.
- To arrange for the internal auditor to undertake an annual review of effectiveness of the system of internal control and provide a report to the Parish Council. The auditor should check the minutes for any suggestion of unusual activity and evidence that risks are being identified and managed.

## **Risk Management as part of Internal Control**

The system of internal control incorporates risk management. This system encompasses several elements that together facilitate an effective and efficient operation, enabling the Parish Council to respond to operational, financial and commercial risks.

These elements include:

- Policies and Procedures.
- Monthly reporting.
- Planning and Budgeting.
- Internal Auditor (responsible for the aspects of the annual review of effectiveness of internal control systems)
- Third party reports (e.g. external consultants)

The Parish Council will be managing many risks when it reviews it's insurance and it's systems. The minutes will record such reviews. Budget setting and insurance reviews are annual activities, but the review of systems should be carried out every four years, unless triggered by internal or external audit reports, or when a risk changes.

## **Annual Review of Effectiveness**

On production of the Internal Auditor's annual report, the Parish Council will:

- Review the previous year and examine the Parish Council's track record on effectiveness on risk management and internal control to assess if any changes need to be made.
- Consider the internal and external risk profile of the coming year, noting any new areas of risk, and consider whether current internal control arrangements are likely to be effective.
- Evaluate the potential consequences to the Parish Council if an event that has been identified as a risk takes place and consider measures to avoid, reduce or control the same.
- Make recommendations to the Parish Council on it's findings.



In making any recommendations, the Parish Council will consider the following aspects:

- Timely identification and assessments of risks.
- Prioritisation of risks and allocation of resources to address areas of high exposure.
- Quality and timeliness of information on significant risks.
- Time it takes for control breakdowns to be recognised or new risks to be identified.
- Ability to the Parish Council to learn from it's problems.
- Commitment and speed with which corrective actions are implemented.

## **Policy Statement**

Lenham Parish Council is committed to identifying and managing risks, using the following procedures and to ensure that risks are maintained at an acceptable level.

Any action that is felt necessary will be taken by Lenham Parish Council or reported to the relevant authority.

Officers will review risks on a regular basis, including any newly identified risks, and will report back to the Parish Council through the risk register. The review will include identification of any unacceptable levels of risk.

The Local Councils Governance and Accountability Guidance highlights the following observations regarding risk management:

- Risk management is not just about financial management; it is about setting objectives and achieving them to deliver high quality public services.
- The new approach places emphasis on local councils strengthening their own corporate governance arrangements, improving their stewardship of public funds and providing assurance to taxpayers.

It makes the point that members are ultimately responsible for risk management because risk threatens the achievement of policy objectives. Members should therefore:

- Take steps to identify key risks facing the council.
- Evaluate the potential consequences to the Council if an event identified as a risk takes place.
- Decide upon appropriate measures to avoid, reduce, or control the risk or it's consequences.



## Appendix A: Risk Management Records

Financial Risk Management						
Risk Number	Topic	Risk identified	Level of risk (H/M/L)	Management of Risk	Action required	Review date
<b>Areas where there may be scope to use insurance to help manage risk.</b>						
1	Property and contents owned by the council.	Loss or damage	<b>Medium</b>	An up to date register of assets.	Review asset register quarterly by F&GP committee. Review annually by internal Auditor. Ensure website list is kept up to date. Ensure insurance covers all assets.	
2	Financial Investments made by the council.	Loss	<b>Medium</b>	An up to date register of investments.	Review quarterly by F&GP committee.	
3	Damage to third party property or individuals	Public Liability	<b>Medium</b>	Property maintenance and insurance cover.	Insurance details held in office file. Insurance reviewed by the council annually every September.	
4	Consequential loss of income or the need to provide essential services following critical damage, loss or non-performance by a third party.	Public Liability	<b>Medium</b>	Annual review of risk and the adequacy of cover.	Insurance reviewed by the council annually every September.	
5	Loss of cash through theft or dishonesty	Fidelity guarantee	<b>Low</b>			

6	Legal Liability as a consequence of asset ownership	Public Liability	<b>Medium</b>	Property maintenance and insurance cover.	Level of cover =	
<b>Working with others to help manage risk</b>						
7	Security for vulnerable buildings amenities or equipment.		<b>Medium</b>		Inspection regime and reporting systems.	
8	The provision of services being carried out under agency/partnership agreements with principal authorities.	Standing orders and financial regulations dealing with the award of contracts.	<b>Low</b>		Reviewed quarterly by council and annually by the internal auditor.	
9	Banking arrangements, including borrowing or lendings	Detect or deter fraud or corruption.	<b>Low</b>		Financial Regulations, Internal Controls Policy and Internal Auditor review. Reviewed annually by council.	
10	Ad hoc provision of amenities/facilities to events to local community groups.	Public Liability	<b>Low</b>		Ask for third party insurance information.	
11	Vehicle or equipment lease or hire.		<b>Low</b>		Hire from reputable companies, monitor by council.	
12	Trading units (leisure centres, planning fields, burial grounds, etc)	External contractors for maintenance.	<b>Low</b>		Or if staff used - budget monitoring, employment law compliance, etc	
13	Professional Services	Standing Orders and Financial Regulations deal with awarding of contracts.	<b>Low</b>		Based on best available service, monitored by council.	
<b>Self-managed risk</b>						

14	Proper financial records	In accordance with statutory requirements.	<b>Low</b>		Reviewed quarterly by F&GP committee and annually by the internal auditor.	
15	Business Activities	Ensuring they are within the legal powers of the council.	<b>Low</b>		Constant review by council.	
16	Borrowing	Complying with restrictions	<b>Low</b>		Internal audit review	
17	Employment Law and inland Revenue Regulations	Ensuring that the requirements are met.	<b>Low</b>		Review by Staffing Committee. Annual review by the internal auditor.	
18	VAT	Ensuring the requirements are met under HMRC regulations	<b>Low</b>		Reviewed quarterly by F&GP committee (in line with Financial Regulations) and annually by the internal auditor.	
19	Annual Precept	Ensuring the adequacy within sound budgeting management.	<b>Low</b>		Reviewed by full council	
20	Monitoring of performance		<b>Low</b>		Monthly review of budget by F&GP committee.	
21	Grants	Ensuring proper use of funds granted to local community bodies under specific powers s137 or GPC	<b>Low</b>		All grants based on approved policy and form and provided in quarterly financial report in line with Transparency Code.	
22	Council minutes	Proper, timely and accurate reporting of council	<b>Low</b>		Posted on website for public to see as per transparency code.	

		business in the minutes.				
23	Rights of inspection		Low		Posted on website for public to see as per transparency code.	
24	Document Control	Proper systems	Low		Policies approved and published	
25	Register of members interests	Complete and up to date	Low		Council to ensure forms are up to date and link to MBC is correct on website.	
26	Compliance with Transparency Code		Low		Stay up to date with legislative changes.	

#### General Risk Management

Risk Number	Topic	Risk identified	Level of risk (H/M/L)	Management of Risk	Action required	Review date
<b>Physical Assets</b>						
27	Damage to buildings and property	Damage	Medium	Insurance cover in place. Asset register reviewed and up to date. CCTV installed and maintained. All property regularly checked and repairs completed ASAP.	Set up monitoring schedule for checking property.	Mar-26
28	Loss, damage or theft	Property, equipment and date stolen/lost	Medium	Insurance cover in place. CCTV installed and maintained at office. Asset register reviewed and kept up to date. Security alarm at office.	Set up monitoring schedule for checking property.	Mar-26

#### Council



29	Events	Risk of injury to staff, councillors and members of the public.	<b>Low</b>	Individual Risk Assessments	Complete a new risk assessment for each event.	Continuous
30	Breach of Health and Safety Responsibilities	Risk of injury to staff, councillors and members of the public and subsequent risk of claim against the council.	<b>Low</b>	Public and Employers Liability Insurance in place. Health and Safety Policy in place.	Staff committee to regularly review H&S risks to staff in work place.	Continuous
31	Breach of employment legislation	Risk of claim against the council.	<b>Low</b>	Regular review of policies and procedures. Benchmarking and review of pay and benefits undertaken. Follow staff handbook.	Staff committee to regularly review H&S risks to staff in work place.	Continuous
32	Breach of contractual obligations	Risk of claim against the council.	<b>Low</b>	Contracts prepared with legal advisors. All staff have signed employment contracts.	Staffing committee to oversee staffing arrangements.	Continuous
33	Breach of regulations governing Local Councils	Risk of negative public opinion and reputation.	<b>Low</b>	Qualified clerk in post. Training provided to all staff. KALC membership for advice and training. SLCC membership for advice and training. Declarations of interest documented. Achieve Gold Quality Status.	Clerk to gain CiLCA qualification	Mar-26

34	Adoption and adherence to the Council's code of conduct	Risk of complaints from public. Reputational Risk.	Low	Every Cllr. provided with a copy of the the code of conduct. Training offered to all Cllrs. DPI published on website. Standard item on all council agendas for Cllrs. to declare an interest.	Officers to keep training plan up to date.	Continuous
35	Stress	All staff and councillors could be affected by factors such as lack of job control, bullying, not knowing their role etc	Low	Staff understand what their duties and responsibilities are.	Identify training needs. Keep everyone up to date on training opportunities. Ensure good communication. Remind everyone that LPC has signed up to the Civility and Respect Pledge. Staffing committee to oversee staffing arrangements.	Continuous
36	Lone Working	All could suffer injury or ill health while working alone. Risk of suffering from verbal physical abuse from members of the public.	Low	Everyone to ensure staff or councillor knows your location. Entry system in place for office.		Continuous
<b>1A High Street - Parish Council Office</b>						

37	Fire	Injury to staff, councillors and members of the public. Damage to property.	Medium	Fire alarm installed at the Parish Office. All exits are clearly sign posted. Annual contract in place to service the fire extinguishers at the Parish Office. All visitors to sign in the visitors book.	Smoke detectors in all buildings that are checked. Ensure all electronic equipment is switched off at the end of each day.	Continuous
38	Slips and trips	Staff and visitors may be injured if they trip over objects or slip on spillages	Medium	Ensure good housekeeping and repairs completed ASAP. Filing cabinets to be closed when not in use. First aid kit kept in office. Ensure cables on floor have appropriate cover. Remove any trip hazards immediately.	Regularly inspect surfacing.	Continuous
39	Manual Handling	Staff and visitors maybe injured if they try to lift equipment	Medium	Adequate and up to date training for employees on manual handling Equipment and work spaces being designed to avoid needing to carry objects too far	Review requirement for manual handling training	Continuous
40	Use of electrical equipment	Staff and visitors if equipment is damaged or used incorrectly	Low	Yearly electrical equipment checks. Staff visually checking when using on a daily basis and reporting any problems.	Carry out appropriate PAT testing and Electrical test	ASAP
41	Staircase and steps		Medium	Regularly visually checks		Continuous

		Staff and visitors can fall if they become uneven or hand rails become loose			Action any issues as and when they arise with wear and tear	
42	GDPR/ Data Protection breach	Loss of confidential/ important information	Medium	Ensure all filing cabinets are kept locked and access controlled. Windows and doors secured and alarm is set when office is not manned. All electrical equipment to be kept secure.	Look into network accessed storage for all electronic documents for all staff and councillors.	May-25
43	Other Key Records Security	Key parish records could be lost or access gained for unauthorised purposes.	Medium	All records held in the office in locked cabinets. Back up of electronic filing automatically onto one:drive cloud	Look into network accessed storage for all electronic documents for all staff and councillors. Some files require fire safe storage.	May-25
44	Poor posture, back pain, RSI, etc	Everyone who uses electronic equipment	Low	Setting up equipment to ensure comfort and support	Workstation risk assessment required for those working at office desks for majority of the day.	Jun-25
45	Business Continuity - Risk of council not being able to conduct business due to unexpected circumstance.	Loss of staff member. Loss of portable laptop.	Medium	A business continuity plan is put in place. SLCC locum service to be utilised.	Ensure business resilience through staff training. Develop a business continuity plan.	Continuous

46	Council Records - paper	Loss of information/data through theft, fire, loss or damage.	Low	Ensure renewal of register with the Information Commissioners Office. Keep all files locked.		Continuous
47	Council Records - electronic	Loss of information/data through theft, fire, loss or corruption of device.	Low	Register with the Information Commissioners Office. Keep all devices secure. Password protect devices and key documents. Keep all documents saved on Microsoft Cloud.		Continuous
<b>Public Conveniences</b>						
48	Access	Risk of trips and slips when entering facilities	Medium	Access via concrete slope	Regular inspections by cleaner. Repairs actioned immediately by handyman.	Apr-25
49	Flooring	Risk of trips and slips when using facilities	Medium	Cleaner will be visiting regularly and will clear up wet floors and identify any repairs required. Signs readily available to put up showing who to contact in case of spills and other issues.	Ensure all cleaning products stored appropriately in storage area.	Apr-25

50	Equipment	Electrical or plumbing failure	Low	Cleaner to visit regularly and will report any issues to handyman/office. Signs installed on who to contact to report issues. Signs readily available to make facilities "out of order".	Ensure management of risk actions in place when WCs open.	Apr-25
51	Fire	Risk of injury to staff, councillors and members of the public. Damage to property.	Medium	Smoke detectors and fire alarms installed. All exits are clearly sign posted.	Point of contact at LPC clear on outside of building.	Apr-25
52	Accidents	Personal injury Claim on council	Low	Regular inspections by cleaner. Appropriate insurance cover in place.		Apr-25
53	Crime - Vandalism or theft	Damage to facilities Loss of equipment	Low	Toilets only accessed with payment. Storage area to be kept locked. Repairs carried out as soon as possible. Cleaner to report when supplies are needed.	Report any issues to local police.	Apr-25
<b>Play Parks and Open Spaces</b>						

54	Play equipment	Physical injury to members of the public plus staff, cllrs. and contractors.	<b>Medium</b>	<p>Equipment has been installed to required standards.</p> <p>Bi-monthly operational inspections by qualified person.</p> <p>Annual operational inspection by third party.</p> <p>Repairs carried out as soon as possible by competent person.</p> <p>Relevant safety signs installed.</p> <p>Public liability insurance.</p>	<p>Inspections by Safeplay bi-monthly, play park inspection company annually and waste contractor weekly.</p>	Mar-26
55	Paths, grass and other surfacing.	Slips, trips and falls causing physical injury to members of the public plus staff, cllrs. and contractors.	<b>Medium</b>	<p>Regular inspections.</p> <p>Repairs carried out as soon as possible by competent person.</p> <p>Relevant safety signs installed.</p> <p>Regular cleaning of surfacing.</p> <p>Any unauthorised vehicular use monitored and reported appropriately.</p> <p>Public liability insurance.</p>	<p>Visits by waste contractor and cllrs.</p>	Mar-26

56	Bins	Physical injury to members of the public plus staff, cllrs. and contractors.	Low	Regular inspections carried out. Bins emptied regularly. Dangerous bins removed from use. Public liability insurance. Appropriate PPE used by contractors and volunteer litter pickers.	Visits by waste contractor and cllrs.	Mar-26
57	Fencing	Physical injury to members of the public plus staff, cllrs. and contractors.	Low	Regular inspections. Fence removed or repaired ASAP if risk posed. Public liability insurance.	Visits by waste contractor and cllrs.	Mar-26
58	Seating	Physical injury to members of the public plus staff, cllrs. and contractors.	Low	Defective seating removed from use. Seating constructed of durable materials. Seating secured to ground. Regular inspections and repairs carried out according to risk posed. Public liability insurance.	Visits by waste contractor and cllrs.	Mar-26
59	Dog fouling	Infection/ill health to members of the public plus staff, cllrs. and contractors.	Low	Bins provided and emptied regularly. No dogs signs erected where appropriate.	Campaign about dog fouling by LPC. Request local dog warden patrols area.	Mar-26



60	Mowing and strimming	Physical injury to members of the public plus staff, cllrs. and contractors.	<b>Low</b>	All mowing and strimming carried out by third party contractor with their own insurance and risk assessments.		Mar-26
61	Gates	Physical injury to members of the public plus staff, cllrs. and contractors.	<b>Low</b>	Regular inspections and repairs carried out according to risk.		Mar-26
62	Vegetation	Physical injury to members of the public plus staff, cllrs. and contractors.	<b>Low</b>	Non-hazardous plants in play areas. Vegetation kept cut back where it may pose a risk.		Mar-26
63	Trees	Physical injury to members of the public plus staff, cllrs. and contractors from collapsing trees/branches.	<b>Low</b>	Trees inspected regularly.		Mar-26
64	Surface Water features	Physical injury to members of the public plus staff, cllrs. and contractors.	<b>Low</b>	Vegetation is cut back so edge of any water features is clearly visible.		Mar-26

65	Anti social behaviour monitored.	Nuisance and risk of injury to members of the public, cllrs, staff, volunteers and contractors.	Low	Report any evidence of drug use and everyone advised on how to dispose of sharps. Personal Protective equipment provided and used. Littering cleaned up ASAP by waste contractor or volunteers. Noise complaints reported to Local Authority. Graffiti cleaned up ASAP.	Volunteer litter pickers provided with Local authority risk assessment that must be followed.	Mar-26
<b>Other Site Specific Risks</b>						
66	Allotments	Breach of regulations and contractual rights.	Low	Managed by Ham Lane Allotment Association. Annual review of fees. Annual site walkover and inspection.		Mar-26
67	Meeting location - Lenham Community Centre	Health and Safety Risks	Low	Staff to ensure meeting room is fit for purpose and understand the rules of the community centre booking process. A councillor is a trustee of the community centre, they will have knowledge that all safety records are up to date.		Continuous

68	Maidstone Road Car Park	Physical injury to members of the public plus staff, cllrs. and contractors. Damage to vehicles	<b>Low</b>	Inspected monthly by cllrs. Public liability insurance.	Set up reporting schedule at F&GP committee.	Mar-25
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