

## PONTESBURY PARISH COUNCIL

### Organisational Risk Assessment September 2021

#### Objectives:

1. To identify the areas to be reviewed
2. To identify what the risk may be
3. To evaluate the management and control of the risk
4. Review, assess and revise

<b>Risk Category</b>	<b>Description</b>	<b>Risk Category</b>	<b>Description</b>
<b>Operational</b>	Those risks associated with the day-to-day running of the council's services and /or functions	<b>Financial</b>	Those affecting the ability of the Authority to meet its financial commitments. These include internal budgetary pressures, the failure to purchase adequate insurance, the consequences of proposed investment decisions or the loss of opportunity, lack of availability of capital investment, interest rate instability and inflation, etc.
<b>Regulatory</b>	Those associated with current or potential changes in national or European law.	<b>Strategic</b>	Those associated with the medium to long-term objectives of the council as a whole.
<b>People</b>	For example, recruitment/retention of qualified staff, over reliance on key officers or inability to implement change. Also, lack of clarity over roles and responsibilities.	<b>Information</b>	Those associated with the security, accuracy, timeliness of any information held or given by the organisation.
<b>Reputation</b>	For example, bad publicity in local press over an extended period, items in the national press, matters raised in Parliament or the EU.		

Category	Risk Description	H/M/L	Key Controls	Review / Assess / Revise	Risk Owner	Objective
Operational Financial People Strategic Regulatory	<b>Managing resources</b> <b>Staff</b> Sick Leave Staff stress Lone working Loss of Clerk Capability and Performance Fraud by staff Compliance with Health and Safety Law and Employment Law	L	<ul style="list-style-type: none"> <li>• Job Descriptions &amp; appraisal process in place.</li> <li>• Regular meetings of Personnel Committee.</li> <li>• Training policy in place. Clerk regularly attends training and development and has access to assistance and legal advice required to undertake the role</li> <li>• Membership of NALC and SLCC.</li> <li>• Business Continuity Plan in place.</li> <li>• All payments approved at Full Parish Council meeting, two signatories/online authorisers and a councillor has responsibility for quarterly internal checks on financial procedures</li> <li>• Comply with Inland Revenue requirements through use of external payroll provider (DM Payroll Ltd)</li> <li>• Staff undertake DSE (use of display screens) assessment</li> <li>• Clerk undertakes a risk assessment of employees</li> </ul>	<ul style="list-style-type: none"> <li>• Regular support meetings with Clerk</li> <li>• On-going training</li> <li>• Clerk to raise issues with Personnel Committee as arise</li> <li>• Use of Locum when required</li> <li>• Ensure passwords and logins for essential software and services are available to the Chair.</li> <li>• Policies reviewed annually/bi-annually or when major changes dictate need for review</li> <li>• Health &amp; Safety training for staff such as manual handling, lone working, ladder safety, first aid are reviewed annually at appraisal</li> <li>• Any Health &amp; Safety issues/concerns can be raised at the monthly full parish council meeting by staff and/or councillors</li> <li>• Working conditions/safety requirements and</li> </ul>	Council Personnel Committee Clerk	The effective management of all the council's resources.

Approved at Full Council Meeting on 13/09/2021  
Review date: September 2022

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			<p>work environment whether in The Pavilion or at home</p> <ul style="list-style-type: none"> <li>• HR support available from Shropshire Council</li> </ul>	<p>insurance are reviewed regularly</p> <ul style="list-style-type: none"> <li>• PAT testing of all parish council and Pavilion equipment takes place annually</li> <li>• This risk assessment and Business Continuity Plan are reviewed annually</li> <li>• Separate Business Continuity Plan for The Pavilion</li> </ul>		
People Regulatory Reputational Information	<p><b>Members interests</b> Failure to register interests. Failure to act within Standing Orders Breach of Code of Conduct</p>	M	<p>Councillors provided with information on legal duties. Disclosable Pecuniary Interest forms to be reviewed regularly by Councillors. Training policy for Councillors in place.</p>	<p>Fundamentals for Councillors training undertaken by all new Councillors Induction pack in place for councillors Training policy reviewed regularly</p>	Councillors Clerk	To ensure the Council operates at the highest level of integrity.
Reputation	<p><b>Communication</b> Inappropriate use of social media</p>	L	<p>Communication policy in place.</p>	<p>Awareness raising / training Communication strategy and social media policy to be developed by May 2021.</p>	Councillors Staff members	Ensure Council reputation is not damaged and that council activities are representative of wider community
Regulatory Reputation	<p><b>Compliance</b> Failure to meet legal duties</p>	M	<p>Apply all regulatory and statutory requirements: Health and Safety, Code of Conduct, Equality &amp; Diversity, Data Protection, Freedom of Information Employment Law Transparency code</p>	<p>Regular review of policies - all published on website.  Ongoing training for staff and councillors</p>	Clerk Council	To ensure the Council maintains compliance and meets its legal duties.

Approved at Full Council Meeting on 13/09/2021

Review date: September 2022

Category	Risk Description	H/M/L	Key Controls	Review / Assess / Revise	Risk Owner	Objective
			Model publication scheme in place External provider for payroll and data protection officer (DPO) Very little confidential data stored ICT security in place including firewalls and passwords for laptops and sensitive documents	Review Standing Orders and Financial Regulations annually  General Power of Competence to be in place by June 2022  GDPR policies in place and regularly reviewed		
Operational Regulatory Reputation Information	Minutes, agendas and notices – accuracy, legality and accessibility	L	Agendas, minutes and notices are all produced, signed, circulated and displayed within legal requirements.	Existing procedure adequate. Monitor if change of personnel Website accessibility review undertaken by June 2021	Clerk	
Regulatory Information	Notice of Electors Rights	L	Notices and Annual Return displayed in accordance with regulations	Existing procedure adequate. Monitor if change of personnel	Clerk	
Operational Financial Strategic	Failure to meet year end deadlines	M	PPC has invested in accounting software to reduce workload at year end. Additional financial support has been commissioned to support the Clerk.	Monitor new software in place. Consider and review staffing structure – new arrangements to be in place by April 2021	Clerk	
Operational People Reputation	Failure to obtain reliable and accurate information and guidance.	L	Membership of national and local bodies Training programme for councillors and staff Meetings with other professionals Subscriptions to professional organisations and magazines.	Change of central government and their new agenda places an additional burden as many policies are changed at quick pace.	Council Committees Clerk	Good practical and theoretical knowledge of all aspects of legal, organisational and specialist knowledge pertaining to the council.
Operational Financial Reputation People	Failure to be involved in local schemes at consultation stage	L	Always respond to consultation Consult others on the council's plans Membership of Shropshire Area Committee	Ensure receive information regarding consultation	Council Committees	Effective use of the council's resources Able to represent the local community

Approved at Full Council Meeting on 13/09/2021

Review date: September 2022

Category	Risk Description	H/M/L	Key Controls	Review / Assess / Revise	Risk Owner	Objective
Operational Financial People Strategic Regulatory Information	<b>Business continuity</b> Disruption due to fire or other catastrophic event: Loss of records Loss of assets (see also loss of clerk)	L	Emergency plan in place linked to Shropshire Council emergency plan Risk assessments and emergency evacuation plans in place for Pavilion building with regular staff and visitor health and safety training Accounting records held in cloud location (Scribe). Council records are stored securely in Clerks home office and historic records are stored securely at The Pavilion and Shropshire Archives. Encrypted Council laptops used by staff.	Use of Microsoft 365 One Drive for cloud storage Only listed key holders have access to buildings Ensure all key persons are aware of action in event of an emergency	Council Clerk	To ensure that the Council is able to remain operational in the event of disruption.
Organisational Strategic Reputational Regulatory Financial Information Operational	<b>Harm caused by failure to ensure adequate Health &amp; Safety</b>	L	Risk Assessments in place and reviewed regularly H&S Advisory Service provided by Shropshire Council H&S induction for all staff and hirer's of building Specific H&S training for all staff H&S covered at all Full Council meetings	H&S reviewed annually with Shropshire Council All Risk Assessments reviewed annually by Clerk	Council Clerk	Ensure council operates in a safe way not putting staff or community at risk
Organisational Strategic Reputational Regulatory Financial Information Operational	<b>Taking on new services</b>	L	Ensure that all regulatory requirements are understood and met. Undertake Privacy Impact Assessment for any new service Ensure insurance is adequate. Ensure financial controls are in place. Ensure appropriate risk assessments are in place. Staff training	Ongoing use of NALC and SLCC advice services. Ongoing use of DPO	Council Clerk	Ensure services remain financially and organisationally viable.

Approved at Full Council Meeting on 13/09/2021

Review date: September 2022

Category	Risk Description	H/M/L	Key Controls	Review / Assess / Revise	Risk Owner	Objective
Operational Strategic Financial	<p><b>Managing physical resources</b></p> <p>Poor performance of assets or amenities. Loss of use. Risk to third parties</p> <p>The Pavilion Bus Shelters Street Lighting Public Toilets Play Areas / BMX track Street Furniture Trees Trading Post</p>	M	<p>Accurate fixed asset registers held</p> <p>Financial Regulations up to date and implemented</p> <p>Insurance and health and safety requirements are met and reviewed annually.</p> <p>Not all actual assets are insured as individual items, including streetlights and play area equipment. This was reviewed in 2018 and agreed by full council.</p> <p>Budgets are set to include ongoing maintenance and repairs.</p> <p>Regular asset inspections by qualified external companies.</p> <p>Annual RoSPA reports for play areas.</p> <p>Bi-annual tree inspection carried out by Shropshire Council</p> <p>Any Health &amp; Safety issues can be raised at the monthly full parish council meeting by staff and/or councillors and/or member of public</p>	<p>Asset register reviewed annually</p> <p>Ensure servicing contracts are in place for new equipment.</p> <p>Deal with maintenance issues promptly.</p> <p>Tree inspection due in Summer 2021</p> <p>Insurance and risk assessments reviewed annually</p> <p>Buildings re-valued every five years</p>	Council Clerk	To safeguard Council owned assets
Financial Reputational Strategic	<p>Legal Liability</p> <p>Loss or injury whilst using PPC owned assets <b>or</b> damage to third party property or individuals as a consequence of the Council providing services or amenities to the community <b>or</b></p>	H	<ul style="list-style-type: none"> <li>Public liability and Employer's Liability Insurance in place for general parish council activities/equipment/Trading Post building and separate public &amp; Employer's Liability insurance in place for The Pavilion</li> <li>Regular inspections and maintenance.</li> </ul>	<p>Insurance and risk assessments reviewed annually and/or when significant change dictates e.g. COVID</p>	Council	To safeguard Council and public safety.

Approved at Full Council Meeting on 13/09/2021  
Review date: September 2022

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	putting on a community/civic event		<ul style="list-style-type: none"> <li>Separate Risk Assessments in place for public toilets, Play area/BMX track, Trading Post and Pavilion buildings</li> <li>Risk assessments carried out for each council-run community event</li> <li>Event checklist covers all aspect of an event including an emergency plan</li> <li>Regular asset inspections by qualified external companies. Annual RoSPA reports for play areas.</li> <li>Bi-annual tree inspection carried out by Shropshire Council</li> <li>Any Health &amp; Safety issues can be raised at the monthly full parish council meeting by staff and/or councillors and/or member of public</li> <li>Staff training in place</li> </ul>			

Operational Reputation Financial	Inadequate long term planning	L	Council should develop a long term strategy and budget for maintaining and developing services	2021-24 Strategic Plan to undergo public consultation and be adopted by full council by March 2022 (slippage due to COVID)		To safeguard Council reputation and to ensure value for money, efficiency and effectiveness in services provided
Reputation Financial	Action of Council having undesired	L	<ul style="list-style-type: none"> <li>Transparent procedures and processes in place to</li> </ul>	Insurance and risk assessments reviewed annually and/or when		To safeguard Council reputation and to ensure value for

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	negative impact on other parties		<p>reduce likelihood in day to day services</p> <ul style="list-style-type: none"> <li>• Effective project management/action planning/risk management procedures in place for all defined projects</li> <li>• Insurance in place to cover any resulting financial losses</li> <li>• Expert/professional input sought where appropriate</li> <li>• Councillors are elected rather than employed therefore pose a reputational risk to the council.</li> <li>• Mitigation measures in place include: <ul style="list-style-type: none"> <li>• Non-party political culture encouraged</li> <li>• Regular parish councillor surgeries at The Pavilion where issues can be raised</li> <li>• Register of Interests</li> </ul> </li> </ul>	significant change dictates e.g. COVID		money, efficiency and effectiveness in services provided
Reputation Financial	Services and tasks having undesired outcomes	L	All ordinary services are covered by risk assessments Expert/professional input sought where appropriate	Insurance and risk assessments reviewed annually and/or when significant change dictates e.g. COVID	Council and staff	To safeguard Council reputation and to ensure value for money, efficiency and

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						effectiveness in services provided
Operational Reputation Financial	Contractors not supplying agreed services	L	All contracts are controlled by defined contracts or Service Level Agreements	Contracts/agreements reviewed regularly	Council and staff Contracted organisations	To safeguard Council reputation and to ensure value for money, efficiency and effectiveness in services provided
Operational Strategic Reputation	Unsuccessful partnership working	L	Councillors and staff to build good relationships with relevant organisations Good knowledge of community organisations and services	Councillor and staff training Annual expo of local and community organisations to increase knowledge of council and community	Council and staff	To safeguard Council reputation and to ensure value for money, efficiency and effectiveness in services provided
Operational Strategic Financial Reputation People	Failure to maintain a good operational relationship with Shropshire Council		Councillors and staff have good relationships with Shropshire Councillors and continue to build good relationships with relevant Shropshire Council Officers		Councillors and staff	To safeguard Council reputation and to ensure value for money, efficiency and effectiveness in services provided