



Barrowby Parish Council

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Risk Management Policy

Document control

- **Owner:** Full Council
- **Responsible officer:** Clerk / Proper Officer
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- **Review:** Annually or earlier if legislation/guidance changes
- **Next review due:** January-March 2027 at Full Council for formal adoption at Parish Council May 2027

1. Purpose

1.1 This Policy sets out Barrowby Parish Council's framework for identifying, assessing, managing and reviewing the risks that could affect the Council's functions, services, assets, finances, people, legal compliance and reputation.

1.2 The purpose of the Policy is to support good governance, sound internal control, lawful decision-making and the effective use of public funds.

1.3 This Policy should be read alongside the Council's Financial Regulations, Health and Safety Policy, Scheme of Delegation, asset records, insurance arrangements, business continuity arrangements, and any site- or activity-specific risk assessments.

2. Scope

2.1 This Policy applies to:

- a. corporate and strategic risks affecting the Council as a whole;
- b. financial and governance risks;
- c. operational risks arising from the Council's services, land, buildings, staff, volunteers, contractors and activities; and
- d. compliance risks including data protection, information law, employment, health and safety and procurement.

2.2 The Policy covers:

- a. the overarching framework for risk management;
- b. the Corporate Risk Register; and
- c. the requirement for separate operational risk assessments where appropriate.

3. Principles

3.1 The Council recognises that risk cannot be eliminated entirely, but it must be identified, assessed and managed in a proportionate and practical way.

3.2 The Council will:

- a. identify significant risks to its business, services, assets and responsibilities;
- b. assess the likelihood and impact of those risks;
- c. put in place proportionate controls and mitigating actions;
- d. assign responsibility for monitoring and action;
- e. review risks regularly and after material changes, incidents or near misses; and
- f. record and report risk management activity as part of the Council's wider system of internal control.

3.3 Risk management is not a separate annual exercise only. It is part of routine decision-making, budgeting, procurement, project planning, asset management, staffing and service delivery.

4. Legal and Governance Context

4.1 The Council recognises its duties under the Accounts and Audit Regulations 2015 to maintain a sound system of internal control, including effective arrangements for the management of risk, and to review the effectiveness of that system each financial year.

4.2 The Council also recognises the need for suitable and sufficient health and safety risk assessments under the Management of Health and Safety at Work Regulations 1999 and the wider duties under the Health and Safety at Work etc. Act 1974.

5. Risk Management Framework

5.1 The Council will maintain:

- a. this Risk Management Policy;
- b. a Corporate Risk Register recording the Council's principal risks, existing controls, further actions, review dates and responsible persons; and
- c. separate operational risk assessments for particular sites, premises, activities or work tasks where needed.

5.2 The Corporate Risk Register is the Council's live working document for higher-level risks. It should focus on the main risks to the Council's governance, finances, assets, staffing, legal compliance and service delivery.

5.3 Operational risk assessments should be used for practical, task- or location-specific hazards and controls, for example:

- a. Reading Room and Pavilion;
- b. play areas and open spaces;
- c. burial ground operations and memorial safety;
- d. allotments;

- e. lone working;
- f. volunteer activities and working groups;
- g. events and community activities;
- h. contractor works; and
- i. homeworking and office arrangements.

6. Roles and Responsibilities

6.1 **The Council** is responsible for:

- a. overseeing the Council's overall approach to risk management;
- b. approving this Policy;
- c. considering and reviewing the Corporate Risk Register;
- d. ensuring that adequate budgets, insurance, controls and procedures are in place; and
- e. taking risk into account when making decisions.

6.2 **Committees** shall review risks falling within their remit and make recommendations to Full Council as appropriate.

6.3 **The Clerk** shall:

- a. support the Council in maintaining and updating the Corporate Risk Register;
- b. draw material risks, incidents, control failures or emerging issues to members' attention;
- c. ensure that operational risk assessments are prepared, reviewed and filed where required;
- d. coordinate review dates and action tracking; and
- e. liaise with the RFO, staff, councillors, volunteers and contractors as needed.

6.4 **The Responsible Financial Officer** shall support the management of financial risks and internal controls, including banking, accounting, budgeting, insurance, reserves, asset records and audit requirements.

6.5 **Councillors** must take risk into account in decision-making, report emerging concerns, and comply with adopted policies and control measures.

6.6 **Employees, volunteers and contractors** must work in accordance with relevant policies, procedures and risk control measures and report hazards, incidents, defects and near misses promptly.

7. Risk Assessment Approach

7.1 Risks should be assessed by reference to:

- a. likelihood of occurrence;
- b. potential impact or consequence;
- c. adequacy of existing controls; and
- d. whether further action is required.

7.2 The Council may use a simple Red/Amber/Green or numerical scoring system, provided it is applied consistently.

7.3 Attention should be focused on material risks rather than creating unnecessary paperwork.

8. Insurance and Insurable Risk

8.1 The Council will maintain appropriate insurance cover, subject to regular review.

8.2 Insurance is an important control measure but does not remove the need for sound procedures, safe working practices, regular inspections, competent contractors, record keeping and prompt action on defects or incidents.

9. Recording and Review

9.1 The Corporate Risk Register shall be reviewed:

- a. at least annually by the Council;
- b. during the budget-setting and insurance review process where appropriate; and
- c. sooner if there is a significant incident, claim, project, service change, asset issue, staffing issue, legal change or other material development.

9.2 Operational risk assessments shall be reviewed:

- a. at intervals proportionate to the activity or site;
- b. following accidents, incidents, near misses or complaints;
- c. after significant change; and
- d. before higher-risk activities or projects commence.

9.3 The annual review of risk management should inform the Council's consideration of internal control and AGAR governance assertions.

10. Related Documents

10.1 This Policy should be read alongside the Council's:

- Financial Regulations
- Health and Safety Policy
- Scheme of Delegation
- Asset Register
- Insurance Schedule
- Business Continuity arrangements
- Data Protection documentation
- Employment policies
- Volunteer and contractor procedures
- Site and activity risk assessments