



RISK ASSESSMENT SCHEDULE

Definition of Risk Management

Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements.

Audit Commission – Worth the Risk: Improving Risk Management in Local Government (2001:5)

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 Council is aware that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic and focused approach to managing risk, which:

- Identifies the subject
- Identifies what the risk may be
- Identifies the level of risk
- Evaluates the management and control of the risk and records findings
- Reviews, assesses and revises procedures if required.

Management				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Business Continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	L	All files and recent records are kept at the Clerk's residence. The Chairman also holds copies of files	Review when necessary Ensure procedures below are undertaken
Meeting location	Adequacy Health and Safety	L	Meetings are held in Parish Room. The Clerk holds a key to Parish Room and in the event of her being indisposed the Chairman also holds a key The premises and facilities are considered to be satisfactory from a health and safety, accessibility and comfort aspect. for the Clerk, Councillors and any Public who attend A First Aid Assessment was adopted in February 2014	Existing procedure adequate

Council Records	Loss through theft, fire, damage	L	Papers, both current and archived will be held in the Clerk's residence.	Damage or theft are unlikely and so provision is adequate.
-----------------	----------------------------------	---	--	--

Council Records electronic	Loss through damage.	M	The Parish Council's electronic records are stored on the Clerk's computer. The Chairman also holds electronic copies and agendas, minutes and accounts are held by the website hosting service	
----------------------------	----------------------	---	---	--

Finance

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept. Each Parish Council Committee monitors their budget information and detailed budgets are prepared in the late autumn. The precept is considered by the Council in November prior to making a application in January.	Existing procedure adequate
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L L	An annual review is undertaken of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement	Existing procedure adequate Review provision and compliance annually
Banking	Inadequate checks	L	The Council has Financial Regulations which set out the requirements for banking, cheques and internal audit	Existing procedures adequate Review Financial Regulations as necessary
Cash	Loss through theft or dishonesty	L	Monthly reconciliation prepared by the Clerk and presented to the Parish Council. Two signatories on cheques Internal and external audit undertaken. Any financial obligation must be resolved and clearly minuted before any commitment	Existing procedures Adequate
Freedom of Information Act	Policy Provision	L-M	. A minimum fee of £10 will be charged for such requests, this may be increased with the agreement of the Council if, in the opinion of the Clerk, a substantial amount of work is required.	Monitor and report any impacts made under the Freedom of Information Act

Clerk	Loss of clerk	M	The requirements of Fidelity Guarantee insurance must be adhered to. Internal procedures in place. Clerk should be provided with relevant training, reference books, access to assistance and legal advice.	No plan in place for loss of clerk Monitor working Conditions Existing procedures Adequate
	Fraud	L		
	Actions undertaken	L		
	Salary paid incorrectly	L		

Finance				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Election Costs	Risk of election cost	M	Risk in an election year. There are no measures, which can be adopted to minimise risk of having a contested election. A contingency fund is established to meet the costs.	Existing procedures Adequate
	Risk of election to fill a casual vacancy	M	Cost of the election would be met from general reserves	Consideration of increase in budget to allow contingency
VAT	Re-claiming/charging	L	The Council has financial regulations which set out the requirements. VAT recovered annually.	Existing procedures Adequate
Annual return	Not submitted within time limits	L	Annual return is completed and signed by the Council, submitted to the Internal Auditor for completion and signing, then checked and sent on to the External Auditor within time limit. Clerk prepares a timetable for submission	Existing procedures Adequate

Assets				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Street furniture	Damage bins, notice boards and benches etc.	L	An asset register is kept up to date and insurance is held at the appropriate level for all items. Regular checks are made on all equipment by members of the Parish Council	Existing procedures adequate
Other Assets	Play equipment		A weekly inspection is carried out by councillors and the Community Area is inspected annually by RoSPA	

LIABILITY				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Legal Powers	Illegal activity or payments	L	All activity and payments made within the powers of the Parish Council (not ultra vires) and to be resolved and clearly minuted.	Existing procedures Adequate
	Working Parties taking decisions	L	Ensure clear terms of reference are in place. Financial Regulations in place.	
Minutes/ Agendas/ Statutory documents	Accuracy and legality Non compliance with statutory requirements	L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements Minutes are approved and signed at next meeting unless there is a resolution made to defer approval until the following meeting. Minutes and agendas are displayed according to legal requirements Business conducted at Council meetings should be managed by the Chairman according to Standing Orders	Existing procedures adequate Undertake adequate training Members to adhere to Code of Conduct and Standing Orders

LIABILITY				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Public Liability	Risk to third party, property or individuals	L	Insurance is in place. Risk assessment of any individual event undertaken The Parish Room insurance is the responsibility of the Parish Room Committee	Existing procedures Adequate

Employer Liability	Non compliance with employment law	L	Undertake ongoing training to ensure Personnel Committee are aware of current legislation. Seek advice from SALC where appropriate. Employer's Liability insurance in place	Existing procedures Adequate
Legal Liability	Legality of activities	L	Clerk to clarify legal position on proposals and to seek advice if necessary	Existing procedures Adequate
	Proper and timely reporting via Minutes	L	Council always receives and approves minutes at meetings. Where possible minutes are circulated shortly after the meeting.	Existing procedures Adequate
	Proper document control	L	No retention of document policy in place	

COUNCILLORS PROPRIETY

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Members Interests	Conflict of interest	M	Councillors have a duty to declare any interest at the start of the meeting or when a conflict becomes apparent during a meeting	Existing procedures adequate
	Register of Members Interests	L	Register of Members Interests form to be reviewed at least on an annual basis	Members to take responsibility to update their register Members should be advised of this requirement

COUNCIL REPUTATION

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Councillor and staff	Bringing the Council into disrepute	M	Councillors understand and receive training on the Code of Conduct. A professional approach is undertaken on all Parish Council matters. E-mail Protocol Policy in place.	Not all Councillors have received training Members to identify any training needs

General Data Protection Regulation

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
---------	--------------------	-------	----------------------------	----------------------

GDPR	Data Breach	M	Data is managed effectively by the clerk following NALC retention of documents	Existing procedures Adequate
------	-------------	---	--	------------------------------

RELEVANT DOCUMENTATION	
<ul style="list-style-type: none"> • Standing Orders • Financial Regulations • Code of Conduct • Disability Discrimination Act 1995 • Disability and Equality Act 2010 • Employments Rights Act 1996 	<ul style="list-style-type: none"> • Local Government Act 1972 • Local Government Act 2000 • Audit Commission Act 1998 • Local Government & Rating Act 1997 • Local Government Act 2003 • Accounts & Audit Regulations 2003 • Localism Act 2011

RISK ASSESSMENT PHILOSOPHY

RISK ASSESSMENT

1. PURPOSE

To provide guidance to The Council to enable them to control risks associated with their activities.

2. SCOPE

This Procedure applies to all notified risks of Little Glemham Parish Council.

3. DEFINITIONS

- a. Risk – A risk is the likelihood that the potential for harm or loss posed by a hazard will materialise.
- b. Hazard – A hazard is a condition in the parish, equipment, article, substance, machine, installation or situation that has the potential to cause harm or loss or both.
- c. Control Measures - Precautionary measures that reduce or eliminate the risk.
- d. Competent Person - A person who, by reason of their training, knowledge and experience, is considered capable of adequately assessing the health and safety risks associated with the operation being carried out.
- e. Residual Risk - The risk that remains after all the identified control measures have been put into place.

4. METHOD

The Parish Council should follow the general principles of prevention

- 4.1** If possible avoid risk altogether;
- 4.2** Evaluate the risks which cannot be avoided;
- 4.3** Combat risks at source;
- 4.4** Take advantage of technological and technical progress for improving working methods and making them safer;
- 4.5** Replacing the dangerous by the non-dangerous or the less dangerous;
- 4.6** Give appropriate instruction to councillors and contractors.

Councillor Interests at Meetings

