

ASHEDLHAM & DENGIE PARISH COUNCIL – RISK ASSESSMENT

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.

RISK ASSESSMENT PHILOSOPHY

- 1. PURPOSE** – To provide guidance to the Council to enable them to control risks associate with their activities.
- 2. SCOPE:** - This Procedure applies to all notified risks of Asheldham & Dengie Parish Council.
- 3. DEFINITIONS:**
 - a) **Risk** – A risk is the likelihood that the potential for harm and loss posed by a hazard has materialised;
 - 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 Evaluation the risks which cannot be avoided;
 - 4.3 Combats 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.

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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	Records are archived at the Essex Records Office. Recent documents are kept in the Parish Office where the current clerk resides, computer documents are backed up onto a USB & cloud.	Review when necessary and ensure that all procedures are undertaken and are working.
Meeting location	Adequacy Health & safety.	<u>L</u>	Parish Council meetings take place in The Dengie Village Hall, Manor Road, Dengie. The premises and facilities are considered to be satisfactory from a health and safety, accessibility and comfort aspect, for the Councillors, Clerk and members of the public who attend. A Health and Safety notice for the premises is provided by Dengie Village Hall Committee	Existing procedure adequate.
Parish Council Office	Adequacy, Health & Safety	<u>L</u>	The office is located on the first floor of the Clerk's home and all equipment is connected through a power protected surge unit. All important documents are protected as under Business continuity.	Existing procedure adequate.
Council Records	Loss through theft, fire, damage	<u>L</u>	Current papers are stored on the designated laptop and on a USB and cloud. Hard copies of accounts and minutes are stored in files on book shelf at Parish office within Clerk's home. Older documents are archived at Essex Records Office. All important documents are protected as under Business continuity.	Damage or theft is unlikely so provision adequate as three layers of security.
FINANCE				
Precept	Adequacy of Precept	<u>M</u>	Sound budgeting to underlie annual precept. The Parish Council monitor their budget information and a detailed budget is prepared for the October meeting. The precept is considered by the Council and if no changes required council members to move to resolve to	Existing procedure adequate.

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			agree, however, any changes to be presented at the November meeting and finalised then in readiness for the recommendation to Maldon District Council prior to January deadline.	
Insurance	Adequacy Cost Compliance Fidelity Guarantee	<u>L</u> <u>L</u> <u>L</u> <u>L</u>	An Annual review is undertaken All insurance arrangements in place Employers Liability, Public Liability and Fidelity Guarantee are statutory requirements and in place.	Existing procedure adequate Review provision and compliance annually.
Banking	Inadequate Checks	<u>L</u>	The Council operates according to the appropriate Financial Regulations which set out the requirements for banking, cheques and internal audit.	Existing procedures adequate. Review Financial Regulations as and when changes occur.
Financial Records	Loss through theft or dishonesty	<u>L</u>	Monthly reconciliation prepared by RFO and checked by the appointed member if there is one, otherwise by any one of the members for verification purposes. Internal and External Audit undertaken All payments are detailed in the Financial Reports presented to the Council. The Clerk has delegated authority to pay invoices up to £500 prior to meeting approval. The Chairman countersigns all invoices for payment, if possible prior to online payment, otherwise at the next meeting. No petty cash is held.	Existing procedures adequate Review Financial Regulations as and when changes occur.
Clerk	Loss of Clerk Fraud Actions undertaken	 <u>L</u> <u>L</u>	In the event of the Clerk resigning, adverts immediately set up, contact EALC to circulate, agree with Clerk to continue until such time a new Clerk can be appointed, if not possible contact EALC to provide a temporary replacement. The requirements of Fidelity Guarantee Insurance must be adhered to. Internal procedures in place. Clerk should be provided with relevant training,	Membership of NALC/EALC and SLCC maintained. Monitor work conditions. Existing procedures adequate. Adequate Insurance in place.

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	Salary Paid incorrectly	<u>L</u>	reference books, access to assistance and legal advice. Timesheets kept. Payroll is done via HMRC Basic Tools.	Adequate payroll system in place providing all end of year documentation therefore providing an audit trail.
Payroll	Breach of employment laws including NI & Tax	<u>L</u>	Procedures in place. Members NALC & EALC who provide updates for review by the Council or Personnel Committee. Payroll is done via HMRC Basic Tools	Annual audit carried out by designated Internal Auditing Company – currently Auditing Solutions. Reviewed each year.
Election Costs	Risk of Election	<u>M</u>	Risk in an election year. There are no measures which can be adopted to minimise risk of having a contested election.	Existing procedures adequate.
	Risks of Election to fill a casual vacancy	<u>M</u>	Costs are met by reserve set up of £250.00 per year, if funds not used after four years, put back into general fund and process started again. Cost of election would be met by above reserve, otherwise from general reserves.	Existing procedures adequate.
VAT	Reclaiming	<u>L</u>	The Council has Financial Regulations which set out the requirements. VAT recovered annually	Existing Procedures adequate.
Annual Governance & Accountability Return (AGAR)	Not submitted within time limits	<u>L</u>	AGAR is completed and signed by the Council and the Internal Auditor. It is then checked and sent onto the External Auditor within time limit. Any problems with adhering to this deadline, then the Clerk will contact the external auditor and request an extension.	Existing Procedures adequate.
<u>ASSETS</u>				
Street Furniture & Office Equipment	Damaged notice boards, bins, benches etc	<u>L</u>	An asset register is kept up to date and insurance is held at the appropriate levels for all items, including impact damage. Regular checks are made on all assets owned by the Parish Council by members and/or Clerk.	Existing procedures adequate.
<u>LIABILITY</u>				
Legal Powers	Illegal activity or payments	<u>L</u>	All activity and payments made within the powers of the Parish Council (not ultra vires) and	Existing procedures adequate.

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	Working parties taking decisions	<u>L</u>	to be resolved and clearly minuted. For any sub-committee/working parties, ensure Clerk “Terms of Reference” are in place. Financial Regulations are in place.	
Minutes/Agenda/ Statutory documents	Accuracy & Legality. Non-compliance with statutory requirements	<u>L</u>	Minutes and agendas are produced in the prescribed methods and adhere to the legal requirements Minutes are approved and signed at the next meeting unless there is a resolution made to defer approval until the following meeting. Minutes and agenda are displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair according to Standing Orders.	Existing procedures adequate. Undertake adequate training. Members to adhere to Code of Conduct and Standing Orders – these documents to be reviewed annually.
Public Liability	Risk to third party, property or individuals	<u>L</u>	Insurance is in place. Risk Assessment of any individual event outside of usual business or practices undertaken.	Existing procedures adequate.
Employers Liability	Non-compliance with employment law	<u>L</u>	Undertake ongoing training to ensure Council or Personnel Committee is aware of current legislation. Seek advice from the Council’s Insurance company where required. Employer’s Liability Insurance is in place	Existing Procedures adequate.
Employee Liability	Causing Injury/damage to employee property	<u>L</u>	Insurance cover in place.	
Councillor Liability	Causing injury (damage to councillors)	<u>L</u>	Insurance cover in place	
Legal Liability	Legality of activities	<u>L</u>	Clerk to clarify legal position on proposals and to seek advice where necessary	Existing procedures adequate.
	Proper and timely reporting via minutes	<u>L</u>	Council always receives and approves the minutes at the next meeting. Minutes are produced and circulated as soon after the	

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	Proper document control	<u>L</u>	meeting as possible. Retention of document policy in place	
Freedom of Information and Data Protection	Policy Provision	<u>L-M</u>	The Council has the following documents in place:- <ul style="list-style-type: none"> ➤ a model publication scheme ➤ Privacy Data Notices ➤ Privacy Policy ➤ Data Protection Policy (GDPR) ➤ Document Retentions Policy. 	Monitor and report any impacts made under the FOI and data protection. Regular policy reviews.

<u>COUNCILLORS PROPRIETY</u>				
<u>Subject</u>	<u>Risk(s) Identified</u>	<u>H/M/L/</u>	<u>Management/Control of Risk</u>	<u>Review/Assess/Revise</u>
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. i.e. when the agenda items causing the conflict is begun.	It is up to each individual member to take responsibility for declaring a pecuniary or non-pecuniary interest – Existing notification of this has been circulated.
	Register of Members Interests	L	Register of Members Interests form to be updated within 28 days of any changes and notified to District and Parish Councils so can be placed on the website for total transparency.	As above but as a reminder for members, Declarations of interest is still left on the Agenda, although it does not have to be.

<u>COUNCILLORS REPUTATION</u>				
<u>Subject</u>	<u>Risk(s) Identified</u>	<u>H/M/L/</u>	<u>Management/Control of Risk</u>	<u>Review/Assess/Revise</u>
Councillors & Staff	Bring the Council into disrepute	M	Councillors are given a copy of the Code of Conduct and asked to sign and date as their acceptance and understanding of this important policy.	Code of Conduct to be reviewed annually and minuted as such, if changes to the Code of Conduct, members must review, agree and sign a new copy.
			A professional approach is undertaken on all Parish Council matters.	Members to identify any training needs in order to keep up with the changing legislation.

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<u>RELEVANT DOCUMENTATION</u>	
<ul style="list-style-type: none">➤ Standing Order➤ Financial Regulations➤ Code of Conduct➤ Disability Discrimination Act 1995➤ Disability and Equality Act 2010➤ Employments Rights Act 1996➤ Data Protection Act 2018	<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➤ Local Audit & Accountability Act 2014➤ Localism Act 2011

Financial and Management Risk Assessment was AGREED at the meeting on the 8th June 2020 by all members present.

Signed.....

Chairman