

Little Burstead Parish Council

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 Circumstances	L	All files and recent records are kept at the Parish Clerk’s home office. The Council have a secure online back-up system that backs-up files as they are created or changed. In the event of the Clerk’s death or resignation, all records in the first instance will be passed to the Chair.	Review when necessary Ensure procedures below are undertaken
Meeting location	Adequacy Health and Safety	L H	Meetings held in the Little Burstead Village Hall. Key access is via a Digi-lock key safe outside the Village Hall. All the premises and facilities are satisfactory from a health and safety, accessibility and comfort aspect for the Parish Clerk, Councillors and any Public who attend. The should be an announcement at the start of every meeting indicating where the fire exits are. Clerk will keep abreast of latest regulations regarding Covid and will ensure meetings comply with guidelines in place at the time.	Procedures adequate for the purpose intended.

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess /Revise
Council Records	Loss through theft, fire, damage	L	Papers, both current and archived are held in the Parish Clerks' home office. The property has smoke alarms.	Council should consider purchase of a fireproof box to store the harddrive backup. Historical records are largely available online. So pose less risk.
Council Records electronic	Loss through damage. General Data Protection regulations	M L	The Parish Council's electronic records are stored on the Parish Council's computer. The Council has a secure online backup system that backs up files as they are created or changed. An external hard drive also backs up all Parish Council files as an added precaution. The Parish Council does not hold any sensitive personal data so has very little exposure under the regulations.	Procedures in place to minimise loss of data. On the auditors advice the parish council will register with the ICO.

FINANCE

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess /Revise
Precept	Adequacy of precept	M	Sound budgeting to underline annual Precept. The Parish Council member's monitor the budget information and detailed budgets are prepared in the late autumn. The precept is considered by committee in November and ratified on or before the January meeting in the following year.	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 of £150K are a statutory requirement.	Existing procedure adequate. Review provision and compliance annually

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess /Revise
Banking	Inadequate checks	L	The Council has Financial Regulations which set out the requirements for banking cheques and internal audit	Existing procedures adequate. Review should be undertaken annually .
Cash	Loss through theft or dishonesty	L	<p>Bimonthly reconciliation prepared by the Clerk and presented to the Parish Council. Two signatories on cheques and online authorisation</p> <p>Internal audit undertaken a qualified accountant at end of year</p> <p>Any financial obligation in terms of expenditure over £100 must be resolved and clearly minute before any commitment unless in exceptional circumstances in consultation with the Chair. Two signatories initial cheque stubs and expenditure sheet as appropriate. All payments detailed in financial reports presented to Councillors at bi-monthly Parish Council Meetings.</p>	Existing procedures adequate

FINANCE				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess /Revise
Clerk	Loss of Clerk	M	In the event of the Clerk resigning. Contractual arrangements are in place for notice period. Measures are in place regarding recruitment.	Membership of EALC/NALC/SLCC
	Fraud	L	The requirements of Fidelity Guarantee insurance must be adhered to.	Internal procedures in place.
		L	Clerk should be provided with relevant training, reference books, access to assistance and legal advice	Monitor working conditions
	Actions undertaken	L	HMRC payroll on-line data base is used to complete monthly salary payments for the Clerk and two signatories are required for cheque or on-line payments prepared by the Clerk /RFO.	Existing procedures adequate

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Election Costs	Risk of election cost	M	In an election year there are no measures, which can be adopted to minimise the risk of holding a contested election. Cost of the election met from general reserves.	Existing procedures adequate
	Risk of election to fill a casual vacancy	M	A contingency fund is established to meet the costs.	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 completed and signed by the Council, submitted to the Chair for signing, then checked and sent on to the External Auditor within time limit. Clerk prepares a timetable for submission. The Annual Return and Notice for Electors are published on the Parish Council website as per requirement of the Smaller Authorities, Accounts and Audit Regulations 2015 & the Local Audit (Smaller Authorities) Regulations 2015	Existing procedures Adequate Monitor
Assets	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.	Existing procedures adequate
			Regular checks are made on all equipment by Members of the Parish Council	Monitor

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) to be resolved and clearly minute at meetings.	Existing procedures Adequate
	Working Parties taking decisions	L	Ensure clear Terms of Reference and Financial Regulations are in place.	Financial Regulations amended/approved annually.
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise

Minutes/ Agendas/ Statutory documents	Accuracy and legality Non - compliance with statutory requirement	L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements Minutes are approved and signed, by the Chair, at the next Parish Council 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 managed by the Chair according to Standing Orders	Existing procedures adequate Undertake adequate training Members adhere to the Code of Conduct and Standing Orders
Public Liability	Risk to third party, property or individuals	L	Insurance is in place. Risk Assessment undertaken for Parish Council events.	Existing procedures adequate
Employer Liability	Noncompliance with employment law	L	Covered by contract and legal advice sought from EALC/NALC/ACAS/LCPAS where appropriate. Councillors and employees are made aware of current legislation. Employer's Liability insurance in place.	Existing procedures in place and ongoing training where required.
Legal Liability	Legality of activities Proper and timely reporting via Minutes Document control	L L L	Clerk to clarify legal position on proposals and to seek advice, where necessary. Council always receives and approves minutes at meetings. Where possible minutes are circulated shortly after the meeting. Retention of document policy in place.	Existing procedures adequate Existing procedures adequate Existing - procedures adequate

COUNCILLORS' PROPRIETY

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/ Revise
Members Interests	Conflict of interest Register of Members Interests	M L	Councillors have a duty to declare any interest at the start of the meeting or when a conflict becomes apparent during a meeting. Register of Members Interests form to be reviewed at least on an annual basis.	

		L	Register of Interest published on the Parish Council website.	Existing procedures adequate Members to take responsibility to update their register. Parish Clerk responsible for updating website information when changes occur.
Councillors and staff	Bringing the Council into disrepute	M	Councillors to understand and receive training on the Code of Conduct. A professional approach is undertaken on all Parish Council matters.	Councillors to identify any training needs annually

RELEVANT DOCUMENTATION	
<ul style="list-style-type: none"> • Standing Orders • Financial Regulations • 2020 Model Code of Conduct • Equality Act 2010 • Employments Rights Act 1996 • Coronavirus Act 2020 	<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 2015 • 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 Burstead 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.