

# Tendring Parish Council

## RISK ASSESSMENT SCHEDULE

### Definition of Risk Management

Risk is the threat that an event or action will adversely affect an organization'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 minimize 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.

<b>Management</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
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 parish office. The Council have a secure online backup system that backs up files as they are created or changed.  An Operational Plan is in place.	Review when necessary Ensure procedures below are undertaken
Meeting location	Adequacy Health and Safety	L	Meetings are held in the Village Hall. The Parish Council Clerk holds a key to the Village Hall and in the event of her being indisposed the Village Hall Booking Clerk or another member of the Village Hall Committee would hold a key.  All the premises and facilities are satisfactory from a health and safety, accessibility and comfort aspect. for the Clerk, Councillors and any Members of the Public who attend. First Aid is dealt with via the Village Hall Committee.	Existing procedure adequate

Council Records	Loss through theft, fire, damage	L	Papers, both current and archived will be held in the parish office (Clerks home). A fireproof box has been purchased for important historical records). Keys to the Parish Office are held by the Clerk.	Damage or theft is unlikely so provision adequate.
Council Records electronic	Loss through damage.	L	The Parish Council's electronic records are stored on the Parish Council computer. The Council have a secure online backup system that backs up files as they are created or changed.	Provision is adequate.
GDPR	Personal Information	L	The Parish Council does have some personal information, but it is also in the public domain. The Parish Council is also registered with the ICO.	Provision is adequate.
<b>Finance</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept. The Parish Council monitors their budget information and detailed budgets are prepared in the late autumn and reviewed throughout the year. The precept is considered by the Council once the budget has been agreed and reviewed for submission in November.	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, and internal audit.	Existing procedures adequate Review Financial Regulations as necessary
Cash	Loss through theft or dishonesty	L	Monthly reconciliation prepared by RFO and checked by the entire Council as part of the agenda.  Internal and external audit undertaken.  Any financial obligation must be resolved and clearly minuted before any commitment. All payments must be detailed in the monthly agenda and presented to Full Council.  One councillor and the RFO initial invoices for payment whilst a second councillor checks all the invoices against the bank statement in the following month.	Existing procedures Adequate

			The Council use LGA s137.	
Freedom of Information Act	Policy Provision	L	Requests are handled when they are received as they are very infrequent (2 or 3 per year)	Monitor and report any impacts made under the Freedom of Information Act
Clerk	Loss of clerk Fraud  Actions undertaken  Salary paid incorrectly	H  L  L  L	In the event of the Clerk resigning, there is no Administration Assistant. 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. Timesheets kept. Salary on Agenda each month before payment and checked monthly with accounts.	Monitor working Conditions  Existing procedures Adequate

<b>Finance</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
Election Costs	Risk of election cost  Risk of election to fill a casual vacancy	M  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.  Cost of the election would be met from general reserves	Existing procedures Adequate  Consideration of increase in budget to allow contingency - earmarked reserve fund implemented in the budget for 2023-2024
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

<b>Assets</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
Street furniture	Damage to 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

<b>LIABILITY</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
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

<b>LIABILITY</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
Public Liability	Risk to third party, property or individuals	L	Insurance is in place. Risk assessment of any individual event undertaken eg Christmas lights, winter maintenance, summer event	Existing procedures Adequate
Employer Liability	Non compliance with employment law	L	Undertake ongoing training. Seek advice from EALC/NALC/LCPAS 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	Retention of document policy in place	Existing procedures Adequate

<b>COUNCILLORS PROPRIETY</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
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

<b>COUNCIL REPUTATION</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
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. The Code of Conduct is distributed to Councillors and re-adopted annually.	Councillors have been offered training.

<b>RELEVANT DOCUMENTATION</b>	
<ul style="list-style-type: none"><li>• Standing Orders</li><li>• Financial Regulations</li><li>• 2014 Model Code of Conduct</li><li>• Disability Discrimination Act 1995</li><li>• Disability and Equality Act 2010</li><li>• Employments Rights Act 1996</li><li>• General Data Protection Regulations 2018</li></ul>	<ul style="list-style-type: none"><li>• Local Government Act 1972</li><li>• Local Government Act 2000</li><li>• Audit Commission Act 1998</li><li>• Local Government &amp; Rating Act 1997</li><li>• Local Government Act 2003</li><li>• Accounts &amp; Audit Regulations 2003</li><li>• Localism Act 2011</li></ul>






Reviewed April 2023

Next review March 2024

# **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 Tendring 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.