

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 (both paper and electronic) are kept at the Clerk's home. In the event of the Clerk being indisposed a temporary Clerk will be appointed to provide administrative support. The Clerk uses her home as office.	Review when necessary. Ensure procedures below are undertaken. Ensure the Parish Office provides facilities which accord with Health & Safety requirements.
Meeting location	Adequacy Health and Safety		Meetings are held in the Village Hall, Crawley End, Chrishall. The security code access number is available from the Village Hall Committee. The Clerk has a security fob to the Village Hall. The premises considered to be satisfactory from a health and safety, accessibility and comfort aspect for the Clerk, Councillors and any Public who attend.	Existing procedure adequate. Annual risk assessment.

Council Records	Loss through theft, fire, damage		Papers, both current and archived currently held in a locked cabinet the Clerk's home. The Clerk does not have a security alarm on the property.	Damage or theft is unlikely and so current provision adequate.
Council Records electronic	Loss through damage.		The Parish Council's electronic records are stored on the Standon Parish Council computer. The Clerk will back up to an external hard drive on a regular basis and at least monthly.	Regular review.

FINANCE

Subject Risk(s)	Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Precept	Adequacy of precept		Sound budgeting to underlie annual precept. The Finance Councillors will examine the budget and proposed precept developed by the Clerk/RFO and each Parish Councillor will scrutinise detailed budget information prepared in the late autumn. The precept is considered at the full PC meeting in November prior to making a final recommendation to full Council in January	Existing procedure Adequate
Insurance	Adequacy Cost Compliance Fidelity Guarantee		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.
Litigation	Minimum cost of defence at judicial review identified as £25,000 with no upper limit in 2019.		Financial Regulations, Standing Orders, Code of Conduct and other governing documents must be adhered to and fully understood by all Councillors and the Clerk	Current potential litigation risk identified. Reasons not disclosed. Increase precept to cover costs as it is not known what the complaint is.

				Insurance cover restricted to £15,000 subject to insurance company agreement
Banking	Inadequate checks		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		Monthly accounts, year to date and reconciliation prepared by Clerk/RFO and checked by the appointed member for verification purposes. Two signatures on cheques. Internal and external audit undertaken. All payments must be detailed in the Financial Reports presented to the Council. The signatory Members check and counter-sign all invoices for payment. No petty cash is kept.	Existing procedures Adequate. Annual review of Financial Regulations.
Clerk	Loss of Clerk Fraud Actions undertaken Salary paid incorrectly		In the event of the Clerk resigning, the Council will employ a temporary Clerk who could cover interim. 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. Payroll is outsourced to a professional company for transparency purposes.	Membership of SLCC paid privately by the Clerk. Council subscribes to EALC and NALC Monitor working Conditions. Existing procedures adequate
Payroll	Breach of employment laws including NI and tax		Procedures in place. Members of NALC & EALC who provide updates for review by the Personnel Committee. Payroll is outsourced to a payroll company for transparency purposes	Annual Audit carried out by independent Internal Auditor

Election Costs	Risk of election cost Risk of election to fill a casual vacancy		Risk in an election year. There are no measures, which can be adopted to minimise risk of having a contested election. Costs are budget in an election year and are met from General Reserves for a casual vacancy.	Existing procedures Adequate.
VAT	Re-claiming/charging		The Council has financial regulations which set out the requirements. VAT recovered annually	Existing procedures Adequate.
Annual Governance and Accountability Return (AGAR)	Not submitted within time limits		AGAR is completed by the Clerk/RFO and signed by the Council and the Internal Auditor. It is then checked and sent on to the External Auditor within time limit.	Existing procedures adequate

ASSETS

Subject Risk(s)	Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Street furniture and Office equipment	Damaged bins notice boards, bus shelters and benches etc		An electronic asset register is kept up to date and insurance is held at the appropriate level for all items.	Existing procedures adequate.
<u>PC buildings:</u> Brand Pavilion	Damage to buildings, vandalism Slips, trips & falls Cricket ball impact		Insurance cover in place. A schedule of incidents is maintained. Issues are rectified immediately to ensure all facilities are safe for public use. Cricket Club is responsible for erecting safety nets around pavilion including during practice Private Hire: hirers must have own liability insurance.	Existing procedures Adequate Councillors to ensure all insurance and governance documents are compliant
Robert Reed Hall	Failure of flat roof Cladding replacement/repair		Annual accrual of funds to ensure replacement roof achieved in 20 years from 2018. Annual inspection and gutter clearance.	Appoint a qualified surveyor to carry out inspections and provide recommendations and reports with a time

Village Hall: South Hall & Chapel Hall	Management Committee runs the building on a charity basis: loss of funds/ closure of committee/ damage to building/ public liability		All facilities to receive routine professional inspection and planned maintenance programme Ensure Management Committee has correct insurance in place including public liability; working agreement to be kept updated between Pc and VHC	table of scheduled works.
Methodist Burial Ground	Damage to grave stones, subsidence, uneven access for public and grounds maintenance		Insurance in place Pressure testing of grave stones to be carried out as recommended	Pressure testing to be carried out.
Village Hall car park	Slips trips & falls: pedestrians Vehicle/vehicle collision Vehicle/pedestrian Collision Vehicle/building Collision. Vehicle/ fencing Collision		Insurance cover in place. A schedule of incidents is maintained. Problems are rectified immediately to ensure all facilities are safe for public use.	Liaise with VHC to ensure surface fit for purpose
Jigneys Meadow Play area	Slips, trips & falls Cricket ball impact with buildings / pedestrians/ audience/ public footpath access Falls from equipment/ equipment failure/ Entrapment/ misuse of equipment or area		Insurance cover in place. A schedule of incidents is maintained in electronic form. Problems are rectified immediately to ensure all facilities are safe for public use. Weekly inspections will be carried out by a competent person who has been trained under the RoSPA scheme if one is available. All repairs to be carried out as soon as practical. Annual safety inspection to be carried out by a suitably qualified Play Inspector.	

LIABILITY

Subject Risk(s)	Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Legal Powers	<p>Illegal activity or payments</p> <p>Working Parties taking decisions</p>		<p>All activity and payments made within the powers of the Parish Council (not ultra vires) and to be resolved and clearly minuted</p> <p>Ensure clear terms of reference are in place.</p> <p>Financial Regulations in place.</p>	Existing procedures Adequate
Minutes/ Agendas/ Statutory documents	Accuracy and legality Non-compliance with statutory requirements		<p>Minutes and agendas are produced in the prescribed method and adhere to legal requirements.</p> <p>Minutes are approved and signed at next meeting unless there is a resolution made to defer approval until the following meeting.</p> <p>Minutes and agendas are displayed according to legal requirements.</p> <p>Business conducted at Council meetings should be managed by the Chairman according to Standing Orders</p>	<p>Existing procedures Adequate.</p> <p>Undertake adequate training.</p> <p>Members to adhere to Code of Conduct and Standing Orders.</p>
Public Liability	Risk to third party, property or individuals		Insurance is in place. Risk assessment of any individual event undertaken	Existing procedures Adequate
Employer Liability	Non-compliance with employment law		<p>Undertake ongoing training to ensure Personnel Committee are aware of current legislation.</p> <p>Seek advice from the Council's insurance company where required.</p> <p>Employer's Liability insurance in place.</p>	Existing procedures Adequate
Employee Liability	Causing injury (damage) to employee property		Insurance cover in place	

Councillor Liability	Causing injury (damage to Councillors)		Insurance cover in place	
Legal Liability	<p>Legality of activities</p> <p>Proper and timely reporting via Minutes</p> <p>Proper document control</p>		<p>Clerk to clarify legal position on proposals and to seek advice if necessary.</p> <p>Council always receives and approves minutes at meetings. Where possible minutes are circulated shortly after the meeting.</p> <p>Retention of document policy in place</p>	<p>Existing procedures Adequate.</p> <p>Existing procedures adequate.</p> <p>Existing procedures Adequate.</p>
Freedom of Information and Data Protection	Policy Provision		<p>The Council has the following documents in place:</p> <ul style="list-style-type: none"> • a model publication scheme • Privacy Data Notices • Privacy Policy • Data Protection Policy • Document Retentions Policy 	<p>Monitor and report any impacts made under the freedom of information and data protection.</p> <p>Regular policy reviews.</p>

COUNCILLORS PROPRIETY

Subject Risk(s)	Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Councillor and staff	<p>Bringing the Council into Disrepute</p> <p>Decisions not compliant with governing documents or made ultra vires</p>		<p>All Members must ensure that they understand the Code of Conduct.</p> <p>A professional approach must be undertaken on all Parish Council matters.</p> <p>All Members may be personally financially liable for any failure of the Parish Council to remain compliant with governing documents.</p> <p>All decisions must be compliant with Code of Conduct, FR & SO</p>	<p>Not all Councillors have received training. Members are invited to identify any training needs</p> <p>All documents supporting decisions must be made available to the Council for a lawful decision to be taken at all times</p>



				Members must be pro-active and publicly identify breaches.

RELEVANT DOCUMENTS

<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 • Data Protection Act 2018 <ul style="list-style-type: none"> • GDPR 	<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 and Accountability Act 2014 • 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 Chrishall 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.

Date effective from: 2nd April 2019

Date of review: April 2020