

RISK ASSESSMENT SCHEDULE to include Little London Playing Field and Events Committee

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 Parish 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 Parish Office. The Council have a secure online backup system that backs up files as they are created or changed. In the event of the Clerk being indisposed the Chairman will provide administrative support.	Review when necessary. Ensure procedures below are undertaken.
Meeting location	Adequacy Health and Safety	L	Meetings are held at various venues within the Parish. All 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.	Existing procedure adequate.

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Council Records	Loss through theft, fire, damage	L	Papers, both current and archived will be held in the Parish Office. Keys to the Parish Office are held by the Clerk.	Damage or theft is unlikely and so provision adequate.
Council Records electronic	Loss through damage.	M	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 on a daily basis.	Regular review.

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. The Parish Council monitors their budget budget information and detailed budgets are prepared in the late autumn. The precept is considered by the Parish Council in November, prior to resolving in January and a precept requirement being sent to Test Valley Borough Council.	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 RFO and checked by the appointed member for verification purposes. Two signatories on cheques. Internal and external audit undertaken. All payments must be detailed in the Financial Reports presented to the Council. The Chairman countersigns all invoices for payment prior to online authorisation.	Existing procedures Adequate. Annual review of Financial Regulations.

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Clerk	Loss of Clerk	M	In the event of the Clerk resigning, the Council will consult the SLCC who could cover interim.	Membership of SLCC maintained. Monitor working Conditions. Existing procedures adequate.
	Fraud	L		
	Actions undertaken	L	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.	
	Salary paid incorrectly	L	Salaries are checked every month by members.	
Payroll	Breach of employment laws including NI and tax	L	Procedures in place. Members of NALC & SLCC who provide updates for review company.	Annual Audit carried out by Internal Auditor.
Safe	Loss of contents	L	Not Applicable.	Existing procedures adequate.
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. Costs are met from General Reserves.	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 quarterly.	Existing procedures Adequate.
Annual Governance and Accountability Return (AGAR)	Not submitted within time limits	L	AGAR is completed and signed by the Council and the Internal Auditor. It is 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 and Office equipment	Damage to a notice board, defibrillator and a memorial bench	L	An asset register is not kept as these have all been written off as normal expenditure in the year that they were purchased and not treated as capital items. Therefore, there is nothing on the FA register.	Existing procedures adequate.

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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.
Public Liability	Risk to third party, property or individuals	L	Insurance is in place. Risk assessment of any individual event undertaken e.g. Enham Fun Day.	Existing procedures Adequate.
Employer Liability	Non-compliance with employment law	L	Undertake ongoing training to ensure Parish Council is aware of current legislation. Seek advice from the Council's insurance company where required. Employer's Liability insurance in place.	Existing procedures Adequate.
Employee Liability	Causing injury (damage) to employee property	L	Insurance cover in place.	
Councillor Liability	Causing injury (damage to Councillors)	L	Insurance cover in place.	
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.

Freedom of Information and Data Protection	Policy Provision	L-M	The Parish Council has the following documents in place: • a model publication scheme • Privacy Data Notices • Privacy Policy • Data Protection Policy • Document Retention Policy	Monitor and report any impacts made under the freedom of information and data protection. Regular policy reviews.
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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.

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.	Councillors received training in June 2022. Members to identify any training needs.

RELEVANT DOCUMENTATION	
• Standing Orders • Financial Regulations • Code of Conduct • Disability Discrimination Act 1995 • Disability and Equality Act 2010 • Employments Rights Act 1996 • Data Protection Act 2018 • Section 9 Local Audit (Smaller Authorities) Regulations 2015 • Regulation 15 (2), Accounts and Audit Regulations 2015 • Local Transparency Code 2015	• 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

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RISK ASSESSMENT PHILOSOPHY

RISK ASSESSMENT

1. PURPOSE

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

SCOPE

This Procedure applies to all notified risks of Smannell Parish Council.

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.

METHOD

The Parish Council should follow the general principles of prevention

- 1.1 If possible avoid risk altogether;
- 1.2 Evaluate the risks which cannot be avoided;
- 1.3 Combat risks at source;
- 1.4 Take advantage of technological and technical progress for improving working methods and making them safer;
- 1.5 Replacing the dangerous by the non-dangerous or the less dangerous;
- 1.6 Give appropriate instruction to councillors and contractors.

Date effective from:	01/07/23
Date of review:	01/07/23
Next review:	01/07/24