Smannell 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 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 Chair 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 Parish Clerk, Councillors and any Public who attend.**	**Existing procedure adequate.**

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 n 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 Chair 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 Fraud Actions undertaken Salary paid incorrectly	M L L L	In the event of the Clerk resigning, the Council will consult the SLCC 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 (if needed) reference books, access to assistance and legal advice. Salaries are checked every month by members.	 Monitor working Conditions. Existing procedures adequate.
Payroll	Breach of employment laws including NI and tax	L	Required procedures in place. .	Annual Audit carried out by Internal Auditor.
Safe	Loss of contents	L	Not Applicable.	Existing procedures adequate.
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. Costs are met from General Reserves. Cost of the election would be met from general reserves	Existing procedures Adequate. 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 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 and loss.	L	An asset register is kept and updated as is Periodically required,	Existing procedures Adequate coupled with Insurance cover.

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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** **Working Parties**	**L** **L**	**All activity and payments made within the powers of the Parish Council (not ultra vires) and to be resolved and clearly minuted.** **Ensure clear terms of reference are in place.**	**Existing procedures Adequate.**
	taking decisions		**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**	**Existing procedures Adequate.** **Undertake adequate training.** **Members to adhere to** **Code of Conduct and Standing Orders.**
			should be managed by the Chairman according to Standing Orders.	
Public Liability	**Risk to third party,**	**L**	**Insurance is in place. Risk assessment of any individual event undertaken**	**Existing procedures Adequate.**
	property or individuals			
Employer Liability **Employee** **Liability** **Councillor**	**Non-compliance with employment law** **Causing injury** **(damage) to employee property** **Causing injury**	**L** **L** **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.** **Insurance cover in place.** **Insurance cover in place - £10 million public liability insurance in place.**	**Existing procedures Adequate.**
Liability	**(damage to Councillors)**			
Legal Liability	**Legality of activities** **Proper and timely reporting via Minutes**	**L** **L**	**Clerk to clarify legal position on proposals and to seek advice if necessary.** **Council always receives and approves minutes at meetings. Where possible minutes are circulated shortly after the meeting.**	**Existing procedures Adequate.** **Existing procedures adequate.**
	Proper document control	**L**	**Retention of document policy in place**	**Existing procedures Adequate.**

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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 Retentions Policy	Monitor and report any impacts made under the freedom of information and data protection. Regular policy reviews.

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 January 2025. Members to identify any training needs.

RELEVANT DOCUMENTATION	
Standing Orders	Local Government Act 1972
Financial Regulations	Local Government Act 2000
Code of Conduct	Audit Commission Act 1998
Disability Discrimination Act 1995	Local Government & Rating Act 1997
Disability and Equality Act 2010	Local Government Act 2003
Employments Rights Act 1996	Local Audit and Accountability Act 2014
Data Protection Act 2018	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 Enham Alamein 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:	**March 2025**
Date of review:	**3 March 2025**
Next review:	**March 2026**