



Risk Assessment Schedule

	Date	Minute Reference	Amended
Adopted:	Nov 2019	FR15-55	New
Reviewed Annually:	Sept 2020	FR20-80	Yes
	Oct 2021	FR21-143	No
	Nov 2022	FR22-234d	No
	May 2023	FR23-273	Yes
Next Review	May 2024	FC	

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.

Governance and Accountability for Smaller Authorities in England (March 2020).

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 Parish Council has a secure online backup system that backs up files as they are created or changed. In the event of the Clerk being indisposed the Administrative Assistant will provide administrative support. The ability to work off site is provided should the need arise	Annual review- Ensure procedures below are undertaken
Meeting location	Adequacy Health and Safety	L	Meetings are held in the Keene Hall, Watchouse Road. The Clerk holds a key to the Keene Hall and Parish Office and in the event of her being indisposed the Administrative Assistant also holds a key. The Chairman of the Parish Council also holds a third key All the premises and facilities are considered to be satisfactory from a health and safety, accessibility and comfort aspect. for the Clerk, Administrative Assistant, Councillors and any Public who attend	Existing procedure adequate
Parish Council Office			A Health and Safety notice for the premises is provided by the Keene Hall. There is no disabled access to the first-floor office. A doorbell is provided and staff meet residents on the ground floor. A Risk Assessment for the office is in place	Annual review of the Risk Assessment
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, Administrative Assistant and the Chairman	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 Parish Council has a secure online backup system that backs up files on a daily basis	Annual 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. Each Parish Council Committee monitors their budget information and detailed budgets are prepared in the late autumn. The precept is considered by the Finance and Resources Committee in November prior to making a recommendation to Council in January	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 Parish Council has Financial Regulations which set out the requirements for banking, the making of payments and internal audit	Existing procedures Adequate Annual Review of Financial Regulations
Cheques Online payments	Loss through theft or dishonesty	L	Monthly bank reconciliation prepared by the Clerk and checked by the appointed member for verification purposes in accordance with Parish Council written guidelines Internal and external audit undertaken. The Clerk prepares a monthly Schedule of Payments Two signatories authorise all invoices prior to online payment by the Clerk. The schedule of payments is verified by the two signatories after payment All payments must be detailed in the Financial Reports presented to the Finance and Resources Committee. The Clerk has delegated authority to pay invoices up to £500 prior to meeting approval. The Parish Council use LGAs137 as they do not have the General Power of Competence	Existing procedures Adequate Annual review of Financial Regulations Annual review – Clerk currently not CiLCA qualified.
Petty cash	Not Applicable		Petty Cash no longer in use once funds depleted. (FR23-273)	
Clerk	Loss of Clerk	M	In the event of the Clerk resigning, the Council employs an Administrative Assistant who could cover interim or the	Membership of SLCC maintained. Monitor working

	Fraud	L	services of a Locum Clerk would be sought	Conditions
	Actions undertaken	L	The requirements of Fidelity Guarantee insurance must be adhered to. Internal procedures in place	Existing procedures adequate
	Salary paid incorrectly	L	Clerk should be provided with relevant training, reference books, access to assistance and legal advice	
		L	Timesheets kept Payroll is outsourced	
Payroll	Breach of employment laws including NI and tax	L	Procedures in place. Members of NALC & EALC who provide updates for review by the Personnel Committee. Payroll is outsourced to a payroll company	Annual Audit carried out by Internal Auditor
Safe	Loss of contents	L	Shared access to the safe by Keene Hall staff, however, it is housed in a locked office	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.
	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 Parish Council has financial regulations which set out the requirements. VAT recovered annually	Existing procedures Adequate Reviewed annually
Annual Governance and Accountability Return (AGAR)	Not submitted within time limits	L	AGAR is completed and signed by the Parish 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	Damaged bins notice boards, bus shelters 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 Parish Council staff	Existing procedures adequate Asset Register is reviewed annually
Galleywood Public Conveniences	Damage to building, vandalism	L	Insurance cover in place. A schedule of incidents is maintained. Problems are rectified immediately to ensure facility is open to the public. Water testing is carried out as required to mitigate the risk of legionella	Existing procedures adequate. CCTV is in place

				Risk assessment and legionella control processes are in place
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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.	Financial Regulations and Terms of Reference are reviewed annually
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	Existing procedures Adequate
			Minutes are approved and signed at next meeting unless there is a resolution made to defer approval until the following meeting	Undertake adequate training
			Minutes and agendas are displayed according to legal requirements. Business conducted at Parish Council meetings should be managed by the Chairman according to Standing Orders	Members to adhere to Code of Conduct and Standing Orders. Standing Orders are reviewed annually
Public Liability	Risk to third party, property or individuals	L	Insurance is in place. Risk assessment of any individual event undertaken e.g. Senior Citizens Christmas lunch	Existing procedures Adequate Insurance policy is reviewed annually
Employer Liability	Non-compliance with employment law	L	Undertake ongoing training to ensure Personnel Committee is aware of current legislation Seek advice from the Parish Council's insurance company where required	Existing procedures Adequate Insurance policy is reviewed annually
Employee Liability	Causing injury (damage) to employee property	L	Employer's Liability insurance in place. Insurance cover in place	Insurance policy and Risk Assessment is reviewed annually
Councillor Liability	Causing injury (damage to Councillors)	L	Insurance cover and risk assessment 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	Parish Council always receives and approves minutes at meetings. Where possible minutes are circulated shortly after the meeting	Existing procedures adequate
		L	Retention of document policy in place	Existing procedures

	Proper document control			Adequate
Freedom of Information and Data Protection	Policy Provision	L-M	<p>The Parish 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 Retention Policy 	<p>Monitor and report any impacts made under the freedom of information and data protection</p> <p>Regular policy reviews. (annually and bi-annually)</p>

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	<p>Not all Councillors have received training</p> <p>Members to identify any training needs.</p>

RELEVANT DOCUMENTATION

<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"> • 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 Parish Council to enable them to control risks associated with their activities.

2. SCOPE

This Procedure applies to all notified risks of Galleywood 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.