

## **BRADFIELD COMBUST WITH STANNINGFIELD PARISH COUNCIL RISK ASSESMENT**

### **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 services delivery arrangements.

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**

<b>Subject</b>	<b>Identified Risk(s)</b>	<b>H/M/L</b>	<b>Management/Control</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 & recent records (paper & electronic) are kept with the Clerk. The Council has a secure backup system that backs up the files	Review when necessary. Ensure procedures below are undertaken.
Meeting Location	Adequacy Health & Safety	L	Meetings are currently held at the village hall. The bookings for the meeting are made annually, with the SCA opening the hall.	Existing procedure adequate. Annual review of Risk Assessment.

			All premises & facilities are considered satisfactory from H & S, accessibility & comfort aspects for clerk, Cllrs and public who attend.	
Parish Office	H & S, Working Alone, Trips & Falls	L	Parish Clerk works from home. Parish insurance covers Clerk for Council equipment. Parish paperwork is securely housed.	Annual review of Risk Assessment. Risk Assessments of Clerks work environment completed
Council Records Hard copy	Loss through theft, fire or damage	L	Papers, both current and archived, will be held at the Clerk's home address. Land Registry documents and other papers are kept in a secure fireproof cabinet.	Damage or theft is unlikely all provisions are taken to prevent this risk.
Council Records Electronic	Loss through damage, hacking or stolen computer	M	All online documents are stored on the Clerk's hard drive, which is password protected. External storage device containing up to date information would be given to Chair in emergency situation	Regular review.
Volunteers	Injury and damage	M	Job specific RA to be carried out and insurance cover checked	Existing procedures adequate

#### FINANCE

Subject	Identified Risk(s)	H/M/L	Management/Control	Review/Assess/Revise
Precept	Adequacy of precept	M	Sound budgeting to underline annual precept. The Parish Council monitor budget information with detailed budgets prepared in late autumn.	Existing procedures adequate.
Insurance	Adequate Compliance Fidelity Cost Guarantee	L L L L	An annual review is undertaken of all insurance arrangements in place. Employer's Liability, Public Liability and Fidelity Guarantee are a statutory requirement. Key man cover in place	Existing procedures adequate. Review provision and compliance annually.
Banking	Inadequate checks	L	The Council has Financial Regulations	Existing procedures

			which set out requirements for banking, cheques and internal audit	adequate. Review Financial Regulations as necessary.
Cash	Loss through theft or dishonesty	L	No petty cash is kept. Cashbook & Banking reconciliation is prepared by the RFO and verified by the Chairman. All payments must be detailed in the Financial Reports presented to Council. In consultation with the Chair, Clerk has delegated authority to pay invoices (SOs) prior to meeting approval. Cheques require 2 signatories	Existing procedures adequate. Annual review of Financial Regulations.
Clerk	Loss of Clerk	M	In the event of the Clerk resigning/ long term sickness, the council will employ a locum clerk to cover interim.	Membership of SALC 'Key man' insurance cover in place
	Fraud	L	The requirements of Fidelity Guarantee insurance must be adhered to. Internal procedures in place.	Existing procedures adequate.
	Actions undertaken	L	Clerk should be provided with relevant training, reference books, access to assistance and legal advice.	
	Salary paid	L	Payroll is managed by SALC payroll services. Payslips are shown to Chair at authorising meeting	
Payroll	Breach of employment laws including NI & Tax	L	Procedures in place. Members of NALC & SALC who provide updates for review by full council. Payroll outsourced to SALC	Annual Audit carried out by Internal Auditor
Election Costs	Risk of Election cost	M	Risk in an election year. Sum allocated to cover election costs There are no measures which can be adopted to minimise the risk of having a contested election.	Existing procedures adequate
	Risk of election to fill a casual vacancy	M	Cost of the election would be met from earmarked funding.	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 the time limit	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 the time limit.	Existing procedures adequate.

#### ASSETS

Subject	Identified Risk(s)	H/M/L	Management/Control	Review/Assess/Revise
Street furniture and office equipment	Damaged bins, dog bins, notice boards, benches or telephone boxes	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.	Existing procedures adequate.

#### LIABILITY

Subject	Identified Risk(s)	H/M/L	Management/Control	Review/Assess/Revise
Legal powers	Illegal activity or payments	L	All activity and payments made within the powers of the parish council are to be resolved and clearly minuted.	Existing procedures adequate.
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 the 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 Chair 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,	L	Insurance is in place. Risk Assessment of	Existing procedures

	property or individuals		any individual event undertaken and cover confirmed with insurer	adequate.
Employer Liability	Non-compliance with employment law	L	Ongoing training/ information from SALC to ensure Clerk is aware of current legislation. Seek advice from Council's insurance company where required. Employer's Liability in place.	Existing procedures adequate.
Employee Liability	Causing injury(damage) to employer's property	L	Insurance cover in place.	
Councillor Liability	Causing injury (damage to Councillors)		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.
Freedom of Information and Data Protection	Loss or inappropriate use of data leading to damage to cllrs, staff, public and loss of PC's reputation	M-H	A model publication scheme Privacy Data Notices Privacy Policy Data Protection Policy	Any impacts made under the FOI and Data Protection. Regular policy reviews.

#### COUNCILLORS' PROPRIETY

Subject	Identified Risk(s)	H/M/L	Management/Control	Review/Assess/Revise
Members Interest	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.

#### COUNCIL REPUTATION

Subject	Identified Risk(s)	H/M/L	Management/Control	Review/Assess/Revise
Councillors and staff	Bringing the council	M	Councillors understand and receive training	New councillors to

	into disrepute		on the Code of Conduct. A professional approach is undertaken on parish council matters.	receive training. Members to identify any specific training needs.
Grass Cutting	Damage to property, or to persons	M-H	Grass cutting is undertaken for the Council by a third party. Clerk to check third party has all the relevant up to date insurance documents	Existing procedures adequate. All documents seen and copies taken for file.

## RELEVANT DOCUMENTATION

Standing Orders	Disability & Equality Act 2010
Financial Regulations	Employment Rights Act 1996
Code of Conduct	Data Protection Act 2018
Disability Discrimination Act 1995	Local Government Act 1972
Audit Commission Act 1998	Local Government Act 2000
Local Government & Rating Act 1997	Local Government Act 2003
Local Audit and Accountability Act 2014	Localism Act 2011
Volunteering Policy	Lone Working Policy

### 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 Eriswell 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 safe

4.5 Replacing the dangerous by the non-dangerous or the less dangerous

4.6 Give appropriate instruction to Councillors and contractors.

Reviewed May 2023