

Carlby Parish Council

Risk Assessment and Management

INTRODUCTION

The Parish Council is responsible for establishing arrangements for the management of risk. Risk policy statements and consequential risk management arrangements should be reviewed by the Council annually.

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that enable the Parish Council to identify any and all potential risks inherent in the place or practices. Based on the assessment the Council should take all practical and necessary steps to reduce or eliminate the risks.

When considering any new activity, the Clerk will prepare a draft risk assessment including risk management proposals for consideration and adoption by the council.

This document has been produced to enable the Parish Council to assess the risks that it faces, and to satisfy itself that it has taken adequate steps to minimise those risks.

The management of risk requires assessment of the likelihood of an incident occurring, and its impact if it does occur. It is usual to express these as 'High', 'Medium' or 'Low'. when the 'likelihood' and 'impact' figures are multiplied. If the likelihood and impact are both high, special measures need to be taken to reduce the level of risk, or the risky activity removed completely. If the score is low, moderate measures may be sufficient to control or eliminate the risk.

The Parish Council has a duty to have in place a system to help it to manage risk and to review the scheme from time to time. The following table outlines the areas of risk and the control and improvements required

		Likelihood	Impact	Risk Assessment		
Subject	Risk Identified (Description)	Level	Level	Level	Control of risk	Review/Assess/Revise
Precept	Precept requirement inadequate	L	L	L	The budget is set annually by the Responsible Financial Officer (RFO) and presented to full Parish Council for adoption	Annual precept and budget review
	Precept requirement not submitted to RCC	L	L	L	The RFO submits the precept figures to RCC in writing in January each year and confirm submission has happened to the Parish Council	
	Precept submitted to RCC not accurate	L	L	L	The precept will be for a fixed sum of money and will only be finally determined the full Parish Council. Precept derived directly from this Income and Expenditure against budget which is to be reported to Council every meeting.	
Financial Records	Records are not accurate	L	H	M	The Parish council has Financial Regulation that set out the requirements Council to receive financial report at each meeting	Existing procedure is adequate
	Financial irregularities exist	L	H	H	Chair or nominee to check financial documents mid-financial year Council to examine accounts prior to audit Ensure adequate internal audit process. Follow external audit process. Councillors to conduct spot checks	Review Financial Regulations annually.
Bank & Banking	Checks on accuracy are inadequate	L	M	L	Bank reconciliation framework All payments recorded in Parish minutes	Monitoring bank statements
	Loss through poor administration	L	H	L	Two signatures required on all cheques and BACS authorisation Losses would result from a bank error and these would be immediately reported to the bank. Possible losses from unauthorised access to the council bank accounts are minimal as security procedures used to access the account are in place.	
Governance						
Data Protection	Data Protection Policy	L	M	M	Annual review Register with Information Commissioner (ICO) Follow GDPR Ensure Clerk adequately trained Parish Councillors should have dedicated email for Parish Council business	Existing procedure adequate Annual subscription to ICO. Dedicated email address' Councillors voted against this 20/21-119 26 Jan 21 against clerks recommendations
Freedom of Information	Access Request Policy	L	L	L	Parish Council conforms with the Freedom of Information Act and responds to individual request in accordance with it. Archive documents are stored by the clerk in accordance with the retention regulations.	Reviewed annually

		Likelihood	Impact	Risk Assessment		
Subject	Risk Identified (Description)	Level	Level	Level	Control of risk	Review/Assess/Revise
Files & Records	<p>Loss through fire, theft or damage</p> <p>VAT not reclaimed</p> <p>Loans</p> <p>Comply with Customs and Excise Regulations</p> <p>Complying with borrowing restrictions</p> <p>Reputational loss</p>	<p>M</p> <p>L</p> <p>L</p> <p>L</p> <p>L</p> <p>L</p>	<p>H</p> <p>L</p> <p>L</p> <p>L</p> <p>L</p> <p>L</p>	<p>H</p> <p>L</p> <p>L</p> <p>L</p> <p>L</p> <p>L</p>	<p>All Parish Council equipment and documents are stored with the Clerk at their residence and kept in a secure manner. PC password protected. A weekly back up on to a USB will be undertaken by the Clerk. Files are stored on Dropbox</p> <p>Chair to retain a separate back-up and login in details off site</p> <p>VAT payments and claims calculated by Clerk annually reclaimed.</p> <p>No borrowing likely at present</p> <p>Ensure Standing orders and Financial Regulations are up to date</p> <p>Ensure internal audit adequate</p> <p>Ensure Parish Councillors adequately trained</p> <p>Ensure Clerk adequately trained</p> <p>Develop training programme</p> <p>Retain membership of LRALC</p>	<p>External storage to be considered.</p> <p>Chairman has access to dropbox and all file data</p>
Insurance	<p>Adequacy – policy cover council requirements</p> <p>Compliance</p> <p>Libel and slander</p> <p>Officials Indemnity</p> <p>Comply with Employment Law</p> <p>Comply with Inland Revenue requirements</p> <p>Safety of staff and visitors</p>	L	M	L	<p>A 3 year agreement for public liability insurance entered into with a prior full review of cover requirements.</p> <p>Cover for members and clerk for any negligent act, accidental error or omission committed</p> <p>Advice sought from National Association of Local Councils when required. Existing insurance adequate.</p> <p>Clerk's PAYE deducted and submitted to Inland Revenue on quarterly basis via HMRC Pay tools</p> <p>The office is the Clerk's home. Provisions to be made with the village hall for meetings etc</p>	Existing procedure adequate
Election Costs	Risk to budget from an unforeseen election cost	L	M	M	<p>The risk is higher in an election year.</p> <p>The Clerk obtains an estimate of costs from RCC for a full election and an uncontested election.</p> <p>There are no measures that can be adopted to minimise the risk of having a contested election as this is a democratic process</p>	Parish Council to ensure the sufficient budget allocation to cover by-election costs.
Reporting and Auditing	<p>Information and communication</p> <p>Compliance</p>	L	M	L	<p>A budget monitoring statements is produced for presentation to full council</p> <p>The accounts are open to public examination each year as required by the Accounting and Audit Regulations.</p> <p>The annual report is published on the Parish Council website.</p> <p>Auditing take place on an annual basis</p>	

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Legal Powers	Illegal activity or payments	L	M	L	All activity and payment within the powers of the Council are resolved and minuted at meetings. Guidance and advice is provide to the meeting by the RFO.	Existing procedure adequate
Councillors	Loss of Councillors below quorum	L	L	L	Ensure Councillors numbers retained Create a Vice-Chair for resilience Follow up Councillors not attending meetings Offer training to support role	Co-option of new councillors when vacancies occur
	Conflict of Interest	M	M	M	Register of interest completed and updated by Councillors when their circumstances change and is reviewed annually. All registers are declared to the Monitoring Officer at RCC. Declaration of Acceptance completed	Councillor to take responsibility to update their entry in the Register
Employees Salaries and associated costs	Salary paid incorrectly Unpaid tax and NIC to HMRC	L	L	L	The Parish Council authorises the appointment of employees Salary rates are based on the National Joint Council (NJC) for Local Government Services pay scales. Salary analysis and pay slips are produce by the Clerk on a quarterly basis using the HMRC Government Basic Pay tools	
	Fraud by staff Actions undertaken by staff are unsatisfactory	L	L	L	Financial risks are low as no cash is held The Council can provide relevant training, reference books, access to assistance and legal advice required to undertake the role Conduct regular performance reviews	To offer appropriate training when required Annual appraisal
	Health and safety for employees inadequate	L	L	L	Health and Safety policy Competent person to be employed as Clerk All employees have got be taken through the enrolment process by the staging date otherwise councils can face fines.	Policy review annually Home risk assessment required
	Pension provision for auto-enrolment legislation Loss of Parish Clerk	L L	L H	L H	Ensure Councillor signatories up to date Identify Councillor to act as Clerk Address issues affecting clerk as they arise	Re-enrolment every 3 years Annual appraisal of clerk

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Subject	Risk Identified (Description)	Level	Level	Level	Control of risk	Review/Assess/Revise
Assets	Protection of physical assets Loss or damage Risk/damage to third party/property	L	L	L	An annual review of assets is undertaken for insurance purposes. Keep Asset Register up to date Regular Checks Risk Assessment Ensure Insurance cover adequate	Existing procedure adequate Annual risk assessment review of Assets
	Security of buildings, equipment etc	L	L	L	Village Hall managed and risks controlled by Village Hall Management Committee	
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Parish Council Meetings Agenda/Minutes/Notices/Statutory Documents	Accuracy and legality records	L	M	L	Agendas and minutes are produced in the prescribed method by the Clerk and adhered to the legal requirements. Agendas are displayed and minutes are available in accordance with the legal requirements Minutes are approved and signed at the following Council meeting. Business conducted at council meetings is managed by the Chairman	Existing procedure adequate – guidance/training given to Chairman where required.
	Business Conduct	L	L	L		Members adhere to the Council Code of Conduct contained within the Standing Orders.

Chairman: Pete Holland _____

Date Adopted: 30/10/23

Review:

Chairman: _____

Date Adopted:

Review:

Chairman: _____

Date Adopted:

Review: