

Risk Management Scheme

This policy was approved at the Council meeting on 8th July 2020. It will be due for review in May 2021

The management of risk is an important part of the Council's work; making sure that the people who use our facilities are safe, giving the staff the protection to get on with their work, and protecting the assets that the Council hold. Risk assessment happens all the time, but once a year, the Council brings the information together and collates it in a single document.

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the Parish Council to identify all potential inherent risks. The Parish Council, based on a recorded assessment, will take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible.

This document has been produced to enable Greenstead Green and Halstead Rural Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

Risk Area	Impact	H/M/L	Control Measures	Review Frequency	Responsibility
Management					
Business Continuity	Risk of Council not being able to continue its business due to an	Low	All files and recent records (both paper and electronic) are kept at Clerk's home. The	Review when necessary, at least annually. Ensure	Parish Clerk

Risk Area	Impact	H/M/L	Control Measures	Review Frequency	Responsibility
	unexpected or tragic circumstance		<p>Council has a secure online backup Cloud system that backs up files as they are created or changed. There is also a local external hard drive in the likelihood of difficulties with online storage. The GG&HRPC password is known to the relevant Council members & staff.</p> <p>In the event of the Clerk being indisposed EALC have a list of Clerks willing to temp.</p>	<p>procedures listed are undertaken.</p> <p>Remain a member of EALC</p>	
Meeting location	Adequacy of Health & Safety	Low	Meetings are held in Greenstead Green	Existing procedure adequate.	Parish Clerk

Risk Area	Impact	H/M/L	Control Measures	Review Frequency	Responsibility
			<p>Village Hall. Key readily available.</p> <p>The building is under the control of the Hall Management Committee who carry out all risk assessments with regards to the safety of the building . The hall is considered to be satisfactory from a health & safety, accessibility and comfort aspect for the clerk, Councillors and public who attend.</p> <p>Health & Safety notice for the premises is displayed in the hall.</p>		

Risk Area	Impact	H/M/L	Control Measures	Review Frequency	Responsibility
	Loss of meeting space due to fire, flood or damage to building	Low	<p>Cost of hall is only when used so no additional costs incurred. Would have to meet elsewhere. To be decided.</p> <p>Note: due to Covid 19 meetings can be held online under legislation which currently runs out in May 2021. There could be a possibility that if they continue to allow this, meetings could take place online in the event of loss of meeting space.</p>	Existing procedure adequate.	Parish Clerk
Council Records	Loss through theft, fire, damage	Low	Current records are held in the Clerk's house. Fire alarm in place.	Annual review	Parish Clerk

Risk Area	Impact	H/M/L	Control Measures	Review Frequency	Responsibility
			Archived records are held in a box in the attic.		
Council Records (electronic)	Loss through damage	Med	<p>The Parish Council's electronic records are stored on the council's laptop. The council has a secure online backup system which backs up files to the Cloud daily. There is also a local external hard drive in the likelihood of difficulties with online storage. Council laptop has anti-virus software installed on it.</p>	Regular review	Parish Clerk
Finance					

Risk Area	Impact	H/M/L	Control Measures	Review Frequency	Responsibility
Insurance	Adequacy, cost, compliance and Fidelity Guarantee	Low	<p>An annual review is undertaken of all insurance arrangements in place.</p> <p>Employers Liability, Public Liability and Fidelity Guarantee are statutory requirements.</p> <p>Policy updated as new assets added.</p>	Review provision and compliance annually prior to policy renewal.	Parish Clerk Parish Council
Precept	Adequacy of precept	Med	<p>Sound budgeting to underlie annual precept determination.</p> <p>Councillors receive quarterly statements of how the accounts are performing against budget. This provides</p>	Existing procedure adequate.	Parish Clerk RFO Parish Council

Risk Area	Impact	H/M/L	Control Measures	Review Frequency	Responsibility
			<p>simple analysis and tracking and when the budget is prepared in November the RFO works with the Parish Council to determine the budget for the next year prior to making a recommendation to the full council in January for approval of the final precept figure.</p>		
	<p>Precept not received or reduced from January's projected figures</p>	<p>Low</p>	<p>Reserves value is held at three- and twelve-month's expenditure operating as a minimum</p>	<p>Existing procedure set to mitigate risk</p>	<p>RFO</p>

Risk Area	Impact	H/M/L	Control Measures	Review Frequency	Responsibility
Banking	Financial irregularities	Low	The Council has Financial Regulations which set out the requirements for banking, cheques and internal audit.	Existing procedure adequate.	Parish Council RFO Parish Clerk
	Electronic banking (Not yet in place but under discussion)	Low	Three-person step process required for online banking. Chairman acts as third person if required. RFO checks bank statements monthly against approved expenditure.	Review provision and compliance. Internal auditor appointed annually. Electronic banking procedure in place.	

Risk Area	Impact	H/M/L	Control Measures	Review Frequency	Responsibility
Cash	Loss through theft or dishonesty	Low	<p>No cash. Monthly reconciliation prepared by RFO</p> <p>Internal audit undertaken.</p> <p>Three signatories on cheques.</p> <p>All payments must be detailed in the financial report presented to the full Council.</p>	<p>Existing procedures adequate</p> <p>Annual review of Financial Regulations</p>	<p>Parish Clerk</p> <p>RFO</p> <p>Parish Council</p>
Employees	Loss of Clerk	Med	In the event of the Clerk resigning or long-term illness, EALC could	Membership of EALC maintained,	Parish Clerk

Risk Area	Impact	H/M/L	Control Measures	Review Frequency	Responsibility
			provide temporary clerk who could cover interim.	<p>where bank of temp clerks held.</p> <p>Monitor working Conditions.</p> <p>Existing procedure adequate.</p>	
	Fraud	Low	<p>The requirements of Fidelity Guarantee insurance must be adhered to. Internal procedures in place.</p>		
	Actions undertaken	Low	<p>Staff should be provided with relevant training, Clerk should also have reference books, access to assistance and legal advice.</p>		
	Use of council equipment	Low	<p>Staff should be provided with relevant training whenever new</p>		

Risk Area	Impact	H/M/L	Control Measures	Review Frequency	Responsibility
			equipment is purchased, and risk assessments carried out, where necessary.		
	Salary paid incorrectly	Low	Payroll is outsourced.		
Payroll	Breach of employment laws including NI and tax	Low	Procedures in place. Member of NALC & EALC who provide updates for review by the Parish Council. Payroll is outsourced to a payroll company.	Annual Audit carried out by Internal Auditor.	Parish Clerk Parish Council
Election Costs	Risk of election cost	Med	Risk in an election year.	Existing procedure adequate.	Parish Clerk

Risk Area	Impact	H/M/L	Control Measures	Review Frequency	Responsibility
	Risk of election to fill a casual vacancy.	Med	<p>There are no measures, which can be adopted to minimise risk of having a contested election.</p> <p>Costs are budgeted for each election year. Any additional costs would be met from Business reserve.</p>		
VAT	Re-claiming/charging	Low	The Council has Financial Regulations which set out the requirements. VAT recovered once a year.	Existing procedure adequate.	Parish Clerk

Risk Area	Impact	H/M/L	Control Measures	Review Frequency	Responsibility
Annual Governance and Accountability Return (AGAR)	Not submitted within time limits	Low	AGAR is completed and submitted to Internal Auditor for checking. Approved by the Council and signed before exemption certificate is sent to the External Auditor within time limit.	Existing procedure adequate.	Parish Clerk
Liability					
Legal Powers	Illegal activity or payments	Low	All activity and payments made within the powers of the Parish Council (not ultra vires) and to be resolved and clearly minuted. Clerk to ensure appropriate powers are available.	Existing procedure adequate.	Parish Council Parish Clerk

Risk Area	Impact	H/M/L	Control Measures	Review Frequency	Responsibility
	Illegal decisions being made	Low	<p>Ensure clear terms of reference are in place.</p> <p>Financial Regulations in place.</p>		
Agendas/ Minutes /Statutory documents	Accuracy and legality. Non-compliance with statutory requirements	Low	<p>Minutes and agendas are produced in the prescribed method and adhere to legal requirements.</p> <p>Minutes are approved and signed at next meeting unless there is a resolution made to defer</p>	<p>Existing procedure adequate.</p> <p>Undertake adequate training.</p> <p>Members to adhere to Code of Conduct and Standing Orders.</p>	<p>Parish Clerk</p> <p>Parish Council</p>

Risk Area	Impact	H/M/L	Control Measures	Review Frequency	Responsibility
			<p>approval until the following meeting.</p> <p>Minutes and agendas are displayed according to legal requirements.</p> <p>Business conducted at Council meetings should be managed by the Chairman according to Standing Orders.</p>		
Public Liability	Risk to third party, property or individuals	Low	Insurance is in place.	Existing procedure adequate.	Parish Clerk

Risk Area	Impact	H/M/L	Control Measures	Review Frequency	Responsibility
Employer Liability	Non-compliance with employment law	Low	Undertake ongoing training to ensure council are aware of current legislation. Seek advice from the Council's insurance company where required.	Existing procedure adequate.	Parish Clerk Parish Council
Employee Liability	Causing injury (damage) to Employee property	Low	Employer's Liability insurance in place.		
Councillor Liability	Causing injury (damage to Councillors)	Low	Insurance cover in place. Insurance cover in place.		
Legal Liability	Legality of activities	Low	Clerk to clarify legal position on proposals	Existing procedure adequate.	Parish Clerk

Risk Area	Impact	H/M/L	Control Measures	Review Frequency	Responsibility
			and to seek advice if necessary.		
	Proper and timely reporting via Minutes	Low	Council always receives and approves minutes at meetings. Where possible minutes are circulated shortly after the meeting.		
	Proper document control	Low	Retention of document policy in place		
Freedom of Information and Data Protection	Policy Provision	Low-Med	Policy to be put in place.		Parish Clerk
Councillors Propriety					

Risk Area	Impact	H/M/L	Control Measures	Review Frequency	Responsibility
Members Interests	Conflict of Interest	Med	Councillors have a duty to declare any interest at the start of the meeting or when a conflict becomes apparent during a meeting.	Existing procedure adequate.	Parish Council Parish Clerk
	Register of Members Interests	Low	Register of Members Interests form to be reviewed at least on an annual basis. Clerk responsible for ensuring all new Councillors register their interests.	Members to take responsibility to update their register.	
Council Reputation					

Risk Area	Impact	H/M/L	Control Measures	Review Frequency	Responsibility
Councillor and staff	Bringing the Council into disrepute	Med	<p>Councillors understand and receive training on the Code of Conduct.</p> <p>A professional approach is undertaken on all Parish Council matters.</p>	Members to identify any training needs.	<p>Parish Clerk</p> <p>Parish Council</p>
Assets					
Street furniture and office equipment	Damaged bins, village sign, notice boards, and benches etc.	Low	An asset register is kept up to date, reviewed on an annual basis and insurance is held at the appropriate level for all items.	Existing procedure adequate.	<p>Parish Clerk</p> <p>All Staff</p>

Risk Area	Impact	H/M/L	Control Measures	Review Frequency	Responsibility
Children's Playground	Risk of injury or damage	Low	Regular checks carried out by Councillors. Play equipment inspected annually by RoSPA accredited inspector.	Adequate inspections undertaken	Parish Council
Trees	Trees or branches posing a safety problem to the public where unrestrictive right of access is available	Med	Up to date tree survey carried out by Councillor. Hire of tree surgeon as required for problem areas.	Review regularly	Parish Council Parish Clerk