

Lower Halstow 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 Council is aware that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic and focuses 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 are kept at the clerk's home. The clerk makes a daily back up of computer records onto a separate hard disk. In the event of the clerk being indisposed the Chairman to contact the KALC for advice	Review when necessary Ensure procedures are undertaken
Meeting location	Adequacy Health and Safety	L	Meetings are held in Lower Halstow Memorial Hall. The Clerk contacts the hall booking secretary to book. All the premises and facilities are considered to be adequate for the Clerk, Councillors and any Public who attend from a health and safety and comfort aspect.	Existing procedure Adequate
Council Records	Loss through theft, Fire or damage	L	Current papers are held at the clerk's home. Archived papers are held in a locked cupboard in Lower Halstow Memorial Hall.	Damage or theft is unlikely and so provision adequate.

Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept. The Parish Council receives monthly bank statements and detailed budgets and forecasts in September, December and April. The precept is an agenda item at the December and January meeting.	Existing procedure Adequate
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	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 reconciliation of accounts. Bank accounts are cross checked monthly by Councillors	Existing procedures adequate Review Financial Regulations as Necessary
Cash	Loss through theft or dishonesty	L	The Council has no petty cash or float. Any cash transactions are fully receipted and then reimbursed monthly or paid by cheque on receipt of an invoice	Existing procedures Adequate
Financial controls and records	Inadequate checks	L	Monthly reconciliation prepared by RFO and checked by the Chair of the Parish Council. Two signatories on cheques. Internal and external audit. Any financial obligation must be resolved and clearly minuted before any commitment. All payments must be resolved and clearly minuted. Any s137 payments must be recorded at time of approval	Existing procedures Adequate
Freedom of Information Act	Policy Provision	L M	The Council has a model publication scheme for Local Councils in place. The clerk is aware that if a substantial request arrives then this may require many hours of additional work. The Council is able to request a fee if the work will take over 15 hours. However the request can be resubmitted, broken down into sections, thus negating the payment of a fee	Monitor and report any impacts made under Freedom of Information Act

Clerk	<p>Loss of clerk</p> <p>Fraud</p> <p>Actions undertaken</p> <p>Salary paid incorrectly</p>	<p>M</p> <p>L</p> <p>L</p> <p>L</p>	<p>The requirements of Fidelity Guarantee insurance must be adhered to</p> <p>Clerk should be provided with relevant training, reference books, access to assistance and legal advice</p> <p>DCK Beavers has been appointed to undertake payment of clerks monthly salary</p>	<p>Include in financial statement when setting precept</p> <p>Membership of KALC maintained</p> <p>Monitor working Conditions</p>
Election Costs	Risk of election cost	M	<p>Risk is higher in an election year. There are no measures, which can be adopted to minimise risk of having a contested election. A contingency fund should be established to meet the costs.</p>	<p>Include in financial statement when setting precept</p>
VAT	Re-claiming/charging	L	The Council has financial regulations which set out the requirements	<p>Existing procedures</p> <p>Adequate</p>
Annual return	Not submitted within time limits	L	<p>Annual return is completed and signed by the Council, submitted to the Internal Auditor for completion and signing, then checked and sent on to the External Auditor within time limit</p>	<p>Existing procedures</p> <p>Adequate</p>

Assets				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Street furniture and playground equipment	Damage to play equipment and benches etc.	L	<p>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</p>	<p>Existing procedures</p> <p>adequate</p>

Liability				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	
Legal Powers	Illegal activity or Payments Working Parties taking decisions	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 established with clear terms of reference.	Existing procedures adequate Monitor on a monthly Basis
Minutes/ Agendas/ Statutory documents	Accuracy and legality Non compliance with statutory requirements	L L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements Minutes are approved and signed at next meeting. Minutes and agendas are displayed according to legal requirements Business conducted at Council meetings should be managed by the Chair	Existing procedures adequate Undertake adequate training Members to adhere to Legal requirements
Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessment of any individual event undertaken	Existing procedures Adequate
Employer Liability	Non compliance with employment law	L	Undertake adequate training and seek advice from KALC	Existing procedures Adequate
Legal Liability	Legality of activities Proper and timely reporting via Minutes Proper document control	M L L	Clerk to clarify legal position on proposals and to seek advice if necessary Council always receives and approves minutes at monthly meetings Retention of document policy in place	Existing procedures adequate Existing procedures adequate Existing procedures adequate

Councillors Propriety				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Members Interests	Conflict of interest Register of Members Interests	M L	Councillors have a duty to declare any interest at the start of the meeting Register of Members Interests form to be reviewed at least on an annual basis	Existing procedures adequate Members to take responsibility to update their register

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Item	Frequency	Last Reviewed	Comments/Actions
Parish Council Insurance Including Public and Employers Liability Money and Fidelity Guarantee Personal Accident	Annually		

Assets inspection	Annually		
Financial Matters			
Banking Arrangements	Annually		
Insurance Providers			
VAT return completed	Annually		
Budget agreed, monitored and reported	Annually		
Precept requested:			
Payments approval procedure	Monthly		
Bank reconciliation overseen by Chairman	Monthly		
Clerk's salary reviewed and documented	Annually		
Internal audit	Annually		
External audit			
Internal check of financial procedures	Annually		
Administration			
Minutes properly numbered	Ongoing		
Asset register available/updated	Ongoing		
Financial Regulations reviewed	Annually		
Standing orders reviewed	Annually		
Backups taken of computer records	Daily		
Employers Responsibilities			
Contract of employment in place	Annually		
Contractors Indemnity Insurance	Ongoing		
Written arrangements with contractors	Ongoing		
Members' responsibilities			
Code of Conduct adopted	Adopted		
Register of Interests completed and updated	Ongoing		
Register of Gifts/Hospitality	Ongoing		
Declarations of Interests minuted	Ongoing		

The information given above was agreed at the June 2022 meeting and will be reviewed annually by Lower Halstow Parish Council

Chair: Mr K Howard-Challis

Clerk: Mrs A I Smith

Reviewed 7th June 2022