Ashingdon 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.

Joint Panel on Accountability and Governance Practitioners Guide (March 2024)

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 cloud based backup system that backs up files as they are created or changed and is managed by a third party. Paper records are stored at Safestore.	Annual review~~.~~ Ensure procedures below are undertaken
Meeting location	Adequacy Health and Safety	L	Meetings are held at The Cricket Pavilion, King George V Playing Field, Ashingdon Road, Ashingdon All the premises and facilities are considered to be satisfactory in terms of health and safety, accessibility and comfort aspect. for the Clerk, Councillors and any Public who attend	Existing procedure adequate
Council Records	Loss through theft, fire, damage	M	The building does not have an alarm system. There are 4 CCTV cameras, 3 outside the building and 1 in the office.	Existing procedure adequate.
Council Records electronic	Loss through damage	M	The Parish Council's electronic records are stored on the Parish Council's cloud system, this is managed by a third party contractor in addition to this a second cloud system is backed up. Files are updated on a daily basis	Annual review or if concerns are identified

Ashingdon Parish Council

FINANCE				
Subject	**Risk(s) Identified**	**H/M/L**	**Management/Control of Risk**	**Review/Assess/Revise**
Precept	Adequacy of precept	L	Sound budgeting to underline annual precept. The Parish Council review their budget at November / December Council meetings inline with Earmarked Reserves and anticipated projects. Once the Council Tax Base is received from Rochford District Council, the Council approve the budgets and precept amount. This process is completed by the end of 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, in addition to this should there be a new purchase or activity being carried out, communication is made to the insurer to ensure that sufficient insurance provision is 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
Online payments	Loss through theft or dishonesty	M	Monthly bank reconciliation prepared by the Clerk / RFO, inline with Financial Regulations, bank statements are reviewed by a member of the Finance Working Party and authorised by Council. Internal and external audit undertaken. The Clerk prepares a Schedule of Payments which is reported at every Council meeting showing payments made inline with delegated authority under Financial Regulations and future payments for authorisation. All invoices are authorised by the Parish Clerk and two Parish Council members. Two signatories authorise the payment, Parish Clerk / RFO submits payments onto the online banking system. The Clerk has delegated authority to pay invoices up to £500 in conjunction with the Chairman. Council is responsible for authorising expenditure over £2,000.	Existing procedures Adequate Annual review of Financial Regulations

			The Parish Council does not use LGAs137 as they have adopted the General Power of Competence	

ASSETS				
Subject	**Risk(s) Identified**	**H/M/L**	**Management/Control of Risk**	**Review/Assess/Revise**
Clerk	Loss of Clerk	M	In the event of the Clerk resigning, the services of a Locum Clerk would be sought	Membership of SLCC maintained. Monitor working Conditions
	Fraud	L	The requirements of Fidelity Guarantee insurance must be adhered to. Internal procedures in place	
	Actions undertaken	L	Clerk should be provided with relevant training, reference books, access to assistance and legal advice	Existing procedures adequate
	Salary paid incorrectly	L	Payroll is outsourced and authorised by members of the Council	
Payroll	Breach of employment laws including NI and tax	L	Parish Council are members of EALC and NALC. In addition to this EALC provides support from Worknest Payroll Payroll is outsourced to J+M Payroll, who administer all payments to HM Revenue and Essex Pension Fund	Annual Audit carried out by Internal Auditor Total salaries reported to Council
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
	Election to fill a casual vacancy	M	Cost of the election would be met from general reserves. There is earmarked reserves sufficient for one by-election, any additional elections would be funded from general reserves.	
VAT	Re-claiming/ charging	L	The Parish Council has financial regulations which set out the requirements.	VAT claimed every six months at a minimum.
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 and reports the timescale and status to the Finance and Governance Committee	Existing procedures adequate

Property and contents owned by the Council	Loss or damage	H	An up-to-date register of Assets	Reviewed annually or on disposal or acquisition of goods by the Parish Council. Verified by the Internal Auditor

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). The Parish Council is eligible for the General Power of Competence. Any purchases required which are not budgeted for or exceed delegated powers within Financial Regulations form a proposal for the appropriate Committee.	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 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 Parish Council meetings is facilitated by the Chairman according to Standing Orders. Parish Clerk available for advice if required.	Existing procedures Adequate Undertake adequate training 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	Property maintenance and insurance cover is in place. Risk assessment of any individual events undertaken	Existing procedures Adequate Insurance policy is reviewed annually
Employer Liability Employee Liability Councillor Liability	Non-compliance with employment law Causing injury (damage) to employee property Causing injury (damage to Councillors)	L L L	Undertake ongoing training to ensure Personnel Committee is aware of current legislation Employer's Liability insurance in place. Insurance cover in place, for Councillors, Council staff and authorised volunteers. Insurance cover and risk assessment in place	Existing procedures Adequate Insurance policy and Risk Assessment is reviewed annually or should there be changes in work practices
Legal Liability	Legality of activities Proper and timely reporting via Minutes Proper document Control	L L L	Clerk to clarify legal position on proposals and to seek advice if necessary, Parish Clerk attends training courses and conferences to ensure knowledge is up to date. Parish Council always receives and approves minutes at meetings. Where possible minutes are circulated shortly after the meeting Retention of document policy in place	Existing procedures Adequate Existing procedures adequate Existing procedures Adequate

Freedom of Information and Data Protection	Policy Provision	L-M	The Parish Council has the following documents in place: • a model publication scheme • Privacy Data Notices • Privacy Policy • Data Protection Policy • Document Retention Policy	Monitor and report any impacts made under the freedom of information and data protection Regular policy reviews. (annually and bi-annually)

WORKING WITH OTHERS TO HELP MANAGE RISK				
Subject	**Risk(s) Identified**	**H/M/L**	**Management/Control of Risk**	**Review/Assess/Revise**
The provision of services being carried out under agency/partnership agreements with principal authorities	Lack or deterioration of services	L	Standing Orders and Financial Regulations dealing with the award of contracts	Reviewed annually

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 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	Not all Councillors have attended training although as there is minimal sanctions if the Code is breached some behaviours can still exist
			A professional approach is undertaken on all Parish Council matters	Members to identify any training needs

RELEVANT DOCUMENTATION	
• Standing Orders • Financial Regulations • Code of Conduct • Disability Discrimination Act 1995 • Disability and Equality Act 2010 • Employments Rights Act 1996 • Data Protection Act 2018	• 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

Ashingdon Parish Council

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 Ashingdon 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 village, 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.

Date effective from:	14th April 2025
Next review:	14th April 2026
Reviewed:	2nd March 2026