

# Monks Eleigh Parish Council

## RISK ASSESSMENT SCHEDULE – May 2025

### 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 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.

<b>Management</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</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 and recent records are kept at the Clerk's house. The Clerk uses a hard drive backup system to back up files as on a regular basis. In the event of the Clerk being indisposed the chair has access to email and security codes together with back up data and a plan is in place for temporary arrangements to fill the gap.	Review when necessary Ensure procedures below are undertaken
Meeting location	Adequacy Health and Safety	L	Meetings are held in the Committee Room at the Village Hall. A nominated councillor is responsible for organising access.  All the premises and facilities are considered to be satisfactory from a health and safety, accessibility and comfort aspect. A nominated councillor is responsible for health and safety and trained first aid support has been identified.	Existing procedure adequate

Council Records	Loss through theft, fire, damage	L	Papers, both current and archived will be held in at the Clerks house. A recent version of this back up is held by the chair. Loss of papers due to fire is difficult to mitigate but most records are digital.	Damage or theft is unlikely and so provision adequate.
Council Records electronic	Loss through damage.	M	The Parish Council's electronic records are stored on the Parish Council laptop. The Clerk uses a hard drive to back up files regularly.	
<b>Finance</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept. The Parish Council monitors the budget information and a detailed budget is prepared in the late autumn. The precept is considered in November prior to making a recommendation to the Council in 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. 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 internal audit	Existing procedures adequate Review Financial Regulations as necessary
Cash	Loss through theft or dishonesty	L	<p>Monthly reconciliation prepared by RFO and checked by the Chairman of the Parish Council. Two signatories on cheques</p> <p>Internal and external audit undertaken.</p> <p>Any financial obligation must be resolved and clearly minuted before any commitment. This usually takes place at Council meetings. All payments must be detailed in the Financial Reports presented to the Council. The Clerk has delegated authority to pay budgeted invoices up to £500 prior to meeting approval subject to normal signatures.</p> <p>The Council use LGAs137 as they have not adopted the General Power of Competence.</p>	Existing procedures Adequate
Election Costs	Risk of election cost	M	<p>Risk in an election year.</p> <p>There are no measures, which can be adopted to minimise risk of having a contested election. Provision is made in each budget meet the costs.</p>	Existing procedures Adequate

	Risk of election to fill a casual vacancy	M	Cost of the election would be met from general reserves	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 return	Not submitted within time limits	L	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.	Existing procedures Adequate
<b>Operational Security</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
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 the Freedom of Information Act
GDPR Compliance	Loss of personal data	M	The Council has identified that it holds limited personal data on parishioners in electronic and paper form. A Privacy Information Notice has been agreed and the council is registered with the Information Commissioner. Electronic records are held securely on the clerk's computer and paper records under lock and key. It is the responsibility of the clerk to identify and then restrict the distribution of information that might be considered personal or identify an individual without their consent. Councillors are aware of their responsibilities and correct procedures in relation to personal information.	Monitoring and training
Clerk	Loss of clerk	M	In the event of the Clerk resigning without notice, the council has a plan for a temporary replacement to secured through SALC while a permanent appointment can be made.	Membership of SALC maintained Monitor working Conditions
	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 incorrectly	L	Wage cheques are signed off by two bank signatories	

<b>Assets</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
Street furniture	Damage bins, notice boards and benches etc.	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 by members of the Parish Council	Existing procedures adequate
Other Assets	Lawn mower		Items are securely stored and insured.	

<b>LIABILITY</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
Legal Powers	Illegal activity or payments	L	All activity and payments made within the powers of the Parish Council (not ultra vires) and to be resolved and clearly minuted.	Existing procedures Adequate
	Working Parties taking decisions	L	Ensure clear terms of reference are in place. Financial Regulations in place.	
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 Council meetings should be managed by the Chairman according to Standing Orders	Existing procedures adequate  Undertake adequate training  Members to adhere to Code of Conduct and Standing Orders

<b>LIABILITY</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
Public Liability	Risk to third party, property or individuals	L	Insurance is in place. Risk assessment of any individual event undertaken e.g., Christmas lights, winter maintenance, summer event Separate insurance taken out for Millennium Green	Existing procedures Adequate
Employer Liability	Non compliance with employment law	L	Undertake ongoing training to ensure the Council are aware of current legislation. Seek advice from SALC/solicitor/LCPAS where appropriate. Employer's Liability insurance in place	Existing procedures Adequate
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
	Proper document control	L	Registered with the ICO for GDPR purposes. Retention of document policy in place	Existing procedures Adequate

<b>COUNCILLORS PROPRIETY</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
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, each May	Members to take responsibility to update their register

<b>COUNCIL REPUTATION</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
Councillor and staff	Bringing the Council into disrepute	M	Councillors understand and receive training on the Code of Conduct. A professional approach is undertaken on all Parish Council matters. E-mail Protocol Policy in place.	Not all Councillors have received training  Members to identify any training needs

Date Reviewed 19<sup>th</sup> May 2025

Signed Chairman

## Appendices

1. Relevant Documentation
2. Risk Assessment philosophy
3. Risk Assessment method
4. Councillor interests at meetings

<b>1. RELEVANT DOCUMENTATION</b>	
<ul style="list-style-type: none"> <li>• Standing Orders</li> <li>• Financial Regulations</li> <li>• 2014 Model Code of Conduct</li> <li>• Disability Discrimination Act 1995</li> <li>• Disability and Equality Act 2010</li> <li>• Employments Rights Act 1996</li> <li>• General Data Protection Regulations 2017</li> </ul>	<ul style="list-style-type: none"> <li>• Local Government Act 1972</li> <li>• Local Government Act 2000</li> <li>• Audit Commission Act 1998</li> <li>• Local Government &amp; Rating Act 1997</li> <li>• Local Government Act 2003</li> <li>• Accounts &amp; Audit Regulations 2003</li> <li>• Localism Act 2011</li> <li>• Public Contracts Regulations 2015</li> <li>• Localism Act 2011</li> </ul>

## **2. RISK ASSESSMENT PHILOSOPHY**

### **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 Monks Eleigh 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.

### **3 Risk Assessment METHOD**

The Parish Council should follow the general principles of prevention

- 3.1 If possible avoid risk altogether;
- 3.2 Evaluate the risks which cannot be avoided;
- 3.3 Combat risks at source;
- 3.4 Take advantage of technological and technical progress for improving working methods and making them safer;
- 3.5 Replacing the dangerous by the non-dangerous or the less dangerous;
- 3.6 Give appropriate instruction to councillors and contractors.

#### 4. Councillors' interests at meetings.



### Councillor Interests at Meetings

