

WORMINGHALL PARISH COUNCIL

TRANSPARENCY CORE DOCUMENT

TCD Number **13**

TCD Title **Risk Assessment Strategy**

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1. Definition of Risk Management

1.1. 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)*

1.2. 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:

1.2.1. Identifies the subject.

1.2.2. Identifies what the risk may be.

1.2.3. Identifies the level of risk.

1.2.4. Evaluates the management and control of the risk and records findings.

1.2.5. Reviews, assesses and revises procedures if required.

2. RISK ASSESSMENT PHILOSOPHY

2.1. PURPOSE

2.1.1. To provide guidance to the Council to enable them to control risks associated with their activities.

2.2. SCOPE

2.2.1. This Procedure applies to all notified risks of Worminghall Parish Council.

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3. DEFINITIONS

- 3.1. Risk – A risk is the likelihood that the potential for harm or loss posed by a hazard will materialise;
- 3.2. 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;
- 3.3. Control Measures - Precautionary measures that reduce or eliminate the risk;
- 3.4. 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;
- 3.5. Residual Risk - The risk that remains after all the identified control measures have been put into place.

4. METHOD

- 4.1. The Parish Council should follow the general principles of prevention
 - 4.1.1. If possible avoid risk altogether;
 - 4.1.2. Evaluate the risks which cannot be avoided;
 - 4.1.3. Combat risks at source;
 - 4.1.4. Take advantage of technological and technical progress for improving working methods and making them safer;
 - 4.1.5. Replacing the dangerous by the non-dangerous or the less dangerous;
 - 4.1.6. Give appropriate instruction to councillors and contractors.

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5. Risk Matrix

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 by the Parish Clerk. The Council have a secure online backup system that backs up files as they are created or changed. Log on details are register with the Parish Clerk in the log-ins and password book. In the event of the Clerk being indisposed BMkALC will be able provide information on gaining administrative support.	Review when necessary. Ensure procedures below are undertaken.
Meeting location	Adequacy Health and Safety	L	Meetings are held in the Village Hall. All the premises and facilities are considered to be satisfactory from a health and safety, accessibility and comfort aspect. for the Clerk, Councillors and any Public who attend. A Health and Safety notice for the premises is provided in the entrance to the Village Hall.	Existing procedure adequate.
Council Records	Loss through theft, fire, damage	L	Papers, both current and archived will be held by the Parish Clerk. Electronic filing is stored on Microsoft Sharepoint.	Damage or theft is unlikely and so provision adequate. Electronic files are cloud stored and the log in and password is available within the login and password file.

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FINANCE				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept. The Parish Council monitors their budget information and detailed budgets are prepared in the late autumn. The precept is considered by the council prior to making a recommendation 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, online banking, cheques and internal audit	Existing procedures Adequate. Review Financial Regulations as Necessary.
Clerk	Loss of Clerk Actions undertaken	M L	In the event of the Clerk resigning, the Council employs a locum Clerk who could cover interim. Clerk should be provided with relevant training, reference books, access to assistance and legal advice.	Membership of SLCC maintained. Monitor working Conditions. Existing procedures adequate.

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Payroll	Breach of employment laws including NI and tax	L	Payroll is submitted via the QuickBooks accounting system	Annual Audit carried out by Internal Auditor.
Election Costs	Risk of election cost	M	Risk in an election year. There are no measure which can be adopted to minimise risk of having a contested election. Costs are met from General Reserves.	Existing procedures Adequate.
	Risk of election to fill a casual vacancy	M	Cost of the election would be met from general reserves	Budget increased to allow contingency from reserves.
VAT	Re-claiming/ charging	L	The Council has financial regulations which set out the requirements. VAT recovered annually.	Existing procedures Adequate.
Annual Governance and Accountability Return (AGAR)	Not submitted within time limits	L	AGAR is completed and signed by the 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.	Existing procedures adequate.

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ASSETS				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Street furniture and Office equipment	Damaged bins notice boards, bus shelters 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 Parish Clerk.	Existing procedures adequate.

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) and to be resolved and clearly minuted.	Existing procedures Adequate.

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Minutes/ Agendas/ Statutory documents	Accuracy and legality Non-compliance with statutory requirements	L	<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 approval until the following meeting.</p> <p>Minutes and agendas are displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chairman according to Standing Orders.</p>	<p>Existing procedures Adequate.</p> <p>Undertake adequate training.</p> <p>Members to adhere to Code of Conduct and Standing Orders.</p>
Public Liability	Risk to third party, property or individuals	L	Insurance is in place. Risk assessment of any individual event undertaken must be undertaken before event.	Existing procedures Adequate.
Employer Liability	Non-compliance with employment law	L	Seek advice from the Council's insurance company where required. Employer's Liability insurance in place. Insurance cover in place.	Existing procedures Adequate.
Employee Liability	Causing injury (damage) to employee property	L	Insurance cover in place.	
Councillor Liability	Causing injury (damage to Councillors)	L		

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<p>Legal Liability</p>	<p>Legality of activities</p> <p>Proper and timely reporting via Minutes</p> <p>Proper document control</p>	<p>L</p> <p>L</p> <p>L</p>	<p>Clerk to clarify legal position on proposals and to seek advice if necessary.</p> <p>Council always receives and approves minutes at meetings. Where possible minutes are circulated shortly after the meeting.</p> <p>Retention of document policy in place</p>	<p>Existing procedures Adequate.</p> <p>Existing procedures adequate.</p> <p>Existing procedures Adequate.</p>
<p>Freedom of Information and Data Protection</p>	<p>Policy Provision</p>	<p>L-M</p>	<p>The Council has the following documents in place:</p> <ul style="list-style-type: none"> • GDPR Privacy Notice Policy • GDPR Data Map • Subject Access Request Policy • Social Media Policy • Publication Scheme • Freedom of Information Policy 	<p>Monitor and report any impacts made under the freedom of information and data protection.</p> <p>Regular policy reviews.</p>

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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 at least 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. A professional approach is undertaken on all Parish Council matters.	Not all Councillors have received training. Members to identify any training needs. Training Matrix will address the shortfalls