

Esh Parish Council



*The Council of the
Parish of Esh*

Annual Risk Management Scheme

Introduction

- The Parish Council is responsible for establishing arrangements for the management of risk.
- Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that enable the Parish Council to identify any and all potential risks inherent in the place or practices.
- This document has been produced to enable the Parish Council to assess the risks that it faces, and to satisfy itself that it has taken adequate steps to minimise those risks.
- Based on the assessment the Council will take all practical and necessary steps to reduce or eliminate the risks.

Policy and Procedures

1. The management of risk requires assessment of the likelihood of an incident occurring, and its impact if it does occur. This assessment uses 'High', 'Medium' or 'Low'. If the likelihood is high, special measures will be taken to reduce the level of risk, or the risky activity removed completely.
2. If the score is low, moderate measures may be sufficient to control or eliminate the risk.
3. When considering any new activity, the Clerk will prepare a draft risk assessment including risk management proposals for consideration and adoption by the council.
4. Risk policy statements and consequential risk management arrangements will be reviewed by the Council annually.

Esh Parish Council: Risk Assessment 2022/ 2023

Approved: November 2022

To be reviewed : November 2023

FINANCIAL AND MANAGEMENT				
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/
Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	The Miners Hall or other venues not been available for the meeting	L	Rearrangement of meeting to convenient date and a suitable venue is to be sought	Annually
	Non-Quorum	L	Rearrangement of meeting if necessary –To inform Clerk of non-attendance in advance and Clerk to rearrange meeting	Annually
Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	Parish Clerk not available for meeting	L	Member to take on role temporarily	Annually
	Parish Clerk not available and unable to access to information	H	Information system needs to be developed so Councillors can easily access information in the absence of the Clerk. Possibilities are to be explored	Ongoing
Precept	Precept is too high/Adequacy of precept	L	Precept based on sound financial budgeting and set by end of December each year, forwarded to DCC in January each year Detailed justification for precept setting	Annually
Financial	Inadequate records/ financial irregularities Invoices received late or incorrect	L	Financial records to be presented at each meeting for members acceptance	Viewed Monthly at meeting
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/
Financial	Errors with regards banking e.g. charges.	L	Members receive all information and view bank statements monthly	Quarterly

	Loss of cash through theft or Dishonesty	L	Budgets reviewed quarterly and are scrutinised by full Council	Annually
Reporting and auditing	Not observing requirements for information, communication and compliance	L	Internal audit recommendations always implemented and accounts are also reviewed by the Accountant prior to going to Mazars and recommendations are worked on	Annually
Best value Accountability	Work awarded incorrectly	L	Normal Parish Council practice would be to seek at least 3 quotations for work over £1,000 and these are presented to full Council for consideration	Annually
	Overspend on services	L	Regular budget monitoring and the use of ring fencing based on previous spend to ensure budgets are as accurate as possible	Annually
Salaries and assoc. costs	Salary paid incorrectly	L	Clerk and Cleaners salary are paid monthly and hours are verified with the accountant who prepares the pay slips	Monthly
	Unpaid Tax & NI contributions to the Inland Revenue	L	Parish receive this information bases off the information from the Accountant and records are kept for accuracy.	Annually
Employees	Loss of key personnel	L	Reference to the Continuity Plan should be made in case of loss of key personnel.	Parish to develop a Continuity Plan
	Fraud by staff	L	The requirements of the Fidelity Guarantee insurance to be adhered to with regards to Fraud.	Reviewed annually
	Actions undertaken by staff	L	The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role.	Membership of the SLCC.
	Health & Safety Job description is not fit for purpose Bullying & Harassment	L M	Is reviewed in line with requirements Employees to receive at least a yearly appraisal and appropriate procedures must be in place to monitor and bullying and appropriate advice must be sought	Monitor working conditions, safety requirements and Insurance regularly. Appraisal system
Councillors allowances	Councillors over-paid Income tax deduction	L	No allowances are allocated to parish councillors	No procedure required
Election costs	Risk of an election cost	M/H	Risk is higher in an election year. When an election is due the Clerk will obtain an estimate of costs from the County Council for a full election and an uncontested election. There are no	Annually

			measures which can be adopted to minimise the risk of having a contested election as this is a democratic process and should not be stifled. £6,000 to be earmarked for elections each year and to be reviewed annually	
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/
Annual return	Submit within time limits		Annual Return is completed and signed by the Council, submitted to the internal auditor for completion and signing then checked. No external audit now undertaken.	Annually
Minutes/ Agendas/ Notices Statutory documents	Accuracy and legality	L	Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements.	Existing procedure adequate.
	Business conduct	L	Minutes are approved and signed at the next Council meeting. Minutes and agenda are displayed according to the legal requirements. Business conducted at Council meetings should be managed by the Chair.	Guidance/training for Chair is undertaken. Members to adhere to Code of Conduct.
Members interests	Conflict of interest	L	Although not a requirement, the declaring of interests by members at a meeting should be an obvious process to remind Councillors of their duty and should remain on the agenda.	Existing procedure adequate.
	Register of Members Interests	M	Register of Members Interest forms should be reviewed regularly by Councillors.	Members take responsibility to update their Register.
Insurance	Adequacy Cost Compliance	L L L L	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Employers and Employee liability insurance is a necessity and must be paid for. Ensure compliance measures are in place.	All undertaken and reviewed regularly. Review insurance provision annually.
Data protection	Policy Provision	L	Registration with the ICO GDPR implemented	Annually
Freedom of Information	Policy Provision	L	This needs to be developed by the Parish Council	Annually

PHYSICAL EQUIPMENT OR AREAS				
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/
Assets	Loss or Damage Risk/damage to third party(ies)/property	L	Playing fields are inspected, assessed and repaired by a competent person and Rospa	Annual review of contract
Maintenance	Poor performance of assets or amenities Loss of income or performance Risk to third parties	L	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for these repairs are actioned and authorised in accordance with the correct procedures of the Parish Council. All assets are insured and reviewed annually.	Reviewed annually
Notice boards	Risk/damage/injury to third parties Roadside safety	L	Parish Council has three notice boards sited around the Parish area. All locations have approval by relevant parties, insurance cover, inspected regularly by the Chairman - any repairs/maintenance requirements brought to the attention of the Parish Council. Keys held by the Chairperson.	Ongoing
Street furniture	Risk/damage/injury to third parties	L	The Parish Council is responsible for seats in the village and covered by insurance. No formalised programme of inspections is Carried out, all reports of damage or faults are reported to Council and/or dealt with	Ongoing
Meeting location	Adequacy Health & Safety	L	The Parish Council Meetings are held at the Miners Hall, Old Esh and other suitable venues in the Parish Area as required. The premises and the facilities are considered to be adequate for the Clerk, Councillors and Public who attend from Health & Safety and comfort aspects.	Existing locations adequate
Council records - paper	Loss through: theft fire	L	A system needs to be implemented for this.	To review

	damage			
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