**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 Town Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. The Town 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.

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| **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 Town  Council’s office at the Leigh Community Centre. The Town Council has a secure online backup system that backs up files as they are created or changed. By the end of January 2025 all electronic records will be in the cloud. | Annual review. Ensure procedures below are undertaken.  To look into moving some files to Essex Records Office. |
| Meeting location | Adequacy Health and Safety | L | Meetings are generally held at the Leigh Community Centre  All the premises and facilities are considered to be satisfactory from a health and safety, accessibility and comfort aspect for the Town Clerk, staff Councillors and any Public who attend. Rooms used for Council and Committee meetings will be used according to the appropriate size of the meeting  A Health and Safety notice for the premises is provided. | Existing procedure adequate |
| Council Records | Loss through theft, fire, damage | L | Papers, both current and archived will be held at the Town Council office. | Damage or theft is unlikely and so provision adequate.  To look into moving some files to the Essex Records Office for safe keeping. |
| Council Records electronic | Loss through damage | M | The Town Council’s electronic records are stored on the Town Council’s IT equipment. The Town Council has a secure online backup system that backs up files on a daily basis. All electronic files will be in the cloud by the end of January 2025. | Annual review |

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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 underline annual precept. The budget is prepared in late autumn. Each Committee looks through their budget recommendation for comments and changes. The precept is considered by the Finance and Governance Committee in December prior to making a recommendation to Council no later than early January.  It is monitored throughout the financial year. | Existing procedure adequate |
| Insurance | Adequacy | L | An annual review is undertaken of | Existing procedure |
|  | Cost | L | all insurance arrangements in place | adequate |
|  | Compliance | L | Employers Liability, Public Liability and | Review provision and |
|  | Fidelity | L | Fidelity Guarantee are a statutory | compliance annually |
|  | Guarantee |  | Requirement. |  |
| Banking | Inadequate checks | L | The Town 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 | L | Monthly bank reconciliation prepared by the Finance Officer and checked by the Town Clerk and appointed member for verification purposes in accordance with Town Council written guidelines. Internal and external audit undertaken. The Finance Officer prepares a monthly Schedule of Payments. Two signatories Check all invoices prior to being submitted to either Full Council or the Finance and Governance Committee for ratification. The schedule of payments is authorised and verified at either a Full Council or Finance and Governance Committee meeting prior to payment by the Town Clerk. | Existing procedures Adequate  Annual review of Financial Regulations |
|  |  |  | All payments are detailed in the Financial Reports presented to either the Full Council or Finance and Governance Committee. All invoices are sent via email to all Councillors as part of the agenda. The Town Clerk has delegated authority to pay invoices up to £2,500 prior to meeting approval, in consultation with the Chair of the Council or Chair of the appropriate Committee.  (Financial Regulation 5.15). Expenditure is reported to the next meeting of either the Full Council or the Finance and Governance Committee. |  |
|  |  |  | The Town Council does not use  LGAs137 as they have adopted the General Power of Competence. |  |

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| Town Clerk | Loss of Town Clerk  Fraud  Actions undertaken  Salary paid incorrectly | M  L  L  L | In the event of the Town Clerk resigning, the services of a Locum Clerk would be sought  The requirements of Fidelity Guarantee insurance must be adhered to. Internal procedures in place  Town Clerk should be provided with relevant training, reference books, access to assistance and legal advice  Payroll is outsourced. Timesheets are completed for overtime and temporary staff. | Membership of SLCC maintained.  Monitor working Conditions  Existing procedures adequate |
| Payroll | Breach of employment laws including NI and tax | L | Procedures in place. Members of NALC & EALC who provide updates for review by the Staffing Committee. Payroll is outsourced to a payroll company.  Pay increases are authorised by either Full Council. | Annual Audit carried out by Internal Auditor |
| Election Costs | Risk of election cost  Election to fill a casual vacancy | M  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 and Earmarked reserves  Cost of the election would be met from general reserves. | Existing procedures Adequate |
| VAT | Re-claiming/ charging | L | The Town Council has financial regulations which set out the requirements.  The Finance Officer completes regular returns of VAT which is recovered on a quarterly basis via the Edge Financial system. | Reviewed annually |
| Annual Governance and Accountability Return  (AGAR) | Not submitted within time limits | L | AGAR is completed and signed by the Town Council and the Internal Auditor. It is then checked and sent on to the External Auditor within time limit. | Existing procedures adequate |

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| **ASSETS** | | | | |
| **Subject** | **Risk(s) Identified** | **H/M/L** | **Management/Control of Risk** | **Review/Assess/Revise** |
| Property and contents owned by the Council | Loss or damage | H | An up-to-date register of Assets is maintained. | Reviewed annually by the Town Council and verified by the Internal Auditor |

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| **LIABILITY** | | | | |
| **Subject** | **Risk(s) Identified** | **H/M/L** | **Management/Control of Risk** | **Review/Assess/Revise** |
| Legal Powers | Illegal activity or payments  Working Parties should not take decisions | L  L | All activity and payments made within the powers of the Town Council (not ultra vires) and to be resolved and clearly minuted  Ensure clear Terms of Reference are in place.  Financial Regulations in place. | Existing procedures Adequate  Financial Regulations and Terms of Reference are reviewed annually |
| 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 the next relevant meeting. | Existing procedures Adequate  Undertake adequate training |
|  |  |  | Minutes and agendas are displayed according to legal requirements.  Business conducted at Town Council meetings is managed by the Chair according to Standing Orders | Members 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 event undertaken | Existing procedures Adequate Insurance policy is reviewed annually |
| Employer Liability | Non- compliance with employment law | L | Undertake ongoing training to ensure Staffing Committee is aware of current legislation  Seek advice from the Town Council’s insurance company where required Employer’s Liability insurance in place. | Existing procedures Adequate Insurance policy is reviewed annually |
| Employee Liability | Causing injury (damage) to employee property | L | Insurance cover in place | Insurance policy and Risk Assessment is reviewed annually |
| Councillor Liability | Causing injury (damage to Councillors) | L | Insurance cover and risk assessment in place |  |
| Legal Liability | Legality of activities | L | Town Clerk to clarify legal position on proposals and to seek advice if necessary | Existing procedures Adequate |

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|  | Proper and timely reporting via Minutes  Proper document Control | L  L | Town 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 |
| Freedom of Information and  Data Protection | Policy Provision | L-M | The Town 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) |

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| **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 |
| Ad hoc provision of amenities/facilities for events to local  community groups |  | L | Public Liability | Ask for all hirers insurance |

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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  Register of Members Interests | M  L | Councillors have a duty to declare any interest at the start of the meeting or when a conflict becomes apparent during a meeting  Register of Members Interests form to be reviewed at least on an annual basis | Existing procedures Adequate  Members take full responsibility for updating their register |

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| **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 received training |

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|  |  |  | A professional approach is undertaken on all Town Council matters | Members to identify any training needs |

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| **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 |

**RISK ASSESSMENT PHILOSOPHY**

**RISK ASSESSMENT**

1. **PURPOSE**

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

1. **SCOPE**

This Procedure applies to all notified risks of Leigh-on-Sea Town Council.

1. **DEFINITIONS**
2. Risk – A risk is the likelihood that the potential for harm or loss posed by a hazard will materialise;
3. Hazard – A hazard is a condition in the town, equipment, article, substance, machine, installation or situation that has the potential to cause harm or loss or both;
4. Control Measures - Precautionary measures that reduce or eliminate the risk;
5. 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;
6. Residual Risk - The risk that remains after all the identified control measures have been put into place.
7. **METHOD**

The Town Council should follow the general principles of prevention

* 1. If possible, avoid risk altogether;
  2. Evaluate the risks which cannot be avoided;
  3. Combat risks at source;
  4. Take advantage of technological and technical progress for improving working methods and making them safer;
  5. Replacing the dangerous by the non-dangerous or the less dangerous;
  6. Give appropriate instruction to councillors and contractors.

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| Date effective from: | 3rd July 2024 |
| Date of last review: | 7th January 2025 |
| Minute ref |  |
| Next review: | January 2026 |