Eyam Parish Council

Risk Policy Statement and Management

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.

Risk Policy Statement

- Eyam Parish Council recognises its responsibility to manage risks effectively to protect its Councillors, staff, assets, liabilities and community against potential losses.
- Eyam Parish Council is aware that some risks can never be eliminated fully and will ensure a risk management strategy is in place to ensure all risks are identified and properly assessed.

Risk Management

- Any risks identified are to be reported to the Clerk at the earliest opportunity so that action can be taken to mitigate or remove the risk.
- Risks reported to the Clerk are to be accounted for in the Risk Register, if necessary.
- Eyam Parish Council will assess each risk to mitigate or remove to whatever level is practically possible. This will be done in a cost-effective manner and using all resources available.
- Each risk identified is to be recorded in the Eyam Parish Council Risk Assessment (attached to this document) and be assessed in terms of:
  - **a)** its impact
  - **b)** who is at risk
  - **c)** its risk rating
  - **d)** measures to be taken control it
  - **e)** the frequency in which it should be reviewed
- The Risk Assessment identifies three areas of risk to Eyam Parish Council. Theses are categorised as follows; Premises and Facilities, Finance and Governance.

Responsibility for Risk Management

- Eyam Parish Council recognises that it is the responsibility of the Clerk, Councillors and staff to take responsibility and consideration for identifying risk whilst carrying out their duties.
- This policy, the approach to risk management and the Risk Assessment are to be reviewed annually and approved by Eyam Parish Council.
- Eyam Parish Council is responsible for ensuring that this policy is adhered to.
- As an employer, Eyam Parish Council is responsible for managing health and safety to prevent harm or injury to staff, Councillors, volunteers, service users and the public on Council premises. The Parish Council's Health and Safety Policy sets out the arrangements that are in place to manage risks to everybody's health and safety.

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Risk Assessment Matrix

The below table shows the colour-coded matrix used to provide a visual indication of risk level within the Risk Assessment.

The horizontal rows illustrate the impact of the risk on the Council, its services and/or people. The vertical coloumns illustrate the likelihood of that risk occurring.

Each risk is scored 1-5 on it's level of impact and likelihood - with 1 having a low impact or likelihood and 5 having a high impact or likelihood.

Each score is multiplied together to give a total Risk Rating. These range from very low (score of 1) to extreme (score of 25).

Green represents a lower risk, yellow for medium risk, and red for higher risk.

Risk Assessment Matrix

Risk score impact

1 Negligible	**1 Very low**	**2 Very low**	**3 Low**	**4 Low**	**5 Medium**
2 Minor	**2 Very low**	**4 Low**	**6 Medium**	**8 Medium**	**10 High**
3 Moderate	**3 Low**	**6 Medium**	**9 Medium**	**12 High**	**15 Very High**
4 Major	**4 Low**	**8 Medium**	**12 High**	**16 Very high**	**20 Extreme**
5 Catastrophic	**5 Medium**	**10 High**	**15 Very high**	**20 Extreme**	**25 Extreme**
	1 Rare	2 Unlikely	3 Possible	4 Likely	5 Certain

Risk score Likelihood

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Premises and Facilities Risk Assessment

Name of activity, section, event, and location:	All premises, facilities, assets and equipment in the Parish Council's ownership.	**Date of review:**	20th May 2026	**Name of person/body that undertook and reviewed this risk assessment:**	Colin Swindell (Clerk to the Council) Eyam Parish Council
		Date of next review:	May 2027		

Risk and/or hazard identified	Impact of risk	Who is at risk	Risk Score Impact	Risk Score L'hood	Risk Rating	Measures to be taken to control risk	Who is responsible for managing risk	Review frequency
Accidents occur on Council property.	Failure to adequately protect people against injury with the possibility of legal action being taken against the Council	Council The public Service users	3	2	6	Inspection of facilities, assets and equipment by the Clerk. Risks identified to be recorded immediately. Risks to be promptly resolved or made safe. Display notices warning of potential risks and hazards. Ensure the Parish Council has adequate insurance cover.	Clerk	Annually
Accidents occur when volunteers are acting on behalf of the Parish Council – both off and on Parish Council property	Personal injury to volunteers or members of the public with the possibility of legal action being taken against the Council.	Council The public Volunteers	3	2	6	Volunteers and/or supervisors to be competent or qualified to safely undertake activities. Volunteers to have appropriate protective equipment/clothing. Parish Council to have adequate insurance cover for volunteers.	Clerk	Annually

Vandalism or fire damage to Parish Council owned premises and facilities.	Permanent or temporary loss of premises or facility. Loss of community activities, resulting iustomer/parishioner dissatisfaction. Danger to the health and safety of staff, general public and service users. Loss of income to the Council.	Parish Council staff. General public. Service users.	5	1	5	All premises and facilities undergo inspection and compliance assessments by staff. All faults, non-compliance and risks to be reported to the Clerk immediately. Necessary repairs to be carried out promptly or risk made safe. Ensure all risk assessments are complete and up to date. Ensure the Parish Council has adequate insurance cover.	Clerk Handyman	Annually
Vandalism or fire damage to Parish Council owned street furniture (benches, bus shelters and noticeboards).	Permanent or temporary loss of facilities. Danger to the health and safety of service users and public.	The public Service users	2	1	2	Inspections of street furniture. All damage, defects and risks to be recorded immediately. Risks to be promptly resolved or made safe. Parish Council to have adequate insurance cover.	Clerk	Annually
Theft or Parish Council assets or burglary at Parish Council premises.	Damage to property, resulting in costs to Parish Council. Temporary loss of facilities and equipment. Loss of services to the community and general public.	General public. Service users.	5	1	5	All facilities to have adequate locks and physical security. CCTV to be regularly serviced. All staff, hirers and users of facilities understand how to leave premises secure. All keys, valuables and equipment to be always secured. Maintain an up-to-date Asset Register. Parish Council to have adequate insurance cover.	Clerk Handyman	Annually

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Finance Risk Assessment

Name of activity, section, event, and location:	Financial affairs of the Parish Council	**Date risk assessment reviewed:**	20th May 2026	**Name of person/body that undertook and reviewed this risk assessment:**	Colin Swindell (Clerk to the Council) Eyam Parish Council
		Date of next review:	May 2027		

Risk and/or hazard identified	Impact of risk	Who is at risk	Risk Score Impact	Risk Score L'hood	Risk Rating	Measures to be taken to control risk	Who is responsible for managing risk	Review frequency
Theft/loss of funds held in bank accounts	Loss of revenue to the Council. Impact on ability to run Council services and maintain budgets. Negative perception of Council as stewards of public money.	Council Parishioners Service users	5	2	10	Bank accounts to be protected by the FSCS. Payments and internal transfer of funds to be made by the Clerk only. All payments be made by BACS transfer. No cash payments.	Clerk/RFO	Annually
Fraud and inappropriate financial conduct	Fraudulent transactions carried out by the Clerk/RFO resulting in loss of revenue to the Council and impact on delivery of services and budgets. Negative perception of Council as stewards of public money.	Council Parishioners Service users	5	2	10	Robust financial checks and controls to be in place. Financial Regulations to be reviewed annually. Online payments to be submitted by the Clerk/RFO only. Payments to be made by BACS transfer or direct debit only. Copies of invoices/receipts to be supplied to Councillor approving payments. Annual Internal and External Audit to be undertaken of the Councils financial activities and controls.	Clerk/RFO	Annually

						Parish Council to have fidelity guarantee insurance cover in place.		
Insufficient funds available for the provision of routine Parish Council services, activities and responsibilities.	Inability to provide services to Parishioners and the public. Failure to properly discharge the statutory duties and responsibilities of the Council. Potential for deterioration of Council premises and facilities. Risk to public health and safety. Perception of the Council as financially incompetent.	Council Parishioners Service users The public	4	1	4	Monitoring of payments and Council budget by the Clerk/RFO and Council. Robust financial checks and controls to be in place. Annual budget setting to be scrutinised and approved by Council. Prompt submission for the precept.	Clerk/RFO Council	Annually
Insufficient funds available for the provision of one-off or capital projects and events.	Inability to provide services to Parishioners and the public. Failure to properly discharge the statutory duties and responsibilities of the Council. Potential for deterioration of Council premises and facilities. Risk to public health and safety. Perception of the Council as financially incompetent.	Council The public	3	1	3	Monitoring of payments and Council budget by the Clerk/RFO and Council. Robust financial checks controls to be in place. Annual budget setting to be scrutinised and approved by Council.	Clerk/RFO Council	Annually

Failure to obtain sufficient income and donations from users of Council services and facilities.	Impact on Council budget and ability to spend on other services and facilities.	The Council	3	1	3	Annual review of fees for any Council services or facility hire. Annual review of donations received from public facilities. Monthly budget monitoring to be carried out by the Clerk and Council.	Clerk	Annually
Purchase of poor products and service and failure to provide value for money.	Inability to provide services to Parishioners and the public. Failure to properly discharge the statutory duties and responsibilities of the Council. Potential for deterioration of Council premises and facilities. Risk to public health and safety. Perception of the Council as financially incompetent.	Council Parishioners Service users The public	3	2	6	A minimum of 3 quotes to be obtained for contracts and services. Council to consider and approve payment for items not listed in the budget. References to be sought for contractors employed by the Council.	Clerk/RFO Council	Annually
Failure to pay or reclaim VAT.	Loss of revenue to the Council. Impact on Council services and budgets. Perception of the Council as financially incompetent.	Council Parishioners	3	2	6	VAT returns to be submitted annually, as early as possible in the new financial year.	Clerk/RFO	Annually
Failure to submit the Annual Governance and Accountability Return (AGAR) to External Auditor.	Potential for fines to be issued to the Council. Perception of the Council as financially incompetent.	Council	4	2	8	The Clerk/RFO to present the AGAR to Full Council for approval in May/June. The Clerk/RFO to submit AGAR to the External Auditor within the set time limit.	Clerk/RFO	Annually

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Governance Risk Assessment

Name of activity, section, event, and location:	Business, administration, compliance and governance of Parish Council affairs.	**Date risk assessment reviewed:**	20th May 2026	**Name of person/body that undertook and reviewed this risk assessment:**	Colin Swindell (Clerk to the Council) Eyam Parish Council
		Date of next review	May 2027		

Risk and/or hazard identified	Impact of risk	Who is at risk	Risk Score Impact	Risk Score L'hood	Risk Rating	Measures to be taken to control risk	Who is responsible for managing risk	Review frequency
Council business not conducted correctly or not in the best interests of the Council and parishioners.	Inappropriate or illegal decisions resulting in dissatisfied parishioners and provision of inadequate facilities and services. Council not providing value for money. Risk of legal action being taken against the Council.	Council Councillors Clerk Parishioners	3	3	9	Ensure compliance with legislation, policies and procedures at Council meetings. Policies to be regularly reviewed. Agendas to be published within the legal timeframe. Councillors to be supplied with adequate information to make sound decisions. Ensure proper record keeping of meetings and decisions made. Actions agreed art meetings to be followed through.	Clerk	Annually
Inappropriate behaviour and/or non-compliance of the statutes and regulations by Councillors.	Failure to act legally or within the Code of Conduct could result in legal action or sanctions against the Councillor and /or Council	Council Councillors	3	3	9	Councillors to sign and understand the Code of Conduct. Councillors to be familiar with Standing Orders and Council policies and procedures. Councillors maintain an up-to-date Register of Interests.	Clerk	Annually

Inappropriate behaviour and/or decision making by the Clerk.	Failure to handle issues in a proper manner or behave inappropriately towards Councillors or the public could result in legal action against the Council and bad public relations.	Clerk Council	3	2	6	The Clerk to be familiar with Council policies and procedures. The Clerk to undergo regular training in all aspects of his/her work and Council services.	Clerk	Annually
Inappropriate behaviour and/or actions by members of Council staff.	Failure to behave and act in a proper manner could result in legal action against the Council and compensation.	Staff The Council General public	2	1	2	Staff to be familiar with Council policies and procedures. Staff to understand their responsibilities towards Parishioners and the public. Staff to undergo training where appropriate and necessary. Clerk to regularly brief staff on conduct and behaviour.	Clerk	Annually
Non-compliance with GDPR.	Potential for a fine to be issued by the Information Commissioners Office (ICO)	Council	5	2	10	Robust policies and procedures to be in place a reviewed. Councillors and Clerk to undertake GDPR training. Documents to be always secure at the Village Hall or Clerk's home. Laptops and computers to be password protected.	Clerk Councillors	Annually
Failure to comply with health and safety legislation and procedures.	Risk of personal harm and injury leading to legal action against the Council and paying out compensation.	Council Service users The public	5	2	10	Robust Health and Safety Policies and Risk Assessments to be in place. The Clerk to undertake training in all aspects health and safety. Monthly inspection of Parish Council facilities and premises. Regular inspections of Parish Council premises, facilities and equipment to be undertaken by the Clerk. Risks are to be resolved promptly or	Clerk Councillors	Annually

						made safe.		
Failure to have adequate insurance cover.	Potential for legal action against the Council in the event of loss or damages to Parish Council property. Potential for legal action against the Council in the event of personal injury or damage to private property.	Council Service users The public	5	2	10	Annual review of insurance cover. Consult with insurance broker to ensure level of cover is adequate. Maintain an up to date asset register.		Annually
Failure to prevent cyber attach or data hacking.	Loss of or inability to access documents and records could lead to disruption of Parish Council business. Potential for data breach and incompliance with GDPR.	Council Service users The public	1	5	5	Robust anti-virus software to be applied to Parish Council laptop. Clerk and Councillors to undergo relevant training. Laptop and software passwords to be regularly changed. Back-up all electronic data and documents regularly through the cloud, memory sticks and paper copies, where necessary.	Clerk	Annually
Loss of paper files and records through loss, theft or fire.	Loss of deeds, legal documents, agreements and meeting records could lead to disruption of Parish Council business. Loss of historical documentation.	Council	4	2	8	Back-up all electronic data and documents regularly through the cloud, memory sticks and paper copies, where necessary. Ensure all files are always kept secure at the Village Hall or Clerk's home. The viewing of documents is to take place by appointment with the Clerk and not taken nor borrowed. Digital copies documents to be kept where possible. Annual review of documents and records for archiving with Derbyshire County Council.	Clerk	Annually

Loss of digital files and records.	Loss of deeds, legal documents, agreements and meeting records could lead to disruption of Parish Council business. Loss of historical documentation.	Council	4	2	8	Back-up all electronic data and documents regularly through the cloud, memory sticks and paper copies, where necessary. Robust anti-virus software to be applied to Parish Council laptop. Access to sensitive digital records to be password protected. Parish Council laptop and email account to be secure by password.	Clerk	Annually
Loss of Clerk.	Inability for Council to continue operating and carrying out all aspects of day to day business. Loss of services to Parishioners and the public. Health and safety risk to the public.	Council Parishioners The public	4	2	8	Passwords and usernames for accounts used by the Clerk to be accessible to the Chair. Copies of keys to be kept by the Chair. All digital files to be regularly backed up and paper copies kept secure on a designated Parish Council laptop. Chair of the Council to understand procedure for sourcing a Locum Clerk.	Clerk	Annually
Key individuals unavailable for the business of the Council.	Failure to be able to convene meetings and conduct Council business. Meetings not conducted in a proper or legal manner.	Council Parishioners The public	3	2	6	The absence of the Clerk, Chair and Councillors to be known in advance of meetings to ensure appropriate arrangements are in place to allow business/meeting to go ahead.	Clerk	Annually