

HOCKERING PARISH COUNCIL RISK ASSESSMENT AND MANAGEMENT POLICY

**Adopted at meeting held on 09/11/2021
To be reviewed annually**

Hockering Parish Council carries out an annual assessment of the risks it is exposed to and identifies any actions it considers necessary to minimise those risks.

The following table attempts to identify the risks involved and recommends the necessary actions. The list is not exhaustive, and the Council may consider other risks not identified.

TOPIC	RISK IDENTIFIED	RISK LEVEL H/M/L	MANAGEMENT OF RISK	ACTION
PRECEPT	Not submitted to Breckland	L	Full Minute – RFO follow up.	Existing procedures adequate.
	Not received from Breckland	L	RFO confirms receipt.	
	Adequacy of precept	H	Review of budget (including actual & anticipated) at each meeting.	
OTHER INCOME	Cash handling – loss through theft or dishonesty.	L	Cash handling is to be avoided, where possible two officials will be involved.	Existing procedure adequate.
	Cash banking	L	Check to bank statement. Regular bank reconciliations.	
GRANTS - RECEIVABLE	Claims Procedure	M	Clerk/RFO check as required.	Existing procedure adequate.
	Receipt of grant when due	M	RFO check as required.	
GRANTS – PAYABLE	Expenditure not approved/illegal	L	All expenditure minuted. Appropriate powers checked.	Existing procedure adequate.
SALARIES	Salary/hours/rate paid incorrectly.	L	Salary rates authorised (using approved scale) – reviewed annually.	Existing procedures adequate.
	Unpaid or incorrect deductions – NI & PAYE	L	All calculations made using BASIC PAYE TOOLS programme – linked to HMRC. Reported and approved at council meetings.	

EXPENSES & DEBTS	Goods not supplied but billed.	L	Procedure set out in Financial Regulations.	Existing procedures adequate.
	Invoice incorrectly calculated or recorded.	L	Reported and approved at council meetings.	
	Unpaid invoices.	L	Pursued by RFO and reported to Council.	
ELECTION COSTS	Risk of an election cost.	L/M	Risk higher in election year. When due RFO will obtain estimate of costs for both full and uncontested elections. Reserves held are likely to be adequate.	Existing procedure adequate.
VAT	Re-claiming/charging.	L	Procedure set out in Financial Regulations.	Existing procedure adequate.
REPORTING & AUDITING	Information communication.	L	Monitoring statement which includes bank reconciliation and budget update is produced at each council meeting for approval. All payments reported at Council meetings.	Existing procedures adequate.
	Compliance.	L	Council should regularly audit internally to comply with the Fidelity Guarantee.	
RESERVES – EARMARKED	Adequacy	L	Consider at budget and review of final accounts.	Existing procedure adequate.
ASSETS	Loss, Damage etc.	M	Regular inspections and insurance cover reviewed annually and, if necessary, at other times.	Existing procedure adequate.
	Risk or damage to third party, property or individuals.	M	Review adequacy of Public Liability Insurance.	Existing procedure adequate.
STAFF	Loss of key personnel (Clerk/RFO).	L	Hours, health, stress, training, long term sick, early departure – risk monitored and managed as appropriate. Role would be advertised and another appointment made. Locum can be appointed in meantime.	Existing procedures adequate.
	Fraud by staff.	L	Fidelity Guarantee requirements adhered to.	
	Actions undertaken by staff.	L	Provide Clerk/RFO with full training, reference books, access to assistance and legal advice (NALC or NPTS and SLCC).	

LOSS	Consequential loss due to critical damage or third party performance.	L	Review annually adequacy of insurance cover.	Existing procedure adequate.
MAINTENANCE	Reduced value of assets or amenities – loss of performance.	M	Regularly inspected, maintenance carried out if required. All assets are insured and reviewed annually.	Existing procedures adequate.
	Risk to third parties.	M	All public access areas are inspected regularly by parish councillors.	
FINANCIAL RECORDS	Inadequate records.	L	Financial Regulations in place – reviewed annually. Internal audit review.	Existing procedures adequate.
	Financial irregularities.	L	Records subject to regular monitoring, internal and external audit (if applicable).	
MINUTES, AGENDAS, NOTICES & OTHER STATUTORY DOCUMENTS	Accurate and legal.	L	Produced by Clerk and adhere to legal requirements. Minutes approved and signed at next council meeting. Minutes and agenda displayed accordingly to legal requirements.	Existing procedures adequate.
	Business Conduct.		Business conducted at council meetings should be managed by the Chair as set out in Standing Orders.	Existing procedures adequate.
COUNCILLORS INTERESTS	Conflict of interest.	M	Declarations of interest to be minuted and any conflict addressed as set out in Standing Orders.	Existing procedures adequate.
	Register of Members Interests.	L	Councillors have responsibility of updating their register (notify via Clerk).	

INSURANCE	Public Liability (statutory)	L	Annual review carried out (before date of renewal).	Existing procedures adequate.
	Employers Liability (statutory)	L		
	Money	L	Ensure compliance measures are in place.	
	Fidelity Guarantee	L		
	Property	L	Ensure Fidelity checks are in place.	
	Loss of revenue	L		
	Officials Indemnity	L		
	Libel and Slander	L		
Personal Accident	L			

BEST VALUE ACCOUNTABILITY	Work awarded incorrectly.	L	Where possible, seek more than one quotation, as set out in Financial Regulations.	Existing procedures adequate.
	Overspend on services.	L	RFO to investigate and report to Council.	
LEGAL POWERS	Illegal activity or payments.	L	All activity and payments within the powers of the Parish council.	Checks currently ongoing re HQN.
DATA PROTECTION	Policy & Provision.	L	The Council must be registered with the Information Commissioners Office – reviewed annually.	Council registered with ICO.
FREEDOM OF INFORMATION ACT	Policy & Provision	L	The Council will have a model publication scheme for Local Councils in place. No requests to date, however, a request can require many hours of additional work for the Clerk/RFO. All requests reported to the Council.	Existing procedure adequate.
SMOKING LEGISLATION	Failure to display appropriate notices.	L	Bus shelter – No smoking sign should be displayed, regularly inspected by councillor.	Existing procedure adequate.
CODE OF CONDUCT	Failure to comply and thus be reported to the Standards Committee.	L	All new councillors are supplied with a copy of the Code of Conduct, Standing Orders and Financial Regulations.	Existing procedure adequate.
GENERAL COMPLIANCE WITH LAW AND REGULATIONS	Failure to comply.	L	Clerk to be qualified to CILCA level and undertakes regular training to keep up to date. All councillors are offered training. Clerk has access to both NALC or NPTS and SLCC resources.	Clerk commencing training – Council providing funding assistance.

PLAY AREA	Loss of use of play equipment.	M	Continue regular weekly inspections. Continue annual inspection by certified engineer. Remove any unsafe equipment from service until repairs are carried out.	Existing procedure adequate.
	Risk/damage/Injury to public due to badly maintained equipment.	M	Continue regular weekly inspections. Regular grass cutting in place. Appropriate insurance cover is in place.	
VILLAGE SIGN	Risk/damage/Injury to public due to unsafe structure.	M	Continue regular inspections (monthly)	Existing procedure adequate.

NOTICE BOARD	Risk/damage/Injury to public due to unsafe structure.	M	Continue regular inspections (monthly).	Existing procedure adequate.
STREET FURNITURE	Risk/damage/injury to public due to unsafe structures.	M	Dog Bins, Litter Bins, Salt Bins & Benches Benches – No formal programme of inspections – all reports of faults/damage to council are dealt with. District Council are responsible for emptying Dog and Litter bins. The Council does not spread salt from bins in order to avoid liability from doing so.	Existing procedure adequate.
MEETING LOCATION	Adequacy/Health & Safety	L	All Council meetings are held at the Village Hall which is considered adequate for councillors, clerk and members of the public for health and safety and comfort aspects.	Existing procedure adequate.
PARISH OFFICE LOCATION	Adequacy/Health & Safety	L	Parish work carried out at Clerk & RFO home premises – staff to monitor.	Existing procedure adequate.
COUNCIL RECORDS – PAPER	Loss through theft, fire or damage.	M	All records stored at Clerk or RFO's office. Older more historical records are in the Norfolk Record Office. Council has a Document Retention Policy in place. Deeds are in the care of the clerk.	Existing procedure adequate. Confirm location of Play Area deeds – is it registered at Land Registry?
COUNCIL RECORDS – ELECTRONIC	Loss through theft, fire, damage or corruption of computer.	M	All documents stored in the Cloud and backed up to a hard drive monthly. Chairman has access to Cloud facility.	Clerk/RFO to action.