**Langley with Hardley Parish Council**

**Risk Assessment and Management Policy**

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| **Document Control** | | |
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| **Subject** | **Risk (s) Identified** | **Level of Risk L/M/H** | **Management of Risk** | **Assess/**  **Revise/**  **Review/**  **Adequate** |
| **FINANCIAL & MANAGEMENT** | | | | |
| Precept | Not requested or  submitted late  Not received  Adequacy | L  L  L | The precept is decided along with budgeting each year between November and January.  Clerk informs Council when monies are received. Reserves are in place to carry on business for a few months.  Regular review of budget to actual. The Clerk takes care to anticipate costs for the forthcoming year. | Annually  Annually  Ongoing |
| Budget | Not set | L | Agenda item for November meeting with possibility of carrying forward to December meeting. | Annually |
| Reserves | Adequacy | L | Consider when setting the Budget. Draw up a 3-year plan. | Annually |
| VAT | Not reclaimed or claimed outside of time limits | L | System in place to claim after the financial year end. Clerk is aware of what can and cannot be reclaimed. Clerk is familiar with VAT regulations. | Annually |
| Payments | Made by Clerk without the consent of Council  Invoice & payment disagree  Not received | L  L  L | All payments are listed, are backed up with appropriate invoices and are scrutinised by Councillors at the meeting. Any spoilt cheques are accounted for. Cheque stubs are signed by Council.  Clerk and Council check every invoice and payment when signing cheques.  Clerk checks bank statement and notifies Council at each meeting of any uncleared cheques. | Monthly  Monthly  Monthly |
| Cash | Theft  Dishonesty | L | The Council has Financial Regulations which set out the requirements however the parish council does not receive or pay out cash. | Ongoing |
| Cheque book | Lost/stolen | L | Cheque book kept securely. Cheques require two signatories. | Ongoing |
| Paying-in book | Lost/stolen | L | Paying-in book kept securely. | Ongoing |
| Bank | Not able to issue cheques | L | Review of bank signatories at May meeting. Clerk is familiar with the process of updating signatories on bank account. | Annually |
| Grants | No proper procedure | M | Minute council agreement with the power used to authorise payment. Adopt a Grants Policy. | Ongoing |
| Tenders | Insufficient bids | L | The Councils Financial Regulations clearly state the correct procedure for obtaining quotes on tenders. Any decisions must be voted for by the whole Council. | Ongoing |
| Election costs | Risk of an election cost | L | There are no measures which can be adopted to minimise the risk of having a contested election. Reserves are in place. | Adequate |
| Audit - Internal | Not carried out | L | Internal Auditor is appointed by Council. Report from Internal Auditor is a May agenda item. | Annually |
| Annual Governance & Accountability Return | Not carried out | L | The Annual Governance & Accountability Return (AGAR) is completed and sent to the Internal Auditor for checking. It is then signed by Council at the May meeting. If under £25k Transparency Code requirements must be met. Smaller authorities to publish various documents on a public website as required by the Accounts and Audit Regulations 2015, the Local Audit (Smaller Authorities) Regulations 2015 and the Transparency Code for Smaller Authorities. | Annually |
| Internal Control | Not carried out | L | Appoint a member of Council (non-signatory on bank) to carry out quarterly checks on accounts. | Quarterly |
| Salary | Salary not worked out correctly  Salary review not carried out  Clerk appraisal not carried out  Unpaid Tax & NI  Year-end submission not carried out  Non-compliance with pension regulations | L  L  L  L  L  L | Clerk provides Council with nationally agreed pay scale awards. Clerk uses HMRC PAYE software to process payments. Council check submission receipt from HMRC and the payslip.  Clerk salary is reviewed in October of every year.  Clerk appraisal is carried out each year in October and a possible performance pay award is awarded.  Tax and NI are submitted to HMRC via Real Time Information system. Clerk is below the earnings threshold.  Clerk informs Council when the year end submission has been completed.  The Council needs to ensure that it has complied with its duties under employment legislation and has met its pension obligations. | Annually  Annually  Ongoing  Ongoing  Annually  Ongoing |
| Employees | Long term sickness of Clerk  Unexpected or tragic circumstances  Employment disputes  Actions undertaken by staff  Loss of key personnel  Lone/home working  Fraud by staff | L  L  L  L  L  L  L | A Councillor in the absence of Clerk would take minutes. Councillors would carry out any necessary actions.  All documents, laptop and printer are held at Clerk’s home. Chairman has a sealed envelope which contains Council passwords.  Good relationship maintained with Clerk. Training for Clerk and Councillors so roles are fully understood.  The Clerk should be provided with relevant training, reference books and access to legal advice. Council are members of Norfolk Association Local Councils.  The Clerk’s role would be advertised, and another appointment made. Monitor Clerk’s hours, health, training and manage appropriately.  Inspection of Clerk’s home environment. Refer to Lone/Home Worker Policy.  Requirements of the Fidelity Guarantee insurance to be adhered to. | Adequate  Adequate  Ongoing  Ongoing  Ongoing  Annually  Ongoing |
| Councillors | Loosing members | L | Legal process is followed when a vacancy occurs. If the Parish Council becomes inquorate then South Norfolk Council will provide a process to follow to appoint members to ensure business can carry on. | Adequate |
| Insurance - Council | Adequacy  Action being taken against the Council | L  L | Insurance cover reviewed annually at May meeting. Copy of asset register sent to Insurance Company. The policy wording must be checked each year to ensure the proposed cover is adequate. Employers and Employee liability insurance is a necessity. The Clerk must ensure Public Liability and Fidelity Guarantee insurance are both integral in the policy. Clerk to review policy at time of renewal.  Public Liability insurance covers general personal injury claims where the council is found to be at fault. | Annually  Adequate |
| Insurance - Contractors | Not insured | L | Clerk to see copy of insurance certificate as soon as a contract has been agreed. | Ongoing |
| Health & Safety | Health & Safety policy not up to date | H | The Council have drafted a Health & Safety Policy which needs adopting. The Council does hold Public Liability Insurance in the event of an accident. | Ongoing |
| Website | Incorrect information published on website or non-compliance with required information | M | The Clerk has had training on what information should be on the website. The Clerk is the only one responsible for updating the website. | Ongoing |
| **RECORD KEEPING** | | | | |
| Documents - paper | Loss/theft/fire | M | Stored at Clerks home in a locked fire-proof cabinet. Smoke detectors fitted in Clerk’s home. Paper documents no longer required are shredded. | Ongoing |
| Documents - digital | Loss/theft/  computer malfunction | M | All documents are automatically backed up to an external source. Emails and computer password protected. Only trusted sources are used to maintain/repair laptop. Laptop not left unattended in Clerk’s car. | Ongoing |
| Minutes | Wrongly recorded minutes/  unpublished minutes | L | Draft minutes are circulated well before the meeting. The minutes are agreed by all the Councillors then signed. The copy is kept in the minute book. | Ongoing |
| Agenda | Not published in accordance with best practice | L | Agenda planning is completed in good time. | Ongoing |
| Freedom of Information | Not recording or keeping information correctly | M | The Council has a publication scheme and keeps records in accordance with data retention guidelines. | Ongoing |
| Data Protection | Breeches of data/  not being compliant with legislation | M | The Council has passwords to protect files containing personal information. | Ongoing |
| Asset register | Lack of awareness | L | Asset list to be reviewed annually at the May meeting. Review adequacy of Public Liability insurance. Advise Insurance Company regarding disposal or purchase of assets. | Annually |
| Standing Orders | Working outside agreement | L | Clerk to ensure Council are working with the latest version. New Councillor provided with a copy of Standing Orders. | Ongoing |
| Financial Regulations | Working outside agreement | L | Clerk to ensure Council are working with the latest version. New Councillor provided with a copy of Financial Regulations. | Ongoing |
| **MEMBERS RESPONSIBILITIES** | | | | |
| Code of Conduct | Working outside of guidelines | L | Clerk provides all new Councillors with a copy of Code of Conduct. | Ongoing |
| Register of Interests completed and updated | Perceived/actual conflict of interest | L | Councillors must advise Clerk of any changes to circumstances immediately they happen. Clerk reminds Councillors annually to review their Register of Interests | Ongoing/Annually |
| Declarations of Interest minuted | Perceived/actual conflict of interest | L | Councillors must advise of any declarations of interest so it can be minuted. | Ongoing |
| Failure to follow proper procedure | Decisions being challenged and overturned | L | Clerk to keep updated with guidance and changes. Seek advice from Norfolk Association of Local Councils where appropriate. | Ongoing |
| **RISKS WITHIN THE WORKING ENVIRONMENT** | | | | |
| Computer/ office equipment | Injury or harm from misuse, prolonged use  Malfunctioning and causing harm | L  L | Clerk is aware of best practice whilst using the laptop; the need to take regular breaks, posture and position of screen.  Clerk checks equipment regularly for defects and ensures equipment is used following recommended guidelines. | Ongoing  Ongoing |
| Fire | Risk of harm from fire | L | Smoke detectors installed in Clerk’s home. Paper stored away from electrical appliances. | Ongoing |
| Trip hazards | Risk of tripping | M | Clerk ensures working environment is clutter free and access is clear. | Ongoing |
| **RISKS ARISING IN AREAS THAT ARE THE RESPONSIBILITY OF THE COUNCIL** | | | | |
| Play Area Equipment | Vandalism  Accidental injury  Injury caused by contractor to third party | M  M | Regular recorded checks made by volunteer in the parish. Annual safety check carried out by RoSPA. Defects notified to Clerk and dealt with promptly. Grass cut regularly.  The contractor would have their own insurance | Ongoing  Ongoing |
| Bench in Play Area | Theft  Vandalism | L | Regular checks by volunteer in the parish. Defects are dealt with promptly. | Ongoing |
| Picnic Tables x 2 in Play Area | Theft  Vandalism | L | Regular checks by volunteer in the parish. Defects are dealt with promptly. | Ongoing |
| Gates at play area | Accidental injury  Damage | L | Annual safety check by RoSPA. Regular checks by volunteer in the parish. Defects are notified to Clerk and dealt with immediately. | Ongoing |
| Notice boards (Langley Green, play area & Meet & Turn Corner) | Theft  Vandalism  Doors/hinges broken | L | Monthly check by Clerk. Any identified defects are dealt with promptly. | Ongoing |
| Grassed area around Village Sign | Accidental injury | L | Regular checks by volunteer in the parish. Defects identified are dealt with promptly. | Ongoing |
| Village Sign | Theft/Vandalism | L | Regular checks by volunteer in the parish. Defects are reported to Clerk and dealt with promptly. | Ongoing |
| Bench near Village Sign | Theft  Vandalism | L | Regular checks by volunteer in the parish. Defects are reported to Clerk and dealt with promptly. | Ongoing |
| Grit bins | Theft  Vandalism  Accident if bins do not contain grit | L | Regular checks by volunteer in the parish. Re-filled by Norfolk County Council. | Ongoing |
| War Memorial- Hardley Churchyard | Vandalism | L | Regular checks by a Councillor. Defects are reported to Clerk and dealt with promptly. | Ongoing |
| War Memorial – Langley Street//Staithe Road | Vandalism | L | Regular checks by a Councillor. Defects are reported to Clerk and dealt with promptly. | Ongoing |
| Dog Waste Bins (Forge Road, Hardley Staithe, Play Area) | Theft  Vandalism | L | Reliant on members of the public reporting any damage. Defects identified are dealt with promptly. Emptied by South Norfolk Council. | Ongoing |
| Bird Hide (Hardley Flood) | Vandalism  Accidental injury | M | Extremely difficult to gain access due to closure of footpath. Reliant on members of the public reporting any damage. | Ongoing |
| Phone Box | Vandalism  Accidental injury  Theft of contents | L | Inspected and cleaned on a regular basis. Reliant on members of the public reporting damage. Defects identified are dealt with promptly. | Ongoing |
| **OTHER RISKS** | | | | |
| Village Hall meeting room | Accessibility | L/M | Wheelchair access to the Village Hall would be difficult. Assistance would be required. Meetings often finish when it is dark however the Clerk carries a torch to avoid risk. | Ongoing |
| Community Litter Pick | Safety  Contamination  Personal injury  Manual Handling | L/M | Annual litter pick to follow the recommended guidance provided by South Norfolk Council. High viz vests and gloves to be worn. Insurance recommendations to be followed. Refer to Council’s Health & Safety Policy. | Ongoing |
| Maintenance around the villages | Safety  Personal injury  Manual handling | L/M | Clerk to carry out a risk assessment prior to any work being started. Refer to Council’s Health and Safety Policy. | Ongoing |