

LITTLE DUNHAM RISK ASSESSMENT AND MANAGEMENT POLICY

Adopted at meeting held on 4th January 2019

To be reviewed January 2020

Little Dunham 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 procedure 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.	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	Clerk/RFO check as required.	
GRANTS – PAYABLE	Expenditure not approved/illegal	L	All expenditure minuted including S137 power.	Existing procedure adequate.
SALARIES	Salary/hours/rate paid incorrectly.	L	Council authorises salary rate (using approved scale) – reviewed annually.	Existing procedure 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.	Existing procedure adequate.
DIRECT COSTS, OVERHEAD EXPENSES & DEBTS	Goods not supplied but billed.	L	Procedure set out in Financial Regulations.	Existing procedure adequate.
	Invoice incorrectly calculated or recorded.	L	Reported and approved at council meetings.	

	Cheque payable incorrect.	L	Both signatories make checks and initials stub and invoice.	
	Unpaid invoices.	L	Pursued by Clerk and reported to Council.	
ELECTION COSTS	Risk of an election cost.	L/M	Risk higher in election year. When due Clerk 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, comparison to budget and anticipated monthly balance is produced at each council meeting for approval.	Existing procedure 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.	
STAFF	Loss of key personnel (Clerk).	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 procedure adequate.
	Fraud by staff.	L	Fidelity Guarantee requirements adhered to.	
	Actions undertaken by staff.	L	Provide Clerk with full training, reference books, access to assistance and legal advice (NALC or NPTS/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 income or performance.	M	Regularly inspected, maintenance carried out if required.	Existing procedure adequate.

			All assets are insured and reviewed annually.	
	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 procedure 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 are displayed accordingly to legal requirements.	Existing procedure adequate.
	Business Conduct.		Business conducted at council meetings should be managed by the Chair as set out in Standing Orders.	
COUNCILLORS INTERESTS	Conflict of interest.	M	Declarations of interest to be documented/minuted and any conflict addressed as set out in Standing Orders.	Existing procedure adequate.
	Register of Members Interests.	L	Councillors have responsibility of updating their register (notify Clerk).	
INSURANCE	Public Liability (statutory)	L	Annual review carried out (before date of renewal).	Existing procedure 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 procedure adequate.
	Overspend on services.	L	Clerk to investigate and report to Council.	
LEGAL POWERS	Illegal activity or payments.	L	All activity and payments within the powers of the Parish council – to be resolved and minuted at Parish Council meetings.	Existing procedure adequate.

DATA PROTECTION	Policy & Provision.	L	The Council is registered with the Information Commissioners Office – reviewed annually.	Existing procedure adequate.
FREEDOM OF INFORMATION ACT	Policy & Provision	L	The Council has 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. All requests reported to the Council.	Existing procedure adequate.
SMOKING LEGISLATION	Failure to display appropriate notices.	L	Bus shelter – No smoking sign 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.	Existing procedure adequate.
PLAY AREA	Loss of use of play equipment.	M	Continue regular inspections (weekly/monthly) 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 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 (weekly/monthly)	Existing procedure adequate.
NOTICE BOARDS	Risk/damage/Injury to public due to unsafe structure.	M	Continue regular inspections (weekly/monthly).	Existing procedure adequate.
STREET FURNITURE	Risk/damage/injury to public due to unsafe structures.	M	Dog Bins – Litter Bins – Salt Bins – Benches –	Existing procedure adequate.

			<p>No formal programme of inspections – all reports of faults/damage to council are dealt with.</p> <p>District Council are responsible for emptying Dog and Litter bins.</p> <p>The Council does not spread salt from bins in order to avoid liability from doing so.</p>	
SAM II Sign	<p>Roadside accidents</p> <p>Lifting Heavy Equipment</p> <p>Risk/damage/injury to public due to unsafe equipment</p>	M	<p>Risk Assessments carried out by Cllr responsible.</p> <p>Personal Protective Equipment Issued.</p> <p>Public Liability Insurance in place.</p>	Existing Procedures adequate.
MEETING LOCATION	Adequacy/Health & Safety	L	All Council meetings are held at the Village Hut 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 in Clerk's home – Clerk to monitor.	Existing procedure adequate.
COUNCIL RECORDS – PAPER	Loss through theft, fire or damage.	M	<p>All records stored at Clerk's house. Older more historical records are in the Norfolk Record Office.</p> <p>Deeds are in the care of Ward Gethin Archer.</p>	Existing procedure adequate.
COUNCIL RECORDS – ELECTRONIC	Loss through theft, fire, damage or corruption of computer.	M	Monthly back up of all files are held by the Chairman.	Existing procedure adequate.