

# Hutton Henry Parish Council



## Annual Risk Management Scheme

Approved 14<sup>th</sup> November 2022  
To be reviewed November 2023

## **Introduction**

- The Parish Council is responsible for establishing arrangements for the management of risk.
- Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that enable the Parish Council to identify all potential risks inherent in the place or practices.
- This document has been produced to enable the Parish Council to assess the risks that it faces, and to satisfy itself that it has taken adequate steps to minimise those risks.
- Based on the assessment the Council will take all practical and necessary steps to reduce or eliminate the risks.

## **Policy and Procedures**

1. The management of risk requires assessment of the likelihood of an incident occurring, and its impact if it does occur. This assessment uses 'High', 'Medium' or 'Low'. If the likelihood is high, special measures will be taken to reduce the level of risk, or the risky activity removed completely.
2. If the score is low, moderate measures may be sufficient to control or eliminate the risk.
3. When considering any new activity, the Clerk will prepare a draft risk assessment including risk management proposals for consideration and adoption by the council.
4. Risk policy statements and consequential risk management arrangements will be reviewed by the Council annually.

## Hutton Henry Parish Council: Risk Assessment 2022 / 2023

Approved: Monthly Meeting, 14<sup>th</sup> November 2022

To be reviewed: November 2023

FINANCIAL AND MANAGEMENT				
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/
Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	Unavailability of signatories	L	Five independent authorised signatories confirmed - cheques require only two signatories	Annually
	Parish Hall unavailable for meeting	L	Rearrangement of meeting to convenient date Relocation to St Francis Village Hall or Millbank Methodist Church.	
	Non-Quorum	L	Rearrangement of meeting if necessary –To inform Clerk of non-attendance in advance and Clerk to rearrange meeting	
	Failure to retain or secure the necessary number of Members to for a Council	M	Maintain an up-to-date attendance register. Advertise for an election immediately if a vacancy exists Co-opt Members where no election held	
	Parish Clerk not available for meeting	L	Member to take on role temporarily	
	Parish Clerk not available and unable to access to information	L	The Chair has a sealed envelope with key log in information should the Clerk be unavailable.	
	Loss or theft of records	L	Meeting minutes are upload to the PC webpage (June 2018 – date), minutes prior to this are stored at DCC Archives. Records are backed up frequently to an external hard drive and the Cloud.	
Precept	Precept is too high/Adequacy of precept	L	Precept based on sound financial budgeting and set by end of December each year, forwarded to DCC in January each year	Annually
		L	Detailed justification for precept setting	

To ensure compliance with the Acts of Parliament, Council's financial regulations and code of conduct.	Inadequate records/ financial irregularities	L	Financial records to be presented at each meeting for members acceptance	Annually
	Invoices received late or incorrect			
	Errors regards banking e.g. charges, cheques not cashed	L	Members receive all information and view bank statements monthly	
	Loss of cash through theft or Dishonesty	L	Budgets reviewed quarterly	
	Lack of knowledge of regulations and codes.	M	Ensure that all Councillors have available relative Acts. That a Code of Conduct, Standing Orders and Financial Regulations are in place. Highlight essential parts and provide training where relevant.	
	Absence of standing orders	M	Ensure that Standing Orders are produced, adopted by Council, understood by Councillors, and reviewed annually	
	Actions by the Parish Council outside its powers laid down by Parliament.	M	As above but ensure that powers are highlighted or extracted into effective summary.	
	Lack of commitment to regulations and procedures.	L	Regular reference to appropriate regulations in agenda items. Delegation of responsibilities to individual councillors.	
Items purchased without proper tendering procedures not providing value for money or resulting in accusations of commercial favouritism.	L	Ensure that all councillors are aware of regulations re budgetary control and tender procedures. Introduce practice of estimates for all purchases over a figure agreed in the financial regulations.		
Payments made without prior approval and adequate control.	L	Ensure all payments are approved in Council meetings and recorded in minutes. Where prior payment is required, this is approved by the Chair or Vice Chair. Online banking transactions require dual authorisation. Keep cash payments to a minimum and avoid if possible.		
VAT not properly accounted for, resulting in overclaims and large demands from C&E.	L	Ensure appropriate publications held and that Clerk has good knowledge of regulations.		

Reporting and auditing	Not observing requirements for information, communication, and compliance	L	Internal and external audit recommendations always implemented	Annually
Best value Accountability	Work awarded incorrectly	L	Normal Parish Council practice would be to seek, if possible, more than one quotation for any substantial work required to be undertaken or goods.	Annually
	Overspend on services	L		
Salaries and assoc. costs	Salary paid incorrectly	L	Salaries are managed by DCC on behalf of the council	Annually
	Unpaid Tax & NI contributions to the Inland Revenue	L	Tax & NI contributions are managed by DCC on behalf of the council	Annually
Employees	Loss of key personnel	L	Reference to the Continuity Plan should be made in case of loss of key personnel.	Existing procedure adequate.
	Fraud by staff	L	The requirements of the Fidelity Guarantee insurance to be adhered to with regards to Fraud.	Reviewed annually
	Actions undertaken by staff	L	The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role.	Membership of the SLCC. Monitor working conditions, safety requirements and Insurance regularly. Appraisal system
	Health & Safety Job description is not fit for purpose	L	Is reviewed in line with requirements	
Councillors allowances	Councillors over-paid Income tax deduction	L	No allowances are allocated to parish councillors	No procedure required
Election costs	Risk of an election cost	M/ H	Risk is higher in an election year. When an election is due the Clerk will obtain an estimate of costs from the County Council for a full election and an uncontested election. There are no measures which can be adopted to minimise the risk of having a contested election as	May 2025

			this is a democratic process and should not be stifled. £4,000 to be earmarked for elections within capital account.	
Annual return	Submit within time limits	L	Annual Return is completed and signed by the Council, submitted to the internal auditor for completion and signing then checked.	Existing procedures adequate
Minutes/ Agendas/ Notices Statutory documents	Accuracy and legality	L	Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements.	Existing procedure adequate.
	Business conduct	L	Minutes are approved and signed at the next Council meeting.	Guidance/ training for Chair is undertaken.
	Notice of meeting	L	Minutes and agenda are displayed according to the legal requirements. Business conducted at Council meetings should be managed by the Chair.  A notice of meeting, including the agenda are placed on the notice board in each village, on PC Facebook and on the Council's website giving the required notice for each meeting	Members to adhere to Code of Conduct.
Members interests	Conflict of interest	L	Although not a requirement, the declaring of interests by members at a meeting should be an obvious process to remind Councillors of their duty and should remain on the agenda.	Existing procedure adequate.
	Register of Members Interests	M	Members are required to declare an interest in any item of business and this is recorded in the minutes.  Completed 'Register of Financial & Other Interest' Forms are submitted to the Monitoring Officer and regularly reviewed.  Register of Members Interest forms should be reviewed regularly by Councillors.	Members take responsibility to update their Register.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L L	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Employers and Employee liability insurance is a necessity and must be paid for. Ensure compliance measures are in place. Ensure Fidelity checks are in place.	All undertaken and reviewed annually.

Data protection	Policy Provision	L	Registration with the ICO GDPR implemented Confidential documents are locked away	Annually
Freedom of Information	Policy Provision	L	The Council has a model publication scheme for Local Councils in place.	Annually
<b>PHYSICAL EQUIPMENT OR AREAS</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H / M / L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/</b>
Assets	Loss or Damage Risk/damage to third party(ies)/property	L	Play area inspected, assessed and repaired by DCC and Rospa	Annual review of contract
Maintenance	Poor performance of assets or amenities Loss of income or performance Risk to third parties	L	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for these repairs are actioned and authorised in accordance with the correct procedures of the Parish Council. All assets are insured and reviewed annually.	Reviewed annually
Notice boards	Risk/damage/injury to third parties Roadside safety	L	Parish Council has three notice boards – Hutton Henry, Station Town and Station Town cemetery. All locations have approval by relevant parties, insurance cover, inspected regularly by the Groundsperson - any repairs/maintenance requirements brought to the attention of the Parish Council.	Existing procedures adequate
Street furniture	Risk/damage/injury to third parties	L	The Parish Council is responsible for seats in the village and covered by insurance. No formalised programme of inspections is carried out, all reports of damage or faults are reported to Council and/or dealt with	Existing procedures adequate
Meeting location	Adequacy Health & Safety	L	The Parish Council Meetings are held at the Parish Hall. The premises and the facilities are adequate for the Clerk, Councillors and Public who attend from Health & Safety and comfort aspects.	Existing location adequate
Council records -	Loss through: theft	L	Minutes and correspondence now lodged with the DCC archivist Documents stored digitally through the cloud and PC website. Clerk holds	Annually

paper	fire damage		a backup of hard drive.	
To identify and regularly review the Council's priorities.	Lack of knowledge of how to set objectives, set priorities, and identify risks to their achievement.	L	All councillors to be made aware of need for objectives and identification of risk. Attend training sessions if practicable.	Annually
	Lack of commitment by Council Members	L	Add risk assessment to agenda at least annually, reviewing items, and results against those items.	
	No risk analysis carried out.	M	As above. Ensure that completion of the risk assessment is given high priority, as a requirement of the Audit Commission	
	No steps taken to combat identified risks	M	As above.	
To influence Government and other organisations to fulfil the requirements of the Parish population.	Lack of effective lines of communication with other organisations.	M	Note all communication lines that are essential or beneficial and make information available to Councillors. Establish contacts by name and where possible face-to-face.	Annually
	Lack of effective lines of communication with parishioners.	M	Take every opportunity to publicise role of Parish Council Effective use of Notice Boards and social media. Create Parish plan through the use of parishioner's views from questionnaires and public meetings. Use key issues to raise profile of Parish Council and to test parishioners' views.	
	Lack of preparation on subjects requiring influence.	M	Ensure that all Councillors are aware of need for careful research and are guided as to where to obtain relevant information on issues under discussion.  As above. Experienced councillors to assist newcomers and provide relevant training where necessary	
To ensure that all councillors are aware of their responsibilities, and possible	Lack of confidence by Parish Councillors.	L		
	Lack of knowledge of possible culpability of Councillors.	M	Creation of standing orders and familiarisation with those where greatest risk occurs.	
	Lack of education of Councillors regarding culpability.	M	As above. Delegate responsibility to one or two experienced Councillors to assist newcomers to understand culpability.	



liabilities, and to provide adequate insurance cover for all possible risks.			Attend any training courses available.	
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