

Hawthorn Parish Council



Annual Risk Management Scheme

Approved November 2021

To be reviewed November 2022

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 any and 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.

Hawthorn Parish Council: Risk Assessment 2021 / 2022

Approved : Monthly Meeting, 15th November 2021

To be reviewed : November 2022

FINANCIAL AND MANAGEMENT				
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/
Covid Restrictions	Paying cheques Paying salaries Request to pay invoices on line although HPC does not have that facility	H	On a temporary basis the Clerk is paying personally online payments. Cheque payable to the clerk are signed by signatories in order the Clerk can be repaid.	As soon as pandemic over
Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	Unavailability of signatories Community Centre unavailable for meeting Non-Quorum	L	Three independent authorised signatories confirmed - cheques require only two signatories Rearrangement of meeting to convenient date Relocation to Church	Reviewed May 2017 Annually
		L	Rearrangement of meeting if necessary –To inform Clerk of non-attendance in advance and Clerk to rearrange meeting	Annually
Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	Parish Clerk not available for meeting Parish Clerk not available and unable to access to information	L	Member to take on role temporarily	Annually
		L	Information is kept centrally on drop box – all Cllrs able to access information.	
Precept	Precept is too high/Adequacy of precept	L L	Precept based on sound financial budgeting and set by end of December each year, forwarded to DCC in January each year Detailed justification for precept setting	Annually
Financial	Inadequate records/ financial irregularities Invoices received late or incorrect	L	Financial records to be presented at each meeting for members acceptance	Viewed Monthly at meeting

Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/
Financial	Errors with regards banking e.g. charges, cheques not cashed	L	Members receive all information and view bank statements monthly	Quarterly
	Loss of cash through theft or Dishonesty	L	Budgets reviewed quarterly	Annually
Reporting and auditing	Not observing requirements for information, communication and compliance	L	Internal audit recommendations always implemented No external audit	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. Always undertaken.	Annually
	Overspend on services	L		
Salaries and assoc. costs	Salary paid incorrectly	L	Clerks salary paid ½ yearly by BACS	Annually
	Unpaid Tax & NI contributions to the Inland Revenue	L	Parish obligation	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.	
	Health & Safety Job description is not fit for purpose	L	Is reviewed in line with requirements	Membership of the SLCC. Monitor working conditions, safety requirements and Insurance

				regularly. Appraisal system
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 this is a democratic process and should not be stifled. £3,000 to be earmarked for elections within capital account and £200 annually	Reviewed and amended 2018
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/
Annual return	Submit within time limits		Annual Return is completed and signed by the Council, submitted to the internal auditor for completion and signing then checked. No external audit now undertaken.	Existing procedures adequate Reviewed 2018
Minutes/ Agendas/ Notices Statutory documents	Accuracy and legality Business conduct	L L	Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Minutes and agenda are displayed according to the legal requirements. Business conducted at Council meetings should be managed by the Chair.	Existing procedure adequate. Guidance/training for Chair is undertaken. Members to adhere to Code of Conduct.
Members interests	Conflict of interest Register of Members Interests	L M	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. Register of Members Interest forms should be reviewed regularly by Councillors.	Existing procedure adequate. 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 regularly. Review insurance provision annually. Review of compliance. Insurance increased to cover new play area
Data protection	Policy Provision	L	Registration with the ICO GDPR implemented	Annually
Freedom of Information	Policy Provision	L	The Council has a model publication scheme for Local Councils in place.	Reviewed 2018

PHYSICAL EQUIPMENT OR AREAS

Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/
Assets	Loss or Damage Risk/damage to third party(ies)/property	L	Playing fields are 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	Risk/damage/injury to	L	Parish Council has two notice boards sited around the village. All	

boards	third parties Roadside safety		locations have approval by relevant parties, insurance cover, inspected regularly by the Chairman - any repairs/maintenance requirements brought to the attention of the Parish Council. Keys held by the Chairperson. New noticeboards on order	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	Seeking to replace old with new Existing procedures adequate
Meeting location	Adequacy Health & Safety	L	The Parish Council Meetings are held at the community centre. The premises and the facilities are considered to be adequate for the Clerk, Councillors and Public who attend from Health & Safety and comfort aspects.	Existing location adequate
Council records - paper	Loss through: theft fire damage	L	Minutes and correspondence now lodged with the DCC archivist Other records now in dropbox .	Annually