

## LONGHAM RISK ASSESSMENT AND MANAGEMENT POLICY

Date of Approval: 17<sup>th</sup> July 2023

Review Date: Annually

Longham 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<br>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. Monthly 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/General Power of Competence.   | 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.  |                              |

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|                      | Bank transfers/Cheques payable incorrect.                             | L   | Both signatories make checks prior to authorising payment/signing cheque.   |                              |
|                      | 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 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.<br>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 and/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. |

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| MAINTENANCE   | Reduced value of assets or amenities – loss of income or performance. | M | Regularly inspected, maintenance carried out if required.<br>All assets are insured and reviewed annually.   | Existing procedure 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 procedure adequate. |
|   | Financial irregularities.   | L | Records subject to regular monitoring, internal and external audit.  |                              |
| 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 according 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 | Procedure 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. |

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| DATA PROTECTION  | Policy & Provision.  | L | The Council is registered with the Information Commissioners Office – renewed annually.  | Existing procedure adequate. |
| FREEDOM OF INFORMATION ACT                             | Policy & Provision   | L | The Council has a model publication scheme for Local Councils in place.<br>No requests to date, however, a request can require many hours of additional work for the Clerk.<br>All requests reported to the Council. | Existing procedure adequate. |
| SMOKING LEGISLATION                                    | Failure to display appropriate notices.                            | L | No smoking signs displayed (where applicable) 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.<br>All councillors are offered training.<br>Clerk has access to both NALC and/or NPTS and SLCC resources.                   | Existing procedure adequate. |
| PROPERTY – LAND (X 3 – SEE ASSET REGISTER FOR DETAILS) | Loss/damage to property.<br>Risk/damage/injury to public.          | M | Continue regular inspections. (monthly)  | Existing procedure adequate. |
| CLAY PITS PROJECT                                      | Risk/damage/injury to contractors or public.                       | M | Risk assessment carried out as required by Clay Pit Warden.  | Existing procedure adequate. |
| GRASS CUTTING AT CHURCH                                | Risk/damage/injury to contractor                                   | M | Risk assessment carried out twice yearly, as advised by Insurance Company  | Existing procedure adequate. |
| PLAYING FIELD  | Risk/damage/injury to public due to unsafe structures.             | M | Continue regular inspections (monthly)<br>Annual professional inspection carried out to play equipment. Appropriate advisory signage displayed.  | Existing procedure adequate. |
| VILLAGE SIGN   | Risk/damage/Injury to public due to unsafe structure.              | M | Continue regular inspections (monthly)   | Existing procedure adequate. |
| BUS SHELTER  | Risk/damage/injury to public due to unsafe structure.              | L | No smoking sign displayed.<br>Continue bi-annual inspection.   | Existing procedure adequate. |

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| NOTICE BOARDS (x2)           | Risk/damage/Injury to public due to unsafe structure.       | M | Continue regular inspections (bi-monthly).   | Existing procedure adequate. |
| STREET FURNITURE             | Risk/damage/injury to public due to unsafe structures.      | M | Dog Bins & Bench (x2)<br>No formal programme of inspections – all reports of faults/damage to council are dealt with.<br>District Council are responsible for emptying Dog bins. | 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 in Clerk's home – Clerk to monitor.  | Existing procedure adequate. |
| COUNCIL RECORDS – PAPER      | Loss through theft, fire or damage.                         | M | All current records stored at Clerk's house. Older more historical records are in the Old School Room and the Norfolk Record Office.   | Existing procedure adequate. |
| COUNCIL RECORDS – ELECTRONIC | Loss through theft, fire, damage or corruption of computer. | M | All files saved in the Cloud – Chairman has link. Monthly back-up to hard drive.   | Existing procedure adequate. |