HORMEAD PARISH COUNCIL

RISK ASSESSMENT

Adopted 18th July 2024
Reviewed annually
Re-adopted every 4 years (After Election)

Notes

"The greatest risk facing a local authority is not being able to deliver the activity or services expected of the Council."

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the employer to identify any and all potential risks inherent in the place or practices. Based on a recorded assessment the employer should then take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible. Making sure that all employees are made aware of the results of the risk assessment.

This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. In conducting this exercise, the following plan was followed:

- Identify the areas to be reviewed
- Identify what the risk may be
- Evaluate the management and control of the risk and record all findings
- Review, assess and revise if required

FINANCIAL AND MANAGEMENT				
Subject	**Risk(s) Identified**	**H / M / L**	**Management/Control of Risk**	**Review/Assess/Revise**
Precept	Adequacy of precept in order for the council to carry out its statutory duties	L	To determine the precept amount required, the Parish Council regularly receives budget update information from the Clerk (and RFO) and the precept is an agenda item at full Council. At the precept meeting Council receives a budget update report, including actual position and projected position to year-end and indicative figures or costings obtained by the Clerk. With this information the Council budgets for the required monies for standing costs and projects for the following year and applies specific figures to budget headings, the total of which is resolved to be the precept amount to be requested from East Hertfordshire District Council (EHDC). This figure is submitted by the Clerk in writing to EHDC The Clerk informs Council when the monies are received.	Existing procedure adequate (Budget proposal PC meeting November and precept PC meeting January)
Financial records	Inadequate records Financial irregularities	L	The Council has Financial Regulations which set out the requirements.	Existing procedure adequate. Review Financial Regulations annually

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Bank and Banking	Inadequate checks Bank mistakes	L	The Council has Financial Regulations which set out the banking requirements. Monthly bank reconciliation.	Existing procedure adequate Review Financial Regulations annually
Cash/Loss	Loss through theft or dishonesty	L	The Council has Financial Regulations which set out the requirements. Cash/cheques received are banked promptly. There is no petty cash or float.	Existing procedure adequate Review Financial Regulations annually
Reporting and auditing	Information communication	L	Financial information is a regular agenda item (Finance Report) and discussed/reviewed and approved at each meeting. The Parish Council accounts are internally audited annually as part of the Annual Governance and Accountability Return (AGAR).	Existing procedure adequate
Grants and support - payable	Power to pay Authorisation of Council to pay	L	All such expenditure goes through the required Council process of approval, minuted and listed accordingly if a payment is made using the S137 power of expenditure.	Existing procedure adequate Parish Councillors request S137 rules if required.
Grants - receivable	Receipts of Grant	L	Parish Council receives a Litter Picking Grant which is identified as a separate budget area. The payment is divided into 12 equal payments and paid to the litter picker by bank Standing Order. One-off grants would come with terms and conditions to be satisfied.	Existing procedure adequate
Best value Account-ability	Work awarded incorrectly Overspend on services	L M	Normal Parish Council practice would be to seek, if possible, more than one quotation for any substantial work required to be undertaken or goods or services supplied. For major contract services, formal competitive tenders would be sought. If a problem is encountered with a contract the Clerk would investigate the situation, check the quotation/tender, research the problem and report to Council. This is covered in the Financial Regulations.	Existing procedure adequate. Review of Financial Regulations annually
Salaries and assoc. costs	Salary paid incorrectly Unpaid Tax & NI contributions to the Inland Revenue	L	The Parish Council outsources the payroll administration and reporting to HMRC.	Existing payment system is adequate Review regularly
Employees	Fraud by staff Actions undertaken by staff Health & Safety	L	The requirements of the Fidelity Guarantee insurance to be adhered to with regards to Fraud. The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role.	Existing procedure adequate. Membership of appropriate bodies Monitor working conditions, safety requirements and insurance regularly.
Councillor allowances	Councillors over-paid Income tax deduction	Negative	No allowances are allocated to Parish Councillors.	No procedure required
VAT	Re-claiming/charging	L	The Council has Financial Regulations which set out the requirements. VAT is claimed regularly and is subject to internal audit.	Existing procedure adequate.
Audit - Internal Audit	Completion within time limits	L	The Clerk prepares the end of year financial information to meet Internal Audit requirements. Internal auditor is appointed by the Council. Internal auditor is supplied with the relevant documents to audit and the form to complete and sign for the AGAR.	Existing procedure adequate

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Annual Return (AGAR)	Completion/Submission within time limits	L	The Annual return (AGAR) is completed as required and the relevant components submitted within the prescribed timeframe to the appointed external auditor.	Existing procedure adequate
Legal powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved and minuted at full Parish Council Meetings as the Financial Regulations prescribe.	Existing procedure adequate
Minutes/ Agendas/ Notices Statutory documents	Accuracy and legality Business conduct	L	Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements and best practice guidelines. Minutes are approved and signed at the following 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 to Chair should be given (if required). Members to adhere to Code of Conduct.
Members interests	Conflict of interest Register of Members interests	L M	Declaration of interests by members at Council meetings. This is a standing agenda item. 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	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Employers and employee liabilities is a necessity within policies and must be paid for. Ensure compliance measures are in place. Ensure Fidelity checks are in place.	Existing procedure adequate Review insurance provision annually. Review of compliance
Data protection	Policy Provision	L	The Council is registered with the Information Commissioner Office. The Parish Council has a published Privacy Notice in accordance with the General Data Protection Regulations.	Ensure annual renewal of registration. Review Privacy Notice
Freedom of Information Act	Policy Provision	L M	The Council has a publication scheme (using the model publication scheme from the Information Commissioners Office). If a substantial request arrives then this may require many hours of additional work. The Council is able to request a fee to supplement the extra hours.	Monitor and report any impacts of FOI requests
Transparency and accountability	Policy Provision	L	The Council complies with the Transparency Code for smaller authorities and publishes the required information within the time frames required as appropriate.	Existing procedure adequate

PHYSICAL EQUIPMENT OR AREAS				
Subject	**Risk(s) Identified**	**H / M / L**	**Management/Control of Risk**	**Review/Assess/Revise**
Assets	Loss or Damage Risk/damage to third party(ies)/property	L	An annual review of assets is undertaken for insurance provision, storage and maintenance provisions.	Asset register regularly reviewed in accordance with relevant requirements
Maintenance	Poor performance of assets or amenities 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/authorised in accordance with the correct procedures of the Parish Council. All assets are insured and reviewed annually. All public amenity land is inspected regularly by parish employees.	Existing procedure adequate. Ensure inspections carried out.
Notice boards	Risk/damage/injury to third parties Road side safety	L	Parish Council has one notice board sited in the village. The location has been approval by the relevant parties, has insurance cover, is inspected regularly by the Clerk and any repairs/maintenance requirements brought to the attention of the Parish Council. The Notice board is not secure as they are available for public notices in addition to the required parish notices	Existing procedure adequate
Street furniture	Risk/damage/injury to third parties	M	The Parish Council is responsible for various items which are covered by insurance. No formalised programme of inspections is carried out except in respect of the playground equipment which is formally inspected annually by an external safety organisation, all reports of damage or faults are reported to Council and/or dealt with.	Existing procedure adequate although further formality required in respect of land, seats, buildings, and trees
Meeting location	Adequacy Health & Safety	L	The Parish Council Meetings are held in the Meads Pavilion. The premises and the facilities are considered to be adequate for the Clerk, Councillors and members of the public who attend. Health & Safety and comfort aspects are considered adequate.	Existing locations adequate
Council records - paper	Loss through: theft fire	L M	The Parish Council records are stored at the home of the Clerk. Records include historical correspondence, minutes, bank records, land or property records, records such as personnel, insurance, salaries etc.	Damage (apart from fire) and theft unlikely so existing procedure adequate
Council records - electronic	Loss through: Theft, fire, damage corruption of computer	L	The Parish Council's electronic records are stored on the Clerk's computer. Back-ups of the files are taken at regular intervals.	Existing procedure adequate