

Hornton Parish Council

RISK MANAGEMENT SCHEME February 2021

| Subject | Risk Identified | H/M/L | Management control of risks | Review/Assess/Revise |
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| Councillors | Losing councillor membership | L | When a vacancy arises, there is a legal process to follow which either leads to a bye-election or co-option process. An election is organised by CDC. Co-option involves: advert, acceptance of applications, consideration of applicants and co-option vote at a Council meeting, followed by appointment. If there are more than 4 vacancies at any one time the Council becomes inquorate. The legal process of CDC appointing members takes place. | Existing procedures adequate |
| | Having more than 4 councillor vacancies at any one time | L | | Procedures of another body are adequate. |
| Members' interests | Conflict of Interest Register of Members' Interests | L M | Declaration of Interests on the agenda reminds Councillors of their duties. Register of Members' Interests forms should be reviewed regularly by Councillors. If their circumstances change, the clerk and monitoring officer should be informed. | Existing procedure adequate. Members take responsibility to update their register. |
| Financial records | Inadequate records Financial irregularities | L L | Council's Financial regulations set out requirements | To be reviewed annually |
| Insurance | Adequacy Cost Compliance | L L L | Insurance arrangements are reviewed annually before the policy is due for renewal. Employers and Employee liability is essential. | Review insurance provision annually |
| Bank and banking | Inadequate checks Bank mistakes Loss Charges | L L L L | Financial Regulations set out requirements for banking, cheques and reconciliation of accounts RFO reconciles the bank accounts once a month when the statement arrives. Any problems/irregularities are dealt with immediately. Authorised quarterly by a councillor. Council chooses replacements, but this takes time Any transactions to be carried out electronically must be authorised at Council meetings. | Existing procedure adequate |
| Internet banking | Loss of signatories | M | | |
| Cash/Loss | Loss through theft or dishonesty | L | See Financial Regulations Cash/cheques are banked within 3 banking days. There is no petty cash or float. Annual internal audit | Existing procedure adequate |
| VAT | Re-claiming regularly | L | Financial regulations set out requirements. VAT must be claimed at least annually. | Existing procedure adequate |
| Employees | Loss of clerk | L | Immediately advertise any vacancy (if permanent loss) and request help to cover temporary loss (unpaid if councillor). | None. |

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| | Actions undertaken by clerk | L | Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role. | Monitor working conditions, safety requirements and insurance regularly |
| | Health and safety | | Working from home/driving to/from Council meetings. The clerk's own car insurance covers travel to and from a place of work. | |
| Salaries and associated costs | Salary paid incorrectly Wrong hours/rate paid Wrong deductions/unpaid contributions of NI or tax | L L L | PC authorises appointment of employees through all council meetings. Salary rates are assessed annually by Council. The clerk's salary sheet details payments to HMRC and is inspected by the Council before being authorised. Clerk has contract of employment and job description Salaries are paid in arrears. If a meeting is cancelled or moved, then payment is authorised and reported at next meeting | Existing appointment system adequate |
| Litigation | Potential risk of legal action being taken against the Council | M | Public liability insurance covers general personal injury claims where the Council is found to be at fault, but not spurious or frivolous claims – these cannot be insured against. | Insurance is adequate for requirements but there is still risk of other claims |
| Grants – payment - receipt | | L L | PC regularly awards grants to Hornton Church and Hornton Chapel and may receive applications from other organisations Grants can only be awarded to the budget limit each year. PC does not receive regular grants (except for Council Tax and grass cutting). Ensure grant paid into correct account and application for any grant (successful or not) and amount is minuted. | Grant awarding policy |
| Audit - Internal | Completion within time limits | L | Internal auditor is appointed by Council, supplied with relevant documents to complete the audit and the form to complete and sign for the External auditor. Internal auditor provides internal audit report on completion. | Existing procedure adequate |
| Annual Return | Completion/Submission within time limits | L | Completed by the Council, submitted to internal auditor, agreed at Council meeting (Annual Governance statement first then Accounting statement) and then submitted to external auditor. Exercise of Electors' Rights to be followed using set dates. | Existing procedure adequate |
| Assets | Loss/Damage Risk or damage to third parties/property | L | Annual review of assets undertaken for insurance provision, storage and maintenance provisions | Asset register to be updated annually |
| Maintenance of assets | Poor performance of assets or amenities Risk to third parties | L | All assets owned by PC are regularly reviewed and maintained. All repairs and relevant expenditure for these repairs are actioned/authorised in accordance with correct procedures of the PC. All assets are insured and reviewed annually. | Existing procedure adequate |
| Meeting location | Adequacy Health and safety | L M | PC meetings are held at the pavilion. Premises and facilities are adequate for the councillors, clerk and public who attend the meetings. | Existing procedure adequate |
| Council records – electronic paper | Loss through theft, fire, corruption of computer | L M | Council's electronic records are stored on PC laptop, kept by the clerk. Back-ups are taken monthly and kept in a separate place from the laptop. Historic records are kept in the village hall | Existing procedure adequate Village hall fire procedure |
| Contracts | Ensure continued value for money coupled with continuity of work. | L | Approve the practice of seeking tenders for grass cutting maintenance and tree maintenance every three years by advertising in local press and issuing specifications and tender documents to contractors expressing an | Standing orders |

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| | | | interest. Tenders to be opened by the Chairman/ one councillor and Clerk and reported to next available Council meeting. | |
| | Ensure contractors have appropriate Public Liability Insurance. | L | Minimum cover £5,000,000. | Clerk to enquire at the start of new contract |
| Play Areas | Loss of use of play equipment. | L | Continue with regular maintenance and safety checks and take unsafe equipment out of service until repairs carried out. | Monthly checks Annual review |
| | Safety of equipment. | M | Monthly checksheets are received. ROSPA inspection October 2020 | Annual ROSPA check to take place |
| Trees | Safety of trees. | M | Trees are surveyed every 2 years by qualified tree surgeons. Work is undertaken as recommended by them. | Continue with regular maintenance and safety checks. |

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