

Oulton Parish Council

Risk Assessment and Management Policy

Document Control		
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Subject	Risk (s) Identified	Management of Risk	Assess/ Revise/ Review/ Adequate
Precept	Not requested or submitted late	The precept is decided along with budgeting each year between November and January.	Annually
	Not received	Clerk informs Council when monies are received. Reserves are in place to carry on business for a few months.	Annually
	Adequacy	Regular review of budget to actual. The Clerk takes care to anticipate costs for the forthcoming year.	Ongoing
Budget	Not set	Agenda item for December meeting with possibility of carrying forward to January meeting.	Annually
Reserves	Adequacy	Consider when setting the Budget. Draw up a 3-year plan. Adopt a Reserves Policy.	Annually
VAT	Not reclaimed or claimed outside of time limits	System in place to claim after the financial year end. Clerk is aware of what can and cannot be reclaimed. Clerk is familiar with VAT regulations.	Annually
Payments	Made by Clerk without the consent of Council	All payments are listed, are backed up with appropriate invoices and are scrutinised by Councillors at the meeting. Payments are no longer made by cheque and are made by BACS. The Clerk prepares a payment schedule for each meeting, and this is agreed and signed by two Councillors. The Clerk then starts the payments and the signatory Councillors log into the	Monthly

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	Invoice & payment disagree Not received	bank and authorise the agreed payments. A copy of all bank raised BACS payments are kept in the accounts records. Clerk and Council check every invoice and confirm the payment can be raised by signing the invoice. Clerk checks bank statement and notifies Council at each meeting of any uncleared items.	Monthly Monthly
Cash	Theft Dishonesty	The Council has Financial Regulations which set out the requirements however the parish council does not normally receive or pay out cash.	Ongoing
Cheque book	Lost/stolen	An emergency cheque book is kept securely and would only be used if a BACS payment was not possible. Cheques require two signatories. A cheque has not been written in over two years.	Ongoing
Bank	Not able to raise BACS payments	Sufficient number of signatories should be set up on the bank account. Review of bank signatories at every May meeting. Clerk is familiar with the process of updating signatories on a bank account.	Annually
Grants	No proper procedure	Minute council agreement with the power used to authorise payment. A Grant Awarding Policy has been adopted and referred to for every application.	Ongoing
Tenders	Insufficient bids	The Councils Financial Regulations clearly state the correct procedure for obtaining quotes on tenders. Any decisions must be voted for by the whole Council.	Ongoing
Election costs	Risk of an election cost	There are no measures which can be adopted to minimise the risk of having a contested election. Reserves are in place and will be in accordance with the adopted Reserves Policy.	Adequate
Audit – Internal	Not carried out	Internal Auditor is appointed by Council. Report from Internal Auditor is a May agenda item.	Annually
Annual Governance & Accountability Return	Not carried out	The Annual Governance & Accountability Return (AGAR) is completed and sent to the Internal Auditor for checking. It is then signed by Council at the May meeting. The Council is now over	Annually

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		the £25K limit so an External Auditor Report must be prepared, and documents uploaded on the Council website and in the noticeboards.	
Internal Control	Not carried out	Appoint a member of Council (non-signatory on bank) to carry out quarterly checks on accounts.	Quarterly
Salary	<p>Salary not worked out correctly</p> <p>Salary review not carried out</p> <p>Clerk appraisal not carried out</p> <p>Unpaid Tax & NI</p> <p>Year-end submission not carried out</p> <p>Non-compliance with pension regulations</p>	<p>Clerk provides Council with nationally agreed pay scale awards. Clerk uses HMRC PAYE software to process payments. Council check submission receipt from HMRC and the payslip.</p> <p>Clerk salary is reviewed in April of every year.</p> <p>Clerk appraisal is carried out each year in April.</p> <p>Tax and NI are submitted to HMRC via Real Time Information system.</p> <p>Clerk informs Council when the year-end submission has been completed.</p> <p>The Council needs to ensure that it has complied with its duties under employment legislation and has met its pension obligations.</p>	<p>Annually</p> <p>Annually</p> <p>Ongoing</p> <p>Ongoing</p> <p>Annually</p> <p>Ongoing</p>
Employees	<p>Long term sickness of Clerk</p> <p>Unexpected or tragic circumstances</p> <p>Employment disputes</p> <p>Actions undertaken by staff</p> <p>Loss of key personnel</p> <p>Lone/home working</p>	<p>A Councillor in the absence of Clerk would take minutes. Councillors would carry out any necessary actions.</p> <p>All documents, laptop and printer are held at Clerk's home. Chairperson has a sealed envelope which contains Council passwords.</p> <p>Good relationship maintained with Clerk. Training for Clerk and Councillors so roles are fully understood.</p> <p>The Clerk should be provided with relevant training, reference books and access to legal advice. Council are members of Norfolk Parish Training & Support.</p> <p>The Clerk's role would be advertised, and another appointment made. Monitor Clerk's hours, health, training and manage appropriately.</p> <p>Inspection of Clerk's home environment. Refer to Lone/Home Worker Policy.</p>	<p>Adequate</p> <p>Adequate</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Annually</p>

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	Fraud by staff	Requirements of the Fidelity Guarantee insurance to be adhered to.	Ongoing
Councillors	Loosing members	Legal process is followed when a vacancy occurs. If the Parish Council becomes inquorate then East Suffolk Council will provide a process to follow to appoint members to ensure business can carry on.	Adequate
Insurance - Council	Adequacy	Insurance cover reviewed annually at May meeting. Copy of asset register sent to Insurance Company. The policy wording must be checked each year to ensure the proposed cover is adequate. Employers and Employee liability insurance is a necessity. The Clerk must ensure Public Liability and Fidelity Guarantee insurance are both integral in the policy. Clerk to review policy at time of renewal.	Annually
	Action being taken against the Council	Public Liability insurance covers general personal injury claims where the council is found to be at fault.	Adequate
Insurance – Contractors	Not insured	Clerk to see copy of insurance certificate as soon as a contract has been agreed.	Ongoing
Health & Safety	Health & Safety policy not up to date	The Council has adopted a Health & Safety Policy. The Council does hold Public Liability Insurance in the event of an accident.	Ongoing
Website	Incorrect information published on website or non-compliance with required information	The Clerk has had training on what information should/must be on the website. The Clerk will be the only one responsible for updating the website. Documents need to be prepared in website accessibility format.	Ongoing
Documents – paper	Loss/theft/fire	Stored at Clerks home in a locked fire-proof cabinet. Smoke detectors fitted in Clerk’s home. Paper documents no longer required are then shredded.	Ongoing
Documents - digital	Loss/theft/ computer malfunction	All documents are automatically backed up to an external source. Emails and computer password protected. Only trusted sources are used to maintain/repair laptop. Laptop not left unattended in Clerk’s car.	Ongoing

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Minutes	Wrongly recorded minutes/ unpublished minutes	Draft Minutes are circulated well before the meeting. The minutes are agreed by all the Councillors then signed. The copy will be kept in a minute book.	Ongoing
Agenda	Not published in accordance with best practice	Agenda planning is completed in good time.	Ongoing
Freedom of Information	Not recording or keeping information correctly	The Council has published on their website a publication scheme and keep records in accordance with data retention guidelines.	Ongoing
Data Protection	Breeches of data/ not being compliant with legislation	The Council has passwords to protect files containing personal information.	Ongoing
Asset register	Lack of awareness	Asset list to be reviewed annually. Review adequacy of Public Liability insurance. Advise Insurance Company regarding disposal or purchase of assets.	Annually
Standing Orders	Working outside agreement	Clerk to ensure Council are working with the latest version. New Councillor provided with a copy of Standing Orders.	Ongoing
Financial Regulations	Working outside agreement	Clerk to ensure Council are working with the latest version. New Councillor provided with a copy of Financial Regulations.	Ongoing
Code of Conduct	Working outside of guidelines	Clerk provides all new Councillors with a copy of the Code of Conduct.	Ongoing
Register of Interests completed and updated	Perceived/actual conflict of interest	Councillors must advise Clerk of any changes to circumstances immediately they happen. Clerk reminds Councillors annually to review their Register of Interests.	Ongoing/ Annually
Declarations of Interest minuted	Perceived/actual conflict of interest	Councillors must advise of any declarations of interest so it can be minuted.	Ongoing

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Failure to follow proper procedure	Decisions being challenged and overturned	Clerk to keep updated with guidance and changes. Seek advice from Suffolk Association of Local Councils where appropriate.	Ongoing
Computer/ office equipment	Injury or harm from misuse, prolonged use Malfunctioning and causing harm	Clerk is aware of best practice whilst using the laptop; the need to take regular breaks, posture and position of screen. Clerk checks equipment regularly for defects and ensures equipment is used following recommended guidelines.	Ongoing
Fire	Risk of harm from fire	Smoke detectors installed in Clerk's home. Paper stored away from electrical appliances.	Ongoing
Trip hazards	Risk of tripping	Clerk ensures working environment is clutter free and access is clear.	Ongoing
Notice boards 1. <i>Oulton Community Centre</i> 2. <i>Camps Heath</i> , 3. <i>Park Meadow roundabout</i> 4. <i>Lime Avenue</i> 5. <i>Jenkins Green</i> 6. <i>Next to Telephone box in Camps Heath</i>	Theft Vandalism Doors/hinges broken	Monthly check by Clerk. Any identified defects are dealt with promptly. Noticeboards 4, 5 and 6 will be installed shortly.	Ongoing
Bus shelter 1. <i>Sands Lane – western end</i>	Vandalism	Monthly check by volunteer in the parish. Defects are reported to Clerk and dealt with promptly.	Ongoing
Grit bins 1. <i>Woods Lane, Camps Heath</i> 2. <i>Oulton Community Centre</i> 3. <i>Church</i>	Theft Vandalism Accident if bins do not contain grit	Location of grit bins are registered with Highways. Regular checks by volunteer and low levels reported to Highways.	Ongoing

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<p><i>Avenue – Camps Heath</i> <i>4. Holly Hill – Camps Heath</i> <i>5. Queens Highway/Woods Lane – Camps Heath</i></p>			
<p>Public seat <i>1. corner of Meadow Road and Oulton Street</i> <i>2. corner of Union Lane and Oulton Street</i></p>	<p>Theft Vandalism</p>	<p>Regular checks by volunteer in the parish. Defects are reported to Clerk and dealt with promptly.</p>	<p>Ongoing</p>
<p>Village Sign</p>	<p>Theft Vandalism</p>	<p>Regular checks by volunteer in the parish. Defects are reported to Clerk and dealt with promptly.</p>	<p>Ongoing</p>
<p>Phone Box</p>	<p>Vandalism Accidental injury</p>	<p>Regular checks by volunteers in the parish. Defects are reported to Clerk and dealt with promptly.</p>	<p>Ongoing</p>
<p>Dog Waste Bins <i>1. Cambrian Crescent</i> <i>2. Somerleyton Road</i></p>	<p>Theft Vandalism</p>	<p>Reliant on members of the public reporting any damage. Defects identified are dealt with promptly. Emptied by Norse.</p>	<p>Ongoing</p>
<p>Speed Indicator Device</p>	<p>Theft Vandalism</p>	<p>Regular checks by volunteers. Covered on insurance and padlocked. Training given on how to safely use equipment. Adopted a SID Risk Assessment & Management Policy.</p>	<p>Ongoing</p>
<p>Defibrillator <i>1. Oulton Community Centre</i> <i>2. Inside telephone box at Camps Heath</i></p>	<p>Theft Vandalism Out of date pads</p>	<p>Regular checks are carried out by volunteers for the Camps Heath defibrillator. The Clerk regularly checks the Oulton Community Centre defibrillator. Records are uploaded by the Clerk onto the Circuit. Checks made to ensure the defibrillators are registered with East Anglian Ambulance Service. Pads and batteries are replaced before expiry date.</p>	

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Oulton Community Centre meeting room	Accessibility	Wheelchair access to the Community Centre is possible. Doors might need to be held open and some assistance may be required. Meetings often finish when it is dark however the Clerk carries a torch to avoid risk.	Ongoing
Community Litter Pick	Safety Contamination Personal injury Manual Handling	Litter pick to follow the recommended guidance provided by East Suffolk Council. High viz vests and gloves to be worn. Insurance recommendations to be followed. Refer to Council's Health & Safety Policy.	Ongoing
Maintenance around Oulton	Safety Personal injury Manual handling	Maintenance carried out by volunteers. Clerk to carry out a risk assessment prior to any work being started. Refer to Council's Health and Safety Policy.	Ongoing