

Hungarton Parish Council – Risk Assessment

FINANCE & MANAGEMENT						
No.	Subject	Hazards Identified	RISK H/M/L	Management/Control of Risk	Next level measures	Review/Assess/Revise
1	Business continuity	The Council not being able to continue its business due to unexpected circumstance.	L	Historic paper files and records are kept at the Village Hall in a locked cabinet or at the Records Office. Clerk provided with a laptop for electronic file storage, e-communications and use of the Council website. Recent records are stored on the laptop and/or the website. Regular back-up of files made to an external store and secure copy of passwords held by an appointed councillor. In the event of the Clerk being indisposed, the council will take a decision on whether a temporary Clerk is required, initially approaching Clerks of neighbouring parishes.	In the event of sudden unavailability of Clerk, seek help from a temporary Clerk.	Annual review of back-up storage/location.
2	Precept	Adequacy of precept. Requirements not submitted to Harborough District Council (HDC). Amount not received from HDC.	L L L	The Parish Council receives budget update information at full council meetings and receives a full budget report at annual precept meetings, including actual and projected positions to the end of year with indicative figures or costings obtained by the Clerk. Councillors map out required funds for costs and projects for the following year the total of which is resolved to be the precept requested from HDC by the Clerk in writing. The Clerk informs the Council when the funds are received.		Existing procedure adequate.
3	Financial records	Inadequate records. Financial irregularities.	L L	The Council has Financial Regulations that set out the requirements. Councillors monitor spending and provide countersignatures/approvals. LRALC internal auditor carries out annual audit and reports any discrepancies, which are then corrected.	In the event that problems cannot be resolved internally, refer to HDC	Annual review of the Financial Regulations and when known to have changed.
4	Bank & banking	Inadequate checks. Bank mistakes.	L L	The Council has Financial Regulations that set out the requirements for banking and reconciliation of accounts. Bank errors would be discovered when the Clerk reconciles the bank accounts monthly and when statements arrive; this would be dealt with immediately by informing the bank and awaiting their correction.		Annual review of the Financial Regulations. Review bank signatories when necessary but especially after any AGM/election.
5	Reporting and auditing	Information communication. Compliance.	L L	The Council reviews the budget after six months. A full list of payments/receipts is provided at each meeting and balanced against bank statements. External auditor carries out annual audit in May/June.		Existing procedures adequate.

6	Direct costs Overhead expenses Debts	Billed goods not supplied or incorrectly invoiced. Payments not approved. Unpaid invoices.	L L L	The Council has Financial Regulations that set out the requirements. The Clerk checks each invoice for receipt of goods and accuracy. Each invoice payment is checked and approved by two bank account signatories. Unpaid invoices to the Parish Council are pursued and where possible, payment is obtained in advance.		Review the Financial Regulations when necessary.
7	Grants and support - payable	Payments not authorisation by council. Reputational damage. Ability to cover community needs from precept.	L L L	All such expenditure goes through the required Council process of approval, minuted and published accordingly. Parish Council reviews precept level annually.		Review grant process annually.
8	Grants - receivable	Receipts of Grant	L	The Council receives a regular grant from HDC annually - paid in two instalments. Receipt is reported to the Council at the next meeting of the Council. Any one-off grants awarded would come with terms and conditions to be satisfied and reported as required.		Existing procedures adequate.
9	Best value Accountability	Goods/services awarded incorrectly. Overspend on goods/services.	L M	As per Financial Regulations, Parish Council procurement practice is to seek, if possible, more than one quotation for any substantial service to be undertaken or goods purchased. For major contract services, formal competitive tenders would be sought. If a problem is encountered with a contract, the Clerk will investigate the situation, check the quotation/tender, research the problem and report to Council.		Review Financial Regulations annually or as necessitated by new requirements.
10	Salaries and assoc. costs	Salary paid incorrectly. Wrong hours paid. Wrong rate paid. False employee. Incorrect NI/Tax deductions, or non-payment to HMRC.	L L L L L	The Council authorises the appointment of all employees at Council meetings. Salary rates are assessed annually by the Council and applied on 1st April each year. The Council uses an external payroll service provider. The Clerk has a contract of employment and job description.		Existing appointment and payment system is adequate.
11	Clerk/Other workers (inc. casual)	Fraud or improper actions undertaken. Health & Safety	L L	The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role. Include in financial statement when setting precept. Membership of the Leicester, Leicestershire and Rutland Association of Local Councils to Monitor working conditions, safety requirements and insurance regularly	Parish Clerk subject to appraisal at councillor determined intervals. Appoint councillor with HR responsibility to oversee.	Existing procedure adequate.
12	Election costs	Risk of an election cost	L/M	Risk is higher in an election year. When an election is due the Clerk will obtain an estimate of costs from the Borough Council for a full election and an uncontested election.		Existing procedure adequate.

13	VAT	Re-claiming/charging	L	The Council has Financial Regulations that set out the requirements. VAT regulations are followed. Annual refund claims made.		Existing procedure adequate
14	Annual return	Submit within time limits	M	Employer's Annual Return is completed and submitted online and to the Inland Revenue within the prescribed time frame by the Clerk. Annual Return is completed and signed by the Council, submitted to the internal auditor for completion and signing then checked and sent on to the External Auditor within time limit. An extension is requested if required		Existing procedure adequate
15	Legal powers	Illegal activity or payments	L	All activity and payments within the powers of the Council to be resolved and minuted at full Council Meetings.		Existing procedure adequate
16	Council records - paper	Loss through: Theft/fire/damage	L	Council historic records are stored at the Village Hall in a locked cupboard and selectively archived at LLR record office. Records include correspondence, minutes, documents for ownership of property, records such as personnel, insurance, salaries etc. Current documents are held by the Clerk.		Review which documents should be archived to LLRRO every 10 years.
17	Council records - electronic	Loss through: Theft/fire/damage, or corruption of computer	M	Council electronic records are stored on the council laptop and selectively on the council's website.	Regular electronic file back-up to be held on a separate store.	Identify back-up storage.
18	Insurance	Adequacy. Cost. Compliance.	L L L	An annual review is undertaken (prior to policy renewal) of all insurance arrangements in place. Employers & Employee liability insurance is a necessity and must be paid for. Ensure compliance measures are in place.		Review insurance provision annually. Review of compliance.
19	Data protection policy & provision	Personal data breach.	L	The Council is registered with the Data Protection Agency. The Council has a formal policy on personal data breaches.		Ensure annual renewal of registration.
20	Freedom of Information Act	Policy Provision.	L	The Council has a model publication scheme for Local Councils in place. The Council is able to request a fee to cover the cost of information requested consumables and the Clerk's time.		Monitor and report any impacts of requests made under the FOI Act.
21	Meeting location	Adequacy. Health & Safety.	L M	Council Meetings are held at Hungarton Village Hall. The premises and facilities are considered to be adequate for the Clerk, Councillors and Public who attend from Health & Safety and comfort aspects. Maintenance is managed by the Village Hall Committee.		Ensure regular inspection of facilities takes place, especially with respect to accessibility and fire regulations.

ASSETS						
No.	Subject	Risk(s) Identified	H/M/L	Management/Control of Risk		Review/Assess/Revise
22	War memorial	Damage/Risk/Injury to third parties. Damage to the 'significance' of this listed structure.	L M	Regular informal maintenance and checks of memorial, steps and plants and hedges. Careful placement, anchoring, and regular care of temporary additions, such as wreaths (Remembrance period). Nothing to be attached to the listed structure. Soft landscaping maintained regularly. Once every decade or sooner if required, an assessment of the condition of the fabric of the structure is made, and professional repairs/maintenance where needed.	In the event of damage or vandalism remove damaged items and erect necessary warnings until resolved. Report to law enforcement and HDC.	Review annually or as necessitated.
23	Hungarton Neighbourhood Development Plan 2011-2031	Neighbourhood Plans cease to be part of National Planning Policy Framework. Community unwilling to undertake a new plan for 2031 to 2051.	M L	Review in 2026 and 2030. Continue to use NP when considering environmental and development proposals. Publicise and maintain the resource, and access to it, on the website.		Trigger interim reviews as planned and maintain profile of the Plan.
24	Street Lights	Loss or Damage. Risk/damage to third parties/property	L L	An asset register is kept up to date and insurance is held at the appropriate level for all items. A street lighting maintenance contract is in place with LCC Highways.	Interference or damage to be notified immediately to LCC Highways for action.	Existing procedure adequate.
25	Noticeboards	Risk/damage/injury to third parties. Loss or Damage.	L M	Council has one notice board @ the Village Hall. This location has approval by relevant parties, with insurance cover and inspected regularly by the Clerk. Noticeboard securely locked and key held by the Clerk. Repairs/maintenance requirements brought to the attention of the Council via the Clerk.	Interference or damage to cabinets to be notified immediately to Clerk - glass repairs to be made at soonest opportunity.	Existing procedure adequate.
26	Phone box	Risk/damage/injury to third parties. Loss or Damage.	L M	Council has one ex phone box sited in the village, currently used as a Library, with appropriate insurance cover. The box is inspected regularly by an appointed councillor. Any repairs/maintenance requirements brought to the attention of the Council via the Clerk.	Interference or damage to the box to be notified immediately to the council - glass repairs to be made as a priority.	Existing procedure adequate.
27	Defibrillator	Risk/damage/injury to third parties. Loss or Damage.	L M	Council has one defibrillator sited at the village 'Phone Box Library' with appropriate insurance cover. Defibrillator is inspected regularly by an appointed councillor. Any repairs/maintenance requirements brought to the attention of the Council by appointed councillor.	Interference or damage to the equipment to be notified immediately to the parish council - repairs to be made as a priority.	Existing procedure adequate.

28	Website Security/Content	Risk of website being hijacked. Risk of inappropriate or libellous content.	L M	Cuttlefish Multimedia Ltd appointed to maintain security and provide webmaster service. Communications Policy in force for postings on website and social media sites. Restricted admin rights. All postings to go through the Clerk.		Existing procedure adequate
LIABILITY						
No.	Subject	Risk(s) Identified	H/M/L	Management/Control of Risk		Review/Assess/Revise
29	Legal Powers	Illegal activity or payments. Committees taking illegal actions.	L M	All activity and payments made within the powers of the Council (not ultra vires) and to be resolved and minuted. Ensure committees/sub-committees established with clear terms of reference.		Monitor on a monthly basis.
30	Minutes/Agendas/ Notices/Statutory documents	Accuracy and legality. Business conduct.	L L	Minutes and agenda are produced by the Clerk in the prescribed method adhering to the legal requirements. Minutes & agenda are displayed according to the legal requirements. Minutes approved/signed by the Council. Business conducted at Council meetings to be managed by the Chair.		Guidance/training to Chair should be given (if required). Members to adhere to Code of Conduct.
31	Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessments regularly carried out to comply with requirements.		Ensure risk assessments carried out & insurance adequate.
32	Employer Liability	Non-compliance with employment law	L	Undertake adequate training and seek advice from LLRALC when needed.		Existing procedures adequate.
33	Legal Liability	Legality of activities. Proper and timely reporting via Minutes. Proper document control.	M L L	Clerk to clarify legal position on proposals and to seek advice when necessary. Council receives and approves Minutes at following council meetings. Retention of document policy in place.		Existing procedures adequate.
34	Safeguarding	Abuse of children or vulnerable adults using Parish Council controlled property.	L	Safeguarding policy in place. Individual training ongoing.		Existing procedures adequate.
COUNCILLORS' PROPRIETY						
No.	Subject	Risk(s) Identified	H/M/L	Management/Control of Risk		Review/Assess/Revise
35	Members interests	Conflict of interest.	M	Councillors have a duty to declare any interests at the start of council meetings. Register of Members Interest forms to be reviewed regularly by Councillors.	Members to take responsibility to update their Register.	Existing procedure adequate.
36	Members' behaviour	Inappropriate/disturbing behaviour at meetings	L	Model Code of Conduct adopted		Existing procedure adequate.
37	Reputation and communication	Poor perception of PC by community	M	The Council regular publish articles in the Hungarton News.	Website is being reviewed and updated.	Existing procedure adequate.