

Hascombe Parish Council Risk Assessment and Management

It is the responsibility of the members of the Parish Council to identify risks to which the Council is exposed, to review those risks and to establish systems to mitigate those risks. Major risks, if they occur, would have a severe impact on operational performance, the finances of the Council and on the reputation and trust placed in the Council by the public.

The risk assessment process for the Council can be summarised as follows:

- To identify risks
- To evaluate the risks in terms of the potential impact and the likelihood of their occurrence
- To identify policies and systems to manage the risks
- To identify any actions needed to either introduce these systems or strengthen them if already being practised
- To state the person or councillor/s responsible for each action

The Parish Council accepts risk assessment as an ongoing process but will review the total process regularly (as a minimum annually). Key risks are identified and updated and checks are made that the appropriate measures are in situ to avoid, reduce or control the risk.

Areas of potential risk:

- Financial risks
- Service/operational risks
- Organisational risks
- External factors and risks

FINANCIAL RISKS

Risk	Risk Level Impact - Likelihood	System of Management	Person/s Responsible	Action Required
Unrealistic budgets	L L	Council receives quotations/ tenders from contractors as required. Precept decided in January when expenses are carefully assessed and requirements are agreed.	Clerk and Councillors	Council considers actual spend for the current year and likely increases for the next year at its November meeting.
Expenditure rising above budget	L L	Quarterly review at Council meetings when expenditure against budget reported .	Clerk and Councillors	Quarterly agenda item to review spend against budget
Errors in banking	L L	Regular reconciliation of bank statements by Clerk reported to Council quarterly at scheduled Council meetings	Clerk	Chairman to initial each bank reconciliation
Unauthorised expenditure	M L	All expenditure authorised at Council meetings by Councillors before payment. ONLY exception is a Chairman's decision if needed for speed or other reasonable reasons	Clerk , Chairman, Councillors	
Financial controls and records	M L	Internet payments must be authorised by 2 persons being Clerk and a Councillor. Cheques must be signed by two authorised signatories and counterfoils signed appropriately. All invoices reviewed and signed by Chairman or deputy before payment.	Councillors & Clerk	Consider internal and external audit reports in September each year

Over expenditure on projects	L	L	Councillor/s identified to manage project with Clerk before start of project and this responsibility minuted.	Clerk and Councillor/s	
Cash Flow problems	L	L	Regular monitoring by Clerk and review of cash flow by Councillors quarterly at Council meetings	Clerk and Councillors	
Loss of funds due to fraud	M	L	Subject to internal controls as outlined above	Clerk and Councillors	Fidelity insurance up to £10k for councillors and clerk
Recovery of VAT	L	L	Clerk to submit repayment claims when outstanding VAT exceeds £100	Clerk and Councillors	Review as necessary
Review of investments to mitigate loss in value	M	L	Review annually	Clerk and Chairman	Review when setting precept - January

SERVICE / OPERATIONAL RISKS

Risk	Risk Level Impact - Likelihood		System of Management	Person/s responsible	Action required
Personal injury to member of the public, Councillor , Clerk, or contractor	M	M	Third party liability insurance in place to a value of £10m. Conditions of insurance to be checked annually before renewal Notice next to fountain re water not fit for drinking	Clerk and Councillors	Councillors to review insurance policies annually with advice from Clerk. To be included as an agenda item at relevant time
Poor performance by our contractors	L	L	Regular monitoring of any significant contract	Clerk and Councillors	
Protection of physical assets	M	L	Assets insured and insurance reviewed annually	Clerk and Councillors	Include in agenda at relevant time
Liability of owning and managing the Village Pond and the surrounding area	H	M	Insurance in place. Regular maintenance of the area with tight specifications agreed with contractor. Regular monitoring of contractor work and area especially paths and fencing.	Clerk , Councillors	Cllr Paul Lye appointed as responsible councillor. Ask advice from Waverley Countryside department re risk management of ponds. Advice to be obtained from SCAPTC. The Council need to agree and record how we manage the pond area
General -All property managed by Parish Council	L	L	List is reviewed at least annually for completeness and for appropriate inclusion on the insurance schedule. Inspect assets for damage and maintenance		See Aims and objectives list for action re assets

ORGANISATIONAL RISKS

Risks	Risk Level Impact - Likelihood	System of Management	Persons Responsible	Action Required
Councillors and Clerk propriety and observance of governance issues	M L	Annual register by Councillors of interests. Agenda item at all meetings for Councillors to state any interest in items on the agenda. Full minuting of those interests and any interests stated by members during the meeting. Members with prejudicial interests withdraw from the meeting when that agenda item is reached.	Clerk and each councillor individually	All councillors to review each other's interests annually or when there is a change
Failure to comply with external standards and local government law. Introduction of new statutory controls and new government regulations	L L	Training of and attendance at meetings by the Clerk and Councillors. This includes briefings by Waverley, SCAPTC and the Society of Local Council Clerks. Full adherence to the 'white' book (Charles Arnold Baker). Regular advice from Clerk and compliance with his/her instructions	Clerk and Councillors	Clerk advises council on perceived gaps in knowledge and training and of training courses.
Inadequate record document control	M L	Proper and timely reporting via the Minutes. Every meeting minuted and Councillors receive minutes without undue delay. Minutes approved by Council at the next meeting.	Clerk & Chairman	Clerk/Chairman to produce Minutes within 3 weeks maximum of the meeting
Physical safety of records and legal documents	M L	Records kept in secure locked premises – at present Clerk's home and in cabinet at Village Hall	Clerk	Clerk and Chairman to ensure dormant records are moved to locked storage,

				locations to be agreed
Failure to comply with Data Protection Act.	L	L	Registration under the DPA. Adherence to local government rules about data protection and access to information	Clerk Council registers under the DPA
Record system, failure of computer	L	L	All emails etc are in cloud via Skydrive. Email addresses for newsletter are not on Skydrive but could be reinstated from other records.	Clerk Clerk and Chairman to back up all data Password to be emailed to Chairman and to chair of Alfold and Loxwood.
Ensuring activities are within legal powers of the Council	L	L	Clerk clarifies legal position on any new proposal and, if in, doubt seeking advice from the Society of Local Council Clerks, SCAPTC or Waverley if needed	Clerk
Loss of Clerk	L	L	Clerk has notice period in contract of employment	Clerk Council has ability to hire temp clerk or help from adjoining parish

EXTERNAL FACTORS AND RISKS

Risks	Risk Level Impact - Likelihood	System of Management	Persons Responsible	Action Required
Severe weather conditions and other emergencies	L M		Cllr Kingham	Consider purchase of generator for village hall. Consider publicising a phone number to ring if help required in emergencies.

Risk management – adopted by Hascombe Parish Council

Signed Charles Orange Chairman

Dated 13th January 2014