

KETTLESTONE PARISH COUNCIL

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Risk Management

The Council is expected to carry out an annual assessment of the risks it is exposed to and identify any actions it considers necessary to minimise those risks, this is also good governance practice. The following table lists the risks involved and recommends necessary actions. The list may not be exhaustive and members should feel free to consider other risks not identified.

Service Area	Risk	Assessment / Recommendations	Level of Risk High / Medium / Low
Insurance cover: policy through Came and Co with AXA 2022-23 (3 year LTA to May 2023) (excess £250)	Public Liability (statutory)	£10m	low
	Hirers Liability	£5m	low
	Employers Liability (statutory)	£10m	low
	Officials Indemnity	£500,000	low
	Libel and Slander	£500,000	low
	Data protection	£500,000	
	Commercial Legal Protection	£500,000	low
	Equipment breakdown	£5,000	low
	Personal Accident (age 16-90)	capital benefits £100,000 temporary disablement £500pw (excl first 2 wks) up to 104 weeks	low
	Key Person Cover	£250 per week (£2,500 any one period)	low
	Defibrillators	£5,000	low
	Outside equipment	£2,732	low
	Street Furniture	£6,129	low
	Items not covered by (property damage) insurance 2 dog bins, 1 x grit bin	low	
Public injury	Public injury on property owned by Parish Council	Continue with regular inspections Public liability insurance maintained.	low
Payroll and other data	Loss of data on PC due to system fault	Filing boxes etc. used to store documents many of which are also held electronically on the computer which is regularly backed up. Annual back up on disc held by Chairman	low
Employees	Loss of services of employee	Immediately advertise any vacancy (if permanent loss). Request help from other local parish councils or Norfolk Association of Local Councils to provide temporary cover or employ temporary Clerk.	high
HR	grievance, disciplinary etc.	refer to standard policies Seek advice from other agencies such as Norfolk Assoc. of Local Councils	low
Administration	Payment arrangements	Continue with requirement to report all payments to Council for approval. Continue to require two signatures on cheques. Record the initials of the two signatories on cheque stubs.	low
Bank	Reconciliation	Continue bank reconciliation to cash book on receipt of each statement. Chairman to confirm balances as reported to Council are as on bank statements.	low
Agency advice	Acting incorrectly	Continue with membership of Norfolk ALC and SLCC	low

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Precept	Annual precept not the result of proper detailed consideration Requirements not submitted to the District Council	Council to continue to determine budget in the autumn and complete the relevant form for the District Council.	low
Bank and Banking (including cash)	Inadequate records financial irregularities Inadequate checks Bank mistakes Loss, Charges	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts. These are reviewed when necessary. The bank errors would be discovered when the Clerk reconciles the bank accounts once a month and correction would be requested. No petty cash.	low
Quotes / contracts	Non- compliance	Financial Regulation requires at least three quotations where expenditure exceeds £1,000.	low
Legal powers	Illegal actions	All activity and payments within the powers of the Parish Council to be resolved and minuted at Full Parish Council Meetings. Clerk to receive regular training and have / undertake CiLCA qualification. The 'Local Council Administration' to be used as reference point. Use of advice from Norfolk ALC, SLCC and Monitoring Officer at NNDC. Solicitor's advice to be taken for specialist projects.	low
Borrowings	non- compliance, inability to repay	Refer to Financial Regulations if required.	low
Salary and associated costs	Payments not made	Registered with HMRC as employer. Monthly electronic reminders for RFO set up. Respond to reminders from HMRC or Norfolk Pension Fund if payments missed.	low
Election Costs	risk of election costs	Adequate funds are ring-fenced and considered with budget	low
VAT	Refunds not claimed	Continue to claim yearly unless amount exceeds £1,000 and if so quarterly. Continue with requirement to report all income to Council.	low
Accounting	Inadequate monitoring of performance	Bank statements confirmed with bank reconciliation reported at Council meetings Nominated councillor to monitor budget and to carry out internal audit checks.	low
	Non-standard and/or non-compliant records kept	Continue to require adequate, complete and statutory financial records and accounts. Continue to carry out internal audit checks.	low
	Non-compliance with statutory deadlines for the completion/ approval/ submission of accounts and other financial returns.	Continue to ensure that all accounts and returns are completed and submitted by the deadlines. Continue to carry out internal audit checks.	low
	Non-compliance with internal audit requirements.	Retain the services of an internal auditor. Council to review all internal audit reports.	low
Section 137	Control of 'free' spending allowance	Amounts separately identified in minutes and cash book and annual budget so that cost centre is never exceeded.	low

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Minutes / Agenda / Notices / Statutory Documents	Accuracy and legality	The Council has Standing Orders which set out the requirements. The Council Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting: all pages initialled and signed by Chairman of meeting, filed sequentially and kept safe. Minutes and agenda are displayed according to the legal requirements. Business conducted at Council meetings should be managed by the Chairman. Councillors adhere to the Code of Conduct.	low
Members interests	Conflict of interest Register of Members interests	The declaring of interests by members at a meeting is an item on the agenda. Register of Members Interest forms should be reviewed regularly by Councillors.	low
Document control	Loss of documents	Filing boxes used to store documents many of which are also held electronically on the computer which is regularly backed up. Annual back up on disc held by Chairman	low
Data Protection	failure to comply	Registered with the ICO (ensure annual registration & review as necessary). Data Protection Policy in place Data Protection Officer – Clerk Data Protection Working Group Ensure councillors are adequately trained Information Audit Annual Report (or as required) to Full Parish Council meeting	high
Freedom of Information Act	failure to comply	The Council has a model publication scheme for Local Councils in place.	low
Electors' Rights	Legal liabilities not followed	Notices of meetings and annual audit posted on notice boards and accounts freely available annually, on website or on demand. Public speaking session provided at all Parish Council meetings.	low
Transparency Code	Failure to comply	In place since 2015	low
Service Area	Risk	Assessment / Recommendations	Level of Risk High / Medium / Low