

Hockley Heath Parish Council Risk Assessment Policy Audit

ORGANISATION

Risk	Level	Exposure	Policy	Action
Loss of Clerk	High	Council Public	Maintain continuity via WALC details of Locum Clerk service. Access all Council records via emergency procedures.	Council Chairman
Loss of RFO	High	Council Staff Public	WALC assistance to be sought for locum RFO.	Clerk Chairman
Loss of IT data	High	Council Staff Public	Data secured monthly on backup system. Help sought from local IT company. SAGE accounting Data to be backed up each month on council system and posting to one councillor.	Clerk
Loss of Councillor	Low	Members Public	Guide to casual vacancy filling document obtained from WALC.	Clerk

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FINANCIAL

Risk	Level	Exposure	Policy	Action
Loss of Council Assets	High	Councillors Staff Public	Theft / loss of assets insured for replacement cost. Internal auditor to review asset register and insurance. Clerk to check assets on an annual basis.	Clerk Internal Auditor
Theft / Fraud	High	Council	Regular scrutiny by Members of financial records. Proper recording in minutes of all approval for spending and powers under which spend is authorised. Regular budget monitoring by Members. Regular bank reconciliations review by Members. Regular review of financial regulations by Members. Review financial limits on Fidelity insurance to cash balances. Review of letter of appointment for Internal Auditor to include areas of risk – VAT, PAYE, cheque signing, adequacy of invoicing, powers and council income. Review of effectiveness of internal Auditors report. Committee. Council approval for changes to payroll authority.	Members Internal Auditor
Non-compliance with Standing Orders	Medium	Council	Regular scrutiny of Standing Orders by Members. Scrutiny of Standing Orders by Internal Auditor.	Members Internal Auditor
Injury / loss to recipient of Council service	High	Council Staff	Public liability insurance indemnity of £5million. Regular scrutiny of insurance by Members. Emergency policy to delegate authority to clerk to commit finances without prior approval of Council in emergency situation.	Council Clerk
Loss of Income	Low	Council Staff	Regular budget monitoring by Members to ascertain income. Cash Book reconciliation monitoring by Members. Annual monitoring of income stream levels (pavilion bookings etc.) Authority for Clerk/RFO to transfer funds between accounts.	Councillors Clerk

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DEMOCRATIC

Risk	Level	Exposure	Policy	Action
Defamation	Low	Members	Libel and Slander Insurance of £250,000. Members to periodically undergo Code of Conduct training.	Clerk Members
Compliance with Code of Conduct	Low	Members	Completion of signed acceptance of office to abide by the Council Code of Conduct. Annual review of Members interests.	Members
Representation on Outside Bodies	Low	Council Members	Council to review financial risks from decisions made by outside bodies in which it has members. Council to ensure that members of Charity Trusts review individual actions in line with Charity Commissioners website.	Members

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