

## **Hopton-on-Sea Parish Council**

### **Notes**

***The greatest risk facing a local authority is not being able to deliver the activity or services expected of the Council.***

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the employer to identify any and all potential risks inherent in the place or practices. Based on a recorded assessment the employer should then take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible. Making sure that all employees are made aware of the results of the risk assessment. This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. In conducting this exercise, the following plan was followed:

- ✍ Identify the areas to be reviewed.
- ✍ Identify what the risk may be.
- ✍ Evaluate the management and control of the risk and record all findings.
- ✍ Review, assess and revise if required.

### **PHYSICAL EQUIPMENT OR AREAS**

<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H / M / L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
Council records - electronic	Loss through: Theft, fire, damage corruption of computer	L	The Parish Council's electronic records are stored on a laptop owned by the Parish Council and held at the Parish Council office at the Village Hall complex, or at the Clerk's home address. File backups are automatic every weekday. The Chairman is provided with a back-up copy on a regular basis. Anti virus software is up to date. All records held in accordance with Data Protection Regulations.	Seagate manager backs up all computer files automatically. Existing procedure adequate.
Council records - paper	Loss through: theft fire damage	L  M	The Parish Council records are stored at the Parish Office, Village Hall Complex. All records held in accordance with Data Protection Regulations. Historical records are stored in the main storage room in the large village hall. Damage (apart from fire) and theft is unlikely and so provision adequate. Some historical records are stored at the Norfolk Records Office.	Existing procedure adequate.

Meeting location	Adequacy Health & Safety	L	The Parish Council Meetings are held in the village hall. The premises and the facilities are considered to be adequate for the Clerk, Councillors and Public who attend from Health & Safety and comfort aspects. The Village Hall Management Trust has its own risk assessment. The Chairman carries out a safety briefing prior to the start of each monthly meeting. Since COVID-19 Parish Council meetings are held via Zoom. They can also be held hybrid to assist Cllrs/Members of the public who do not have a laptop/mobile phone etc. Face to face meetings resumed in accordance with Gov guidelines.	Existing locations adequate. Zoom meetings. Hybrid meetings from the Village Hall once officially re-opened. Social distancing in place, hand sanitisation on entry/exit. Face to face meetings resumed in accordance with Gov guidelines.
Notice boards	Risk/damage/injury to third parties	L	Parish Council has three notice boards sited around the village. All locations have been approved by the Borough Council. They are covered	Existing procedure and insurance adequate.

Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
			by insurance and inspected regularly by the Clerk - any repairs/maintenance requirements brought to the attention of the Parish Council. Keys held by the Clerk in the office. An old GYBC Tourist Information Board was gifted to the Parish Council, and subsequently sold to Hopton Pharmacy with the proviso that should the Pharmacy move out of the village the Information Board will be returned to the Parish Council. It is insured by Hopton Pharmacy and maintained by them. There is one small noticeboard on the wall of the Pavilion Building, Recreation Ground, Lowestoft Road. This is maintained by the Parish Council and is used to publicise community events. There is no key! In accordance with latest legislation regarding COVID-19 practise, notices do not have to be displayed on the noticeboards, but must be on the website. In accordance with Gov guidelines, Notices now resumed.	
Assets	Loss or Damage Risk/damage to third party(ies)/property	L	An annual review of assets is undertaken for insurance provision, storage and maintenance provisions.	Existing procedure adequate.
Maintenance	Maintenance of Assets	L L	All assets are insured and reviewed annually. All public amenity land is inspected regularly by the Borough Council.	Existing procedure adequate. GYBC has confirmed inspections are carried out to play areas on a regular basis.
Playing Field (lease from GYBC)		L	Play equipment reviewed by GYBC on regular basis. Public liability insurance in place. Insurance reviewed regularly.	Existing procedure adequate.

Updated and approved September 2016. Updated 6 February 2017. Updated 21 December 2017.  
 Updated April 2018. Updated August 2019 Updated 10.8.2020 in view of COVID-19. Approved 12.10.2020 Reviewed 25.10.21  
 Reviewed and approved 8.11.21. Updated re Covid Gov Guidelines. Reviewed and updated 29.11.22 Approved 12.12.2022

Village Hall	HPC is custodial trustee of the land	L	The Village Hall Management Trust (charity) manages the Village Hall and has responsibility for it. The VHMT carries out its own risk and liability assessments, insures the building, and maintains public liability insurance and cleaning. Village Hall closed March to August 2020 due to COVID-19. Re-opening with social distancing, hand sanitisers and risk assessment in place. No same day office sharing to avoid any possibility of cross contamination. Village Hall re-opened in accordance with Gov guidelines.	Existing procedure adequate.
Millennium Garden - Old Church and grounds (St. Margaret's Ruins) Coast Road	Loss or Damage Risk/damage to third party(ies)/property	M	The land and ruin is owned by the Parish Council. Adequate Public Liability Insurance in place and reviewed annually with BHIB. GYPT carries out checks of the structure and maintenance when necessary. Risk assessments are carried out prior to each fundraising event. Ruins opened to the public November 2016 following successful completion of a two year project to stabilise the walls and tower of the Ruins. Official opening ceremony April 2017. The inner security fencing around the Ruin removed 18 Dec 2017. Some vandalism occurred in July 2019. Crime reported and logged. Minor vandalism – removal of stones Tree survey carried out 2019. Further tree survey due 2022/23.	Existing procedure adequate
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H / M / L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
Coastal Erosion	Loss or Damage Risk to properties and businesses on the cliff top	H	Major sea defence works carried out by Bourne Leisure. Shoreline Management Plan for Hopton is now Hold the Line. New metal steps procured and installed by Bourne Leisure gifted to the Parish Council. These are insured by the Parish Council. The steps are checked by BL on a regular basis for damage. Potters Leisure making application for similar sea defence works to Waveney District Council. Not sure if this is proceeding.	Risk not insurable by HPC. SMP for Hopton now "Hold the Line". GYBC has responsibility for maintenance of sea wall. Bourne Leisure maintain new sea defences.
Lone Working	Risk to employee	L	Lone Working Risk Assessment in place and reviewed ad hoc.	Adequate.

### Financial and Management Implications.

Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
---------	--------------------	-----------	----------------------------	----------------------

Updated and approved September 2016. Updated 6 February 2017. Updated 21 December 2017.  
 Updated April 2018. Updated August 2019 Updated 10.8.2020 in view of COVID-19. Approved 12.10.2020 Reviewed 25.10.21  
 Reviewed and approved 8.11.21. Updated re Covid Gov Guidelines. Reviewed and updated 29.11.22 Approved 12.12.2022

Parish Plan	The ten year Parish Plan ends 2018  Objectives 2019 onwards	LM	A village wide Neighbourhood Plan consultation took place during 2017. Outcome – residents decided a Neighbourhood Plan should not proceed. No further action required. Objectives regularly reviewed.	Review plan when necessary.
Precept	Adequacy of precept  Requirements not submitted to GYBC	L  L	To determine the precept amount required, the Parish Council regularly receives budget update information and the precept is an agenda item at full Council, for concurrent functions a grant is obtained from GYBC.  This figure is submitted by the Clerk in writing to GYBC. The Clerk informs Council when the monies are received by BACS to HPC's account. Precept and Grant payment received half yearly.	Existing procedures and financial standing orders adequate.
Financial records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations and Standing Orders, which set out the requirements.	Existing procedure adequate. Review the Financial Regulations annually.

Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
Bank and banking	Inadequate checks	L	The Council has Financial Regulations and Standing Orders which set out the requirements for banking, on-line payments, cheques and reconciliation of accounts. The bank does make occasional errors in processing cheques which are discovered when the Clerk/Finance Officer reconciles the bank accounts. When statements arrive these are dealt with immediately by informing the bank and awaiting their correction. On-line banking security procedures are strictly followed. Review bank signatory list when necessary, especially after an APCM and an election. Monitor the bank statements monthly. The Council has Financial Regulations which set out the requirements. Cash received is banked within 5 banking days. There is petty cash float of £150 managed by the Clerk/Finance Officer and all receipts are produced. In view of COVID-19 no cash accepted as payment for adverts or services. All payments on-line.	Existing procedure adequate. Review the Financial Regulations when necessary.
Reporting and auditing	Information, communication Compliance	L  L	A monitoring statement is produced regularly before each Council meeting with the agenda, discussed and approved at the meeting. This statement includes, bank reconciliation; budget update (at least quarterly), and a breakdown of receipts and payments balanced against bank statements. Procedures checked by appointed Internal Auditor on an annual basis followed by external Auditors.	Existing communication procedures adequate.



Updated and approved September 2016. Updated 6 February 2017. Updated 21 December 2017.  
 Updated April 2018. Updated August 2019 Updated 10.8.2020 in view of COVID-19. Approved 12.10.2020 Reviewed 25.10.21  
 Reviewed and approved 8.11.21. Updated re Covid Gov Guidelines. Reviewed and updated 29.11.22 Approved 12.12.2022

Salaries and associated costs	Salary paid incorrectly Wrong deductions of NI or Tax. Unpaid Tax & NI contributions to the Inland Revenue	L L	The Parish Council authorises the appointment of all employees through an Employment Advisory Committee and approval of full Council. The pay award structure is provided and approved by NALC (Norfolk Association of Local Councils). Salary rates are assessed annually by the same Committee and applied on 1 April each year. Salary analysis expenses are produced by Clerk monthly together with a schedule of payments to the Inland Revenue (for Tax and NI). These are inspected at the Council meetings by the authorised signatories and approved. The Tax and NI is calculated and reported direct to HMRC using RTI software. All Tax and NI payments are submitted in the Inland Revenue Annual Return. The Clerk has a Contract of Employment (Green Book) and Job Description. All sensitive papers are held securely in accordance with Data Protection Regulations.	Existing appointment and Payment system is adequate
Employees	Loss of key personnel Fraud by staff Actions undertaken by staff	L L L	The requirements of the Fidelity Guarantee insurance to be adhered to with regards to Fraud. The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role. Loss of key personnel – Business Resumption Plan in place.	Existing procedure adequate. Purchase revised books.
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. There are no measures, which can be adopted to minimise the risk of having a contested election as this is a democratic process. <b>Election due May 2023</b>	Existing procedure adequate.
VAT	Re-claiming/charging	L	The Council has Financial Regulations which set out in line with Statutory Regulations. Existing procedure adequate. Employer's Annual Return is completed and submitted online to the Inland Revenue within the prescribed time frame by the Clerk. VAT reimbursement is submitted to HMRC on a timely basis. Annual Return is completed and signed by the Council, submitted to the internal	Submit within time limits Existing procedures adequate.

Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
			auditor for completion and signing then checked and sent on to the External Auditor within time limit.	

Legal powers	Illegal activity or Payments All activity and payments within the powers of the Parish Council to be resolved and minuted at Full Parish Council Meetings, including a reference to the power used.	L L	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. Minutes and agenda are displayed according to statutory requirements. Business conducted at Council meetings should be managed by the Chair.	Existing procedure adequate. Guidance/training to Chair should be given (if required).
Code of Conduct.	Members to adhere to Code of Conduct.  Members interests Conflict of interest Register of Members Interests	L  L	Making a Declaration of Interest is required under the Code of Conduct (Statutory) should a Councillor feel this appropriate. This should be an obvious process to remind Councillors of their duty and is on the monthly agenda.  Register of Members Interest forms should be reviewed regularly by Councillors.	Existing procedure adequate.  Members take responsibility to update their Register.
Insurance Adequacy	Cost Compliance Fidelity Guarantee	L L L	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Employers and Employee liability insurance is a necessity and must be paid for. Ensure compliance measures are in place. Ensure Fidelity checks are in place.	Existing procedure adequate. Review insurance provision annually
Review of compliance.	Data protection Policy Provision	L	The Council is registered with the Data Protection Agency (Information Commissioners Office) Review of Policy carried out annually. All data held in accordance with Data Protection Regulations.	Adequate.
Freedom of Information Act	Policy Provision	L  M	The Council has a model publication scheme for Local Councils in place. The Clerk is aware that if a substantial request arrives then this may require many hours of additional work. The Council is able to request a fee if the work will take more than 15 hours but the applicant also has the right to re-submit the request broken down into sections, thus negating the payment of a fee. There is a fee for providing documentation following a request in writing i.e. cost of the photocopying. The Council has a Policy in place relating to Data Protection Regulations.	Monitor and report any impacts of requests made under the FOI Act.
Compulsory Purchase Order (CPO) of land at the side of St. Margaret's Church Old Lowestoft Road (Billy Oaks land)	Financial Implications Court proceedings and costs. Costs re unsuccessful CPO	L	Negotiations completed. Financial Agreement entered into between the Parish Council and GYBC to repay legal fees over a 10 year period. Instalments paid annually in May. Provisions made in the budget. Final payment May/June 2021 <b>Balance Zero</b>	Adequate.

Updated and approved September 2016. Updated 6 February 2017. Updated 21 December 2017.  
 Updated April 2018. Updated August 2019 Updated 10.8.2020 in view of COVID-19. Approved 12.10.2020 Reviewed 25.10.21  
 Reviewed and approved 8.11.21. Updated re Covid Gov Guidelines. Reviewed and updated 29.11.22 Approved 12.12.2022

Events on the Recreation Ground	Third party injury	M	No Summer Fete 2018/2019. Fireworks Display December 2018. Picnic in the Park July 2019. Public Event Checklist/Assessment carried out. Fully insured by the Parish Council. Skateboarding/BMX workshops August 2019. King Ramps own insurance and risk assessments. March 2020. All events cancelled due to Covid. Events commenced for QPJ June 2022. Skateboard evening August 2022.	Adequate.
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H / M / L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>
Annual Over 60's and Family Xmas Parties	Third party injury	L	No parties held 2018/2019 No further parties anticipated 2020/21	Adequate.
Annual Village Litter Pick	Third party injury	L	Public Event Risk assessment carried out prior to event by the Clerk. Participants advised to wear gloves and suitable clothing. Children supervised by parents/carers. Parish Council maintains public liability insurance which covers this event. March 2020. Event cancelled due to COVID-19. Event re-started 2021 Three litter picks in 2022.	Adequate.
Annual Additional Saturday morning refuse collection	Third party injury	L	Joint venture with GYB Services who have their own trained operatives. Councillors assist. Parish Council public liability insurance in place. March 2020. Event cancelled due to COVID-19.	Adequate.

Julie McNair  
 Clerk to the Council and RFO