

SLIP END PARISH COUNCIL – RISK ASSESSMENT OCTOBER 2020

INSURANCE

Status	Likelihood	Risk Description	Measures Taken	Recommendations/Controls
High FIN PHY	High	Damage to third party property or individuals Risk to third party as a consequence of providing a service	Public Liability Insurance Ongoing maintenance to seats and shelters	Annual check on level of cover in place (RFO and Auditor)) Logged system of complaints received and action taken
High PHY	Medium	Protection of Council properties furniture and equipment Civic regalia	Property Damage Insurance All Risks Insurance Up to date Asset Register All risks insurance Annual inspection of regalia Regular Maintenance of equipment	Annual check on insurance values (RFO) Asset Register (Year end) Ensure Chairman is aware of need for Civic Regalia to be kept under secure conditions. Weekly Inspection of playground equipment
High FIN	Medium	Insolvency of insurance company	Use of one of the largest companies providing specialist cover for Councils	Free legal service and advice from National Association of Local Councils Review of insurance providers carried out Annually.
High LEG	Low	Legal liability as a consequence of asset ownership	Public Liability Insurance	Annual check on level of cover in place (RFO)
Low FIN	Low	Loss of cash through theft or dishonesty	Fidelity Guarantee Insurance cover	Annual check on level of cover in place (RFO)
Low PHY	Low	Personal Accident to Members and Officers Assault to Officers	Personal Accident cover Including Assault cover Employer's Liability cover Libel and Slander cover	Annual check on level of cover in place (RFO and Auditor)) Advice to Members

INSURANCE:

Internal Audit assurance testing will include: Review of internal controls in place and their documentation
Review of management arrangements regarding insurance cover

AREAS OF SELF-MANAGED RISK

Status	Likelihood	Risk Description	Measures Taken	Recommendations/Controls
High FIN/ PHY	High	Damage to and safety of seats and bus shelters	Regular checks and maintenance by Contractor Regular reports from Contractor Claims for costs pursued whenever possible	Remind Councillors to keep a check on seats and shelters in Ward and to report any problems to Clerk Inspections to be carried out by Councillors during normal ward duties Pursue any reports for evidence, witness statements wherever possible
High PHY	High	Unwanted visitors entering building during meetings	Door kept locked until arrival of Members for meeting	Councillors to be aware of visitors during meetings.
High LEG	Medium	Procedures in place for recording and monitoring members' interests, gifts and hospitality received Completion of Code of Conduct	Code of Conduct signed and a Register of Interest completed by each Member of the Council Disclosure of interest register kept listing any interests, gifts and hospitality received. Disclosure of interests to appear as an item on the agenda as a prompt to members	Internal audit check Register of Interest kept by the Clerk Ensure all Members aware of Code, and need to complete Registers. NB – This is the responsibility of individual Councillors.

AREAS OF SELF-MANAGED RISK

Status	Likelihood	Risk Description	Measures Taken	Recommendations/Controls
High LEG	Medium	Keeping proper financial records in accordance with statutory requirements	Regular scrutiny of financial records and approval of pending expenditure Records kept in accordance with Accounts and Audit Regulations. Monthly inspection by Treasurer, Half Yearly presentation to full Council	Adoption of financial regulations reviewed every Year Annual Internal and External Audit
High LEG! PROF	Medium	Ensuring all requirements met under employment law and Inland Revenue regulations and Salaries in accordance with adopted scales Unfair dismissal claims	Regular returns to Inland Revenue; contracts of employment for all staff, systems of updating records for any changes in relevant legislation Grievance and Appeals procedure	Annual Staffing Review Employment position of contractors under PAYE regulations Policies reviewed Annually
High TECH	Medium	Failure of Computer system - Hardware - Software	Virus protection used. Backup computer available. All files backed up daily.	Regular updates of virus protection. Renewed Annually. Daily computer backups. Internal and external backup of all Council files
High FIN	Low	Banking Arrangements	Funds split between two Banks. Regular bank reconciliations All payments in line with Financial Regulations. Two signatories system retained.	Regular monitoring reports to Finance Committee Annual Internal and External Audit
High FIN	Low	Loss of Income, or the need to provide essential services	Contingency fund	Level agreed as part of annual budget process
High FIN! LEG	Low	Ensuring all requirements are met under Customs and Excise regulations	Regular returns to HM Customs and Excise	Training in matters of VAT and other taxation issues as available Reading literature to keep up to date
High FIN	Low	Ensuring adequacy of annual precept and control	Approval of budget by full Council and regular budget monitoring statements	Monthly budget monitoring report to Finance Committee

AREAS OF SELF-MANAGED RISK

Status	Likelihood	Risk Description	Measures Taken	Recommendations/Controls
Medium LEG	Medium	Ensuring all business activities are within legal powers applicable to local councils	Use of committee budgets to allocate expenditure Councillor and staff training	Regular monitoring reports to Finance Committee Internal audit. External audit
Medium LEG	Medium	Complying with restrictions on borrowing	Borrowing approval authorised by Council in line with current restrictions	Reference to Local Council Administration Book (Charles Arnold Baker) and National Association of Local Councils
Medium FIN	Low	Ensuring proper use of funds granted to local community groups under specific powers or under 137	Funding of the Community Projects Group in line with Section 137 and reported in the Annual Accounts.	Annual External Audit
Medium PROF	Low	Meeting timetables as laid down when responding to consultation invitations, including commenting on planning applications	Consultation documents presented to next appropriate Committee/Council meeting to formulate response	Minuting of action so agreed
Medium LEG	Low	Breach of Confidentiality	Procedures for dealing with confidential data	Item on the agenda for considering items to be taken in private session if needed.
Low LEG	Low	Proper, timely and accurate reporting of Council business in minutes	Minutes properly numbered with a master copy kept in safekeeping Minutes circulated and on website	Minutes approved and signed at next meeting of Council Internal Audit check Computer backup maintained daily
Low LEG	Low	Failure to respond to electors wishing to exercise their rights of inspection	Minutes placed on website for public inspection Advertising of end of year accounts and available for inspection to the public as required under the Accounts and Audit Regulations	Minutes published on Website Notice of Appointment confirmation signed and returned to Auditors. All Council expenditure added to the Minutes as an Appendix.

AREAS OF SELF-MANAGED RISK

Status	Likelihood	Risk Description	Measures Taken	Recommendations/Controls
Low LEG	Low	Provision of Supporting papers	Freedom of Information Publication Scheme	Agenda consideration at each meeting Officer Awareness Training if needed
Low PROF	Low	Challenge to Members and Officers when visiting sites on Council business, eg re planning applications	Members and officers should identify themselves if challenged by a member of the public	ID cards for Members and Clerk should be provided
Low PHY	Low	Document control – correspondence, postage, storage and filing, etc	Filing systems maintained in filing cabinets Record of postage maintained Regular review of need to retain documents and other records	Overhaul of filing system and files stored or archived. Record of postage used in Clerks record book. Any deeds or other legal documents to be stored in safe storage. Need for a fireproof box for storage of all cheque books. Computer back up maintained

Data Protection

Status	Likelihood	Risk Description	Measures Taken	Recommendations/Controls
High LEG	High	Keeping all Parish Council Data safe with Clerk and Members. Compliance with all Data Protection Laws	Review of all systems and password protect all data sensitive files.Regular updates from Legal Briefings as to latest DP legislation. Constant reviews of systems to ensure that Data is fully protected.	Attend courses to refresh Knowledge on DP. Advise Members as to current legislation and constant monthly reviews of systems and practices.
High LEG! PROF	High	Data Breach by Clerk or Member. Loss of data via loss of laptop/tablet/memory stick/ external hard drive/ hacking. Risk of fines by ICO	Inform ICO of any Data Breach. Review systems and tighten if nessessary	Keep reviewing systems and reminding Members of their DP responsibilities

Covid 19 Risks

Status	Likelihood	Risk Description	Measures Taken	Recommendations/Controls
High- PHY	High	Parish Council meetings - Risk of contracting Coronavirus to both Councillors and members of the public	All Parish Council meetings to be held on zoom whenever possible	Clerk to maintain Zoom Account.
High- PHY	High	Meetings held in Village Hall	In real meetings, social distancing to be maintained at all times. Councillors and members of the public to be seated at least 2m apart. Hand sanitiser to be available to all. All surfaces/chairs/door handles to be sanitised before and after meeting	Village Hall should be "Covid Safe" before meeting occurs. Clerk and Village Hall Staff to carry out sanitising on the meeting day.
High- PHY	High	Village Hall one way system to be implimented	Councillors and members of the public should enter through one door and exit through another	Village Hall staff to impliment. NHS QR Code is in place.
High- LEG	High	Maintaining a track and trace log of all members of the public attending.	On entering the building, a contact log of names, addresses and phone number should be obtained.	The Clerk should collect this data and hold for 21 days, and then be shredded if not needed.
High- PHY	High	Toilet facilities	a "one person only" policy must be in place so that only one person is using the toilet at a time.	All surfaces should be sanitised after each visit by the person using the toilet.
High- PHY	High	The wearing of face masks	All Members, Clerk and visitors to wear masks entering and leaving the building, Masks may be removed once seated. Certain people may be exempt from this requirement. This advice may be amended due to legislation.	Chairman/Clerk to challenge non compliers.
High-PHY	High	Handling of documentation	Documents should either be left on a spare table for collection or passed directly to persons concerned who should sanitise their hands after handling	All attendees.
High-PHY	High	Members visiting site locations	Members/Clerk should observe the current Covid19 guidelines re social distancing, hand sanitising and face masks as in force at the time of site visit.	Members/Clerk to keep updated with current guidelines.

AREAS WHERE THERE MAY BE SCOPE TO WORK WITH OTHERS TO HELP MANAGE RISKS

Status	Likelihood	Risk Description	Measures Taken	Recommendations/Controls
High LEG	Low	Changes to legislation and procedures	Provide effective training for Staff and Councillors	Provide adequate budget for staff and Councillor training Standing Orders - Reviewed Annually
Medium LEG	Low	Supplies and Services provided to the Council	Contract for services advertised and awarded in line with Standing Orders and Financial Regulations	Contracts approved by Committee ratified by Council Remind contractors re Health and Safety implications

Internal Audit assurance testing will include: Review of internal controls in place and their documentation
 Review of minutes to ensure legal powers are available, and the basis of the powers recorded and correctly applied
 Review of testing of arrangements to prevent and detect fraud and corruption
 Review of adequacy of insurance cover.

KEY to type of Risk

- FIN Financial
- LEG Legal
- PHY Physical
- PROF Professional or to be approved
- TECH Technical