

Risk Assessment Review Year Ending 31st March, 2020

Presented to Parish Council meeting on 11th March, 2020

The Parish Council is responsible for ensuring that its management of risk is adequate and effective and that there is a sound system of internal control. A risk assessment should identify what can go wrong, what steps should be taken to avoid this and how to manage the consequences. The risk assessment must be documented and reviewed and updated every year.

Risk ID	Risk Description	H/M /L	Management/Control	Review/Revise
SECTION A: Insurance cover for risk is the most common approach to certain types of inherent risks				
A1	The protection of physical assets owned by the council from loss or damage.	L	Asset Register is updated to reflect changes. Assets maintained and repairs undertaken when required. Insurance in place.	Annual inspections are carried out. Annual review of insurance cover.
A2	The risk of damage to third party property or individuals as a consequence of the council providing services or amenities to the public (public liability).	L	Maintenance inspections of playgrounds by Maintenance Operatives. Maintenance inspection of cemetery carried out by Cllr Hubbard.	RoSPA or RPII Inspections of playgrounds Inspection of cemetery Annual Review of insurance cover
A3	Loss of cash through theft or dishonesty (fidelity guarantee).	L	Fidelity cover through insurance.	Annual review of insurance cover. No petty cash is issued. Dual authorisation of payments by Councillors. Fidelity cover reflects maximum funds held by the Parish Council.
A4	Legal liability as a consequence of asset ownership (public liability).	L	Public liability cover through insurance.	Annual review of insurance cover
A5	The safety of people participating in voluntary work e.g. community litter picks, or attending village events e.g. Carols in the Market Square	L	Public liability through insurance (subject to risk assessment)	Annual review of insurance cover
A6	The health and safety of staff employed by the Parish Council	L	Employer's liability insurance Risk assessment of maintenance duties	Annual review of insurance cover Annual review of health and safety risk assessment
SECTION B: The limited nature of internal resources in most local councils means that councils wishing to provide services often buy them in from specialist external bodies.				
B1	Security for vulnerable buildings, amenities	L	Chamberlin Hall is run by a Management Committee who	Periodic reviews of operating procedures

Risk ID	Risk Description	H/M /L	Management/Control	Review/Revise
	or equipment.		take responsibility for risk. (The Council is custodian trustee). Grounds maintenance equipment is securely stored by the Council at the Chamberlin Hall.	are undertaken.
B2	Maintenance for vulnerable buildings, amenities or equipment.	L	An inspection of the clock tower is undertaken by a specialist company periodically. Grounds maintenance is kept in a good state by the Council with specialist assistance obtained e.g. areas requiring gang mowing Regular reporting on condition of village amenities which might receive financial support from time to time, from the Council to aid their upkeep.	Operational arrangements are reviewed periodically and changes made to improve value for money/quality of service. Insurance taken out and reviewed annually in respect of items of equipment.
B3	The provision of services being carried out under agency/partnership agreements with principal authorities.	L	Street Lighting maintenance and energy is provided by Suffolk County Council Emptying of Litter and Dog bins is provided by Babergh District Council	Existing procedures are fit for purpose
B4	Banking arrangements, including borrowing or lending.	L	No borrowing or lending occurs.	Not applicable.
B5	Ad hoc provision of amenities/ facilities for events to local community groups.	L	Risk assessments are prepared for any Council events. Other community events are the responsibility of the event organisers. Equipment is rarely provided for third parties.	Assessed as occurs.
B6	Trading units (leisure centres, playing fields, burial grounds, etc).	L	The only trading amenity is the cemetery where charges are levied.	The charges are reviewed periodically by the Council.

SECTION C: There are a number of other activities that create business risks

C1	Failure to keep proper financial records and submit VAT claims in accordance with statutory requirements. Regular scrutiny of financial records and proper arrangements for the approval of expenditure for all staff	L	Financial records are kept by the Clerk. Annual VAT claims are submitted by the Clerk. The Clerk reconciles the bank accounts monthly when the statements arrive to ensure banking errors are dealt with immediately At each Council Meeting a list of invoices awaiting payment is available for inspection and payments approved by council.	Systematic approach to financial record-keeping and management maintained by the Council.
C2	Ensuring all business activities are within legal powers applicable to local councils.	L	The Council conducts its business and authorises expenditure in accordance with its legal powers.	Legal advice is obtained via the Suffolk Association of Local Councils or independent legal adviser as required
C3	Submitting Annual Return in line with statutory requirement	L	The Clerk prepares the Annual return, which is completed and signed by the Chair and Clerk on behalf of the Council. The Annual Return is reviewed as part of the internal and external audits.	The deadline for the approval of accounts is met and the publication of notice of electors, rights undertaken as required.

Risk ID	Risk Description	H/M /L	Management/Control	Review/Revise
C4	Ensuring that all requirements are met under employment law and regulations and requirement of HMRC for income tax and NI.	L	Online submissions to HMRC. PAYE and NI operating system in place. Regular payments are made to HMRC.	Periodic reviews are undertaken of payroll as changes are introduced by government, HMRC, the Suffolk Pension Fund etc.
C5	Ensuring the adequacy of the annual precept within sound budgeting. Regular budget monitoring statements	L/M	A Budget Book is submitted annually to the Council for determining the Precept. Regular budgetary control reports are received by the Council.	The budget is approved having regard to the risks facing the Council. Effective budgetary control measures are taken as required throughout the year.
C6	Proper, timely and accurate reporting of council business in the minutes.	L	All decisions are minuted by the Clerk and draft minutes are promptly circulated to all councillors. Records of meetings are made available to the public via the parish magazine 'The Bugle'. Minutes are approved and signed at the following meeting.	There is proper preparation and review of the draft minutes prior to them being finalised by the Clerk and approved by the Council.
C7	Responding to electors wishing to exercise their rights of inspection.	L	Publication Scheme published and reviewed at least every three years or earlier if changes to legislation arise.	Promotion of transparency by the Council in conducting its business in respect of all non-confidential business. Access arrangements are revised as necessary.
C8	Meeting the laid down timetables when responding to consultation invitation.	L	All significant notified consultations are made available to councillors. Decisions on responses are made at Council meetings.	Deadlines are met for consultations and proper representations are made by the Council.
C9	Proper data management practices	L	Data Management & Information Security Policy adopted. Steps to be taken to comply with General Data Protection Regulations.	Data is only used for purposes collected.
C10	Proper document control.	L	Clerk circulates details of significant communications received from local electors, businesses and community groups. Document Retention and Disposal Policy adopted for record-keeping.	Responses sent by the Clerk to persons/parties are saved for future reference.
C11	Actions undertaken by staff	L	All staff are provided with relevant training.	Professional advice sought by the Council if required with access to training and resources for Clerk as required
C12	Register of Members' Interests and Gifts and Hospitality in place, complete, accurate and up to date.	L/M	Register maintained by the Clerk and District Council Monitoring Officer. All Councillors have completed a declaration of office and commitment to Code of Conduct. Procedures in place for personal/prejudicial interests to be declared at each meeting.	Proper record-keeping is undertaken by the Clerk. Provision of declarations by Clerk after election and at Annual Council Meeting (Chair and Vice-Chair). Proper agenda setting allowing for Members' interests to be dealt with.
C13	Minutes properly numbered and paginated with a master copy kept in safekeeping.	L	Minutes recorded.	Proper record-keeping by the Clerk.

Risk ID	Risk Description	H/M /L	Management/Control	Review/Revise
C14	Misuse or poor image portrayed by Website/Intranet	L/M	Physical IT controls in place with password protection for the intranet. Single page on village website, an individual person is responsible for upkeep. Clerk monitor the content of council page on village website. Website updated to meet accessibility requirements.	Secure operating practices for Parish Council intranet. Compliance with Transparency Code.by publishing information on website. Compliance with Accessibility Regulations.
C15	Errors in allocation of burial plots and loss of records	L	Responsibility for allocation of plots is assigned to a named councillor and there is due diligence in the fulfilment of the Council's responsibilities with regular liaison between Councillor and Clerk.	Periodic governance review to be undertaken of records.