

WOODWALTON PARISH COUNCIL - RISK ASSESSMENT

SEPTEMBER 2015

KEY to type of Risk:

FIN Financial

LEG Legal

PHY Physical

PROF Professional

TECH Technical

** indicates actions taken since last Risk Assessment
or to be approved

RFO is Responsible Financial officer, ie The Parish Clerk

INSURANCE

Status	Likelihood	Risk Description	Measures Taken	
High FIN PHY	Medium	Damage to third party property or individuals Risk to third party as a consequence of providing a service	Public Liability Insurance Periodical oversee and/or maintenance to the Greens area	Annual check on level of cover in place (RFO) Logged system of complaints received and action taken Annual check on insurance values (RFO)
High PHY	Medium	Protection of Council's properties	Property Damage Insurance All Risks Insurance Up to date Asset Register	Annual check on assets to insure (RFO) Review of insurance providers every 3yrs Free legal service and advice from National Association of Local Councils
High FIN	Medium	Insolvency of insurance company	Use one of the largest companies providing specialist cover for councils	Annual check on level of cover in place (RFO)
High LEG	Low	Legal liability as a consequence of asset ownership	Public Liability Insurance	Annual check on level of cover in place (RFO) Thorough vetting process of job applicants and annual staff reviews
Low FIN	Low	Loss of cash through theft or dishonesty	Fidelity Guarantee No petty cash held Cheques signed by two councillors, records held	Annual check of cover in place (RFO)

Low PHY	Low	Personal Accident to Members and Officers Assault to Officers	at the bank. Cheque Stubs initialled Personal Accident Cover including Assault Cover Employer's Liability Cover Liable and Slander Cover	Officers to be accompanied out of building after evening meetings, i.e. at least two leaving together Advice to members
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Internal Audit assurance testing will include:	Review of internal controls in place and their documentation Review of management arrangements regarding insurance cover Testing of specific internal controls and reporting findings to management
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AREAS OF SELF MANAGED RISK

Status	Likelihood	Risk Description	Measures Taken	Recommendations/Controls
High LEG	Medium	Procedures in place for recording and monitoring members' interests, gifts and hospitality offered and declined 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. Disclosure of Interests to appear as an item on the agenda as a prompt to members	Internal Audit Check Register of Interest kept by HDC Monitoring Officer and a copy kept by the Clerk Ensure all Members aware of Code and of need to complete Registers New Code of Conduct adopted 2014 NB - This is the responsibility of individual Councillors
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	Adoption of financial regulations reviewed every two years at least

High LEG PROF	Medium	Ensuring all requirements met under employment law and Inland Revenue regulations and Salaries in accordance with adopted scales	with Accounts and Audit Regulations Regular returns to Inland Revenue; contracts of employment for all staff, systems of updating records for any changes in relevant legislation	Annual Staffing Review Annual Internal and External Audit Officer Training on-going for new officer
High TECH	Medium	Failure of computer system	Virus protection Computer failure protection	Regular updates of virus protection Equipment owned by Clerk Files backed up monthly to independent hard drive in Fireproof box
High FIN	Low	Banking arrangements	Regular bank reconciliations All payments in line with Financial Regulations	Regular financial reports to Council at meetings Annual Internal and External Audit
High FIN LEG	Low	Ensuring all requirements are met under Customs and Excise regulations	Regular returns to HM Customs and Excise	
High FIN	Low	Ensuring adequacy of annual precept and control	Approval of budget by full Council and regular budget monitoring statements	Returns to HM Customs and Excise made when appropriate Reading literature to keep up to date
Medium LEG	Medium	Ensuring all business activities are within legal powers applicable to local councils	Use of budgets to allocate expenditure Councillor and staff training	Regular budget monitoring report to Council at meetings
Medium LEG	Medium	Complying with restrictions on borrowing	Borrowing approval authorised by Council in line with current restrictions	Regular financial reports to Council at meetings

Medium LEG	Low	Ensuring proper use of funds granted to local community groups under specific powers or under section.137	Identification of items paid under Section 137 and reported in the Annual Accounts	Internal Audit External Audit Reference to Local Council Administration Book (Charles
Medium FIN	Low	Meeting timetables as laid down when responding to consultations invitations, including commenting on planning applications	Consultation documents presented to next appropriate Council meeting to formulate response	Arnold Baker) and National Association of Local Councils And YLCA Annual External Audit
Medium PROF	Low	Breach of Confidentiality	Registration under the Data Protection Act Procedures for dealing with confidential data Passwords on computer systems	Minuting of action so agreed
Medium LEG	Low	Proper, timely and accurate reporting of Council business in minutes	Minutes properly numbered with a master copy kept in safekeeping Minutes circulated	RFO maintains up to date registration entry Also appropriate Standing Order for Members Item on each agenda for considering items to be taken in private session
Low LEG	Low	Failure to respond to electors wishing to exercise their rights of inspection	Minutes placed on village notice board for public inspection Advertising of end of year accounts made available for inspection to the public as required under the	Changed annually Minutes approved and signed at next meeting of Council Internal Audit check Computer backup maintained Clerks contact details to remain on the village notice

			Accounts and Audit Regulations	board
Low LEG	Low	Provision of Supporting papers	Freedom of Information Publication Scheme	New publication scheme considered and adopted in 2015
Low PHY	Low	Document control - correspondence, postage, storage and filing, etc	Correspondence date receipted	Overhaul of filing system and files stored or archived - on-going following review of record retention policy Computer backup maintained
			Record of postages maintained	
			Regular review of need to retain documents and other records	Formulation and adoption of Record Retention Policy -
Internal Audit assurance testing will include;			Review of internal controls in place and their documentation Review of minutes to ensure legal powers in place recorded and correctly applied Testing of income and expenditure from minutes to cashbook, from bank statements to cashbook, from minutes to statements etc Review and testing of arrangements to prevent and detect fraud and corruption Review and testing of specific controls, reporting findings to Council	
Clerk to follow advice given in gov.uk website for reducing risk to health regarding Workstation and Display Screen				
Clerk to follow advice given in gov.uk website regarding a safe working environment at home				

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

Status	Likelihood	Risk Description	Measures Taken	Recommendations/Controls
High FIN	Medium	Provision of amenities/ facilities for occasional use	Letter of authorisation in place for use/hire of	Letter to users to confirm current public insurance liability insurance held

LEG PHY		by third parties and community groups	amenities/facilities by third parties and community groups Appropriate legal agreements Signing of Lease/Agreement	Health and Safety Issues highlighted to contractors Annual review of Leases and Agreements Annual renewal where necessary H and S issues updated by Clerk from gov.uk website
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 2015
Medium LEG	Low	Supplies and Services provided to the Council	Contract for services advertised in line with Standing Orders and Financial Regulations Ensure Contractors have adequate insurance and public liability cover Ensure Contractors have appropriate Health and Safety policy	Contracts approved by Committee ratified by Council Sight of insurance certificate before award of contract Remind contractors re Health and Safety implications
High FIN LEG PHY	Medium	Use by Council or Community Groups of facilities/Amenities for Council Meetings and Events	Letter of authorisation in place for use/hire of amenities/facilities by Council and community groups Appropriate legal agreements Signing of Lease/Agreement	Confirm current public insurance liability insurance held Health and Safety Issues highlighted and noted Annual review of Leases and Agreements Annual renewal where necessary Sight of insurance certificate before award of contract H and S issues updated by Clerk from gov.uk website
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 provided by suppliers

