

Business Risk Assessment 2019-20

Area of Risk	Risk	Likelihood of occurrence	Impact Level	Controls (comments in bold indicate areas where improvement or action is required)	Review timing
All Assets	Financial: Legal liability as a result of ownership	L	M	All major items of property are insured by Aon and cover reviewed each year including Public Liability Insurance On-going maintenance programme in place	Annually On-going
	Loss/Damage	L	M	Asset register updated as assets acquired or sold/written off and reviewed at year end	On-going and annually
	Inadequate budget provision	L	L	Income and expenses included in budget and monitored monthly	Monthly
	Additional risks identified by asset				
Bus shelters	Physical and environmental: Damage/dirty	M	L	Regular inspections and repairs. Annual cleaning contract in place	On-going and Annually
	Vandalism	M	L	Repairs undertaken. Incidents reported to the police	On-going as required
Land and Open Spaces	Security of Deeds of ownership: Loss/Damage	L	L	Deeds and relevant documentation kept in safe. Copies available.	
	Maintenance including grass cutting and litter picking	L	L	Annual contract in place for maintenance, reviewed with annual budget	On-going and Annually
	Vandalism	M	L	Any incidents reported to the police	On-going

Business Risk Assessment 2019-20

	Public Liability	L	M	Insurance cover reviewed annually Risks to the public are minimised wherever possible	Annually On-going
Litter bins	Inadequate servicing	L	L	Annual contract in place, reviewed with annual budget Increased frequency when appropriate	On-going and Annually
	Vandalism	L	L	Inspected when emptied	Weekly
Play areas	Failure to collect income	L	L	Rental agreements reviewed annually and Clerk ensures payment is made on due dates	On-going
	Vandalism	M	L	Weekly inspection of play areas	Weekly
	Personal injury	L	H	Weekly inspection of play areas with written report Necessary maintenance work undertaken as required Annual inspections by LDC approved inspectors. Inspectors carry out a full risk assessment on each item of equipment and issue a report which is circulated and approved by full Council. For parties, car parking etc., users required to provide own insurance and risk assessment where appropriate Warning signs erected on MUGA re dangers of climbing fencing	Weekly On-going Annual On-going
	Public Liability	L	M	Insurance cover reviewed annually Risks to the public are minimised wherever possible Record of injuries maintained For parties, car parking etc., users required to provide own insurance and risk assessment where appropriate	Annually On-going On-going On-going
	Inadequate maintenance of records	L	M	Weekly inspection reports kept by Clerk Reported accident record maintained by Clerk	On-going On-going

Business Risk Assessment 2019-20

Area of Risk	Risk	Likelihood of occurrence	Impact Level	Controls (comments in bold indicate areas where improvement or action is required)	Review timing
Allotments	Failure to collect income	L	L	Licence agreement includes payment schedule and Clerk ensures payment is made on due dates	Annually
	Failure to comply with Licence conditions	L	L	Allotment Association fully aware of all Licence conditions and restrictions included in User Licences. Agreements provide for regular inspection of land and Allotment Association records.	On-going On-going
Administration Computing	Loss from theft	L	L	Laptop computers in possession of Clerk and Accounts Officer , covered by insurance	On-going
	Loss from unauthorised use	L	L	Laptop computers in possession of Clerk and Accounts Officer and password protected	On-going
				Password changed periodically	On-going
	System crash	L	L	Most work on Word and Excel spreadsheets and regular back ups taken. Hard Copies kept of main documents and some policy documents published on website	On-going
Payroll records also kept as hard copies				On-going	

Business Risk Assessment 2019-20

Area of Risk	Risk	Likelihood of occurrence	Impact Level	Controls (comments in bold indicate areas where improvement or action is required)	Review timing
Meeting GDPR legal requirements	Failure to meet statutory duties	L	M	<p>The Council has a GDPR working group which monitors GDPR related issues. The Council approved a GDPR Policy, revised Privacy Statement, Retention Schedule and Personal Information Register in March 2019, all published on the website. An annual report will be presented to the Council on GDPR compliance. The Clerk is Data Controller on behalf of the Council</p> <p>The council is registered under the GDPR requirements with the Information Commissioners Office.</p> <p>Sensitive data is kept under password on computer and in locked filing cabinet in a locked office.</p>	<p>On-going</p> <p>Annually</p> <p>On-going</p>
Meeting Public Accessibility to website requirements	Failure to meet regulatory duty	L	L	<p>IT Adviser ensures that website meets International accessibility standards. Parish Council accessibility statement developed in consultation with national guidance and IT Adviser. Approved by Council June 2019, reviewed annually</p>	
Council meetings	Failure to meet statutory duty	L	L	<p>All members notified of meeting by summons and agenda 3 clear days notice Agenda placed on notice boards – 3 clear days notice Quorum checked and attendance records kept Minutes of proceedings promptly prepared, signed by Chair and filed</p>	On-going
	Access	L	L	<p>Meeting rooms allow access for all</p>	On-going

Business Risk Assessment 2019-20

				Seating for press and public provided	
	Non-compliance with new legislation	L	L	Membership of local and national associations maintained	On-going

Business Risk Assessment 2019-20

Area of Risk	Risk	Likelihood of occurrence	Impact Level	Controls (comments in bold indicate areas where improvement or action is required)	Review timing
Employment of staff	Failure to comply with Employment Law	L	L	All employees have contracts of employment Payroll package provides details of updates and new legislation Membership of local and national associations maintained Revised Appraisal process approved March 2019	On-going
	Lack of employee motivation	L	L	Job description clearly defined Regular staff appraisals undertaken and training encouraged Attendance at local association meetings supported	On-going
	Attacks on personnel	L	L	Effective security system in operation Telephone access available at all times Appropriate insurance cover held	On-going
	Inadequate equipment	L	L	Need reviewed and purchased/replaced as necessary	On-going

Business Risk Assessment 2019-20

Area of Risk	Risk	Likelihood of occurrence	Impact Level	Controls (comments in bold indicate areas where improvement or action is required)	Review timing
Financial management	Poor financial management	L	L	<p>Clerk is also the Responsible Financial Officer responsible for management of financial affairs and is fully aware of requirements</p> <p>Standing Orders and Financial Regulations based on NALC guidelines are confirmed at annual meeting</p> <p>Annual budget prepared for Precept based on anticipated income and expenditure and includes projects to be undertaken</p> <p>Budget approved at Council meeting</p> <p>Budget compared to actual in monthly financial statement and variances explained</p> <p>Financial statements subject to internal audit twice pa</p> <p>Monthly financial statement includes bank reconciliation</p> <p>Balances in hand reviewed and invested in savings accounts as appropriate. No equity investments</p> <p>Monthly financial statement reviewed and approved at each Council meeting</p>	<p>On-going</p> <p>Annually</p> <p>Annually</p> <p>Monthly</p> <p>Six-monthly</p> <p>Monthly</p> <p>Monthly</p> <p>Monthly</p>
	Incurring expenditure without proper legal authority	L	L	<p>Powers identified before expenditure requested</p> <p>All expenditure (other than for those items which are recurring and which allow the Council to conduct its business) are approved at a Council meeting and properly recorded in minutes</p> <p>All payments supported by invoice or voucher which has been checked by the Clerk</p> <p>All payments approved at Council meeting</p> <p>All cheques signed by two Cllrs and counterfoils and invoices initialled</p>	On-going
	Failure to ensure proper use of funds under S137	L	L	<p>Expenditure separately identified</p> <p>Statutory limit calculated and not exceeded</p> <p>All approvals properly recorded in minutes</p>	On-going

Business Risk Assessment 2019-20

Area of Risk	Risk	Likelihood of occurrence	Impact Level	Controls (comments in bold indicate areas where improvement or action is required)	Review timing
Financial management	Loss through theft or misappropriation	L	L	Fidelity guarantee insurance increased as required No petty cash or cash-based transactions Majority of income by direct credit to the bank Cheques banked promptly on receipt	On-going
	Failure to comply with HMRC regulations: - VAT	L	L	Clerk aware of requirements Half-yearly returns, fully reconciled, submitted Advice sought when required	On-going
	PAYE/NI	L	L	Clerk aware of requirements Payroll software kept up to date Monthly payments, fully reconciled, submitted Year end returns promptly submitted Advice sought when required	On-going
Planning and Development control	Failure to comply with consultation deadline	L	L	Clerk reports all consultations to Council meeting and follows up to meet deadline Extensions requested if necessary	On-going

Business Risk Assessment 2019-20

Area of Risk	Risk	Likelihood of occurrence	Impact Level	Controls (comments in bold indicate areas where improvement or action is required)	Review timing
Other matters Councillors	Failure to maintain registers of interests and gifts	L	L	All Cllrs are aware of statutory responsibilities Declaration of interest is a separate item on each agenda Entries updated annually	On-going Monthly Annually
	Model Code of Conduct	L	L	All Cllrs accept the Model Code of Conduct on election/co-option	On-going
	Training	L	L	Each Cllr receives a copy of Council and Financial STO's New Cllrs receive a copy of The Good Councillors guide New Cllrs are encouraged to undertake the New Councillors or Roles and Responsibilities course run by SPCA Training also offered to all Cllrs when there is a major legislative change	Annually On-going On-going On-going
Newsletters and website	Failure to meet statutory requirement re non-political content	L	L	Ensure all contributors are aware of requirement Editors check content for compliance	On-going
	Defamation	L	L	Ensure all contributors are aware of requirement Editors check content for compliance Insurance cover in place	On-going
	Failure to deliver	L	L	Editor monitors distributors and verifies invoices	On-going
	Non compliance with GDPR/Freedom of Information Act Inadequate control of website	L L	L L	Website updated as required Annual maintenance contract with designer Nominated Cllrs regularly review content and are aware of what	On-going On-going

Business Risk Assessment 2019-20

is appropriate content

Area of Risk	Risk	Likelihood of occurrence	Impact Level	Controls (comments in bold indicate areas where improvement or action is required)	Review timing
Office accommodation	Poor office conditions and equipment	L	L	Inspected regularly and repair/replacement arranged as appropriate	On-going
	Fire	L	L	Landlord provides extinguishers, signage etc., and checks alarm operational	On-going