

SOUTH PETHERWIN PARISH COUNCIL

RISK ASSESSMENT AND MANAGEMENT 2020/21

Area	Risk	Level	Control <i>(and recommended improvements)</i>	Comments and Actions taken
Assets	Protection of physical assets	M	See Insurance	
	Security of buildings, equipment etc	M	Toilets are checked and cleaned weekly	Weekly cleaning contract of toilets and bus shelter in place. Maintenance issues reported to the Parish Council. Record of cleaning sheet on the inside of each toilet door.
	Maintenance of buildings etc	M	Buildings currently maintained on an ad hoc basis.	Funds available in the precept for unexpected repairs.
Insurance	Public Liability (statutory)	M	Continue existing cover (£5M)	
	Employer's Liability (statutory)	M	Continue existing cover (£10M)	
	Money	M	Continue existing cover (£250,000)	
	Fidelity Guarantee	M	Continue existing cover (£25,000)	
	Property & All Risks	M	Buildings (Toilets/Bus shelters) insured. Value increased annually by RPI. Other Assets/Equipment - Play Area equipment insured by School, Parish Pump/noticeboards/telephone box insured by Council.	
	Loss of Revenue	M	Not covered	
	Libel & Slander	M	Continue existing cover (£250,000)	
	Personal Accident	M	Continue existing cover (£500,000)	
	Legal Expenses	M	Continue existing cover (£50,000)	
Administration	Loss of Data on PC due to system fault	H	Continue back up of data on weekly basis & HMRC submissions.	USB stick with Councillor – 4 weeks out of date at worst. Hard drive backed up weekly.
	Agency Advice	M	Continue with CALC & SLCC membership.	Membership of CALC and SLCC continues
Accounting & Finance	Non-standard and/or non-compliant records kept.	H	Continue to require adequate, complete and statutory financial records and accounts, ensuring complete transparency.	Any change in payee details must be brought to the attention of the Council.
	Non-compliance with statutory deadlines for the completion/approval/submission of accounts and other financial returns.	H	Continue to ensure that all accounts and returns are completed and submitted by the deadlines.	
	Non-compliance with internal audit requirements	H	Appoint internal auditor	

	Banking	H	Sums of more than running costs transferred to high street bank savings account with.	Consideration of moving to online banking.
	Financial controls and records	H	Monthly report to Council of bank balances, income, expenditure. Monthly reconcile statements with Cash Book. Quarterly bank reconciliation prepared by Clerk, reported to Council and signed by Chairman and RFO. Two Councillor signatories on cheques/transfers. Internal and external audit.	Quarterly bank reconciliation.
	Comply with VAT Regulations	M	VAT payments and claims calculated by Clerk. Internal and external auditor checks.	Annual claim to HMRC.
	Sound budgeting to annual precept	M	Detailed breakdowns and explanations for precept provided with forecast for next 3 years based previous year spend, future knowns and budgeting for unknowns.	
	Complying with borrowing restrictions	L	No new borrowing likely at present.	
	Illegal expenditure	M	Continue to ensure all expenditure is within legal powers.	
Employment	Comply with Employment Law	M	Membership of CALC & SLCC Clerk has contractual agreement. Review compliance with Employment regulations regularly.	Signed contract for the footpath cutting provided for the LMP.
	Comply with HMRC requirements	H	Regular advice from HMRC. Internal and external auditor carry out annual checks.	
	Safety of Staff and visitors	M	H&S risk assessment checks to be made as required for events/activities. Checks including electrical checks to be made of toilets as legally required. Self-employed people to have own liability insurance.	Electrical PAT test checks to be undertaken. Public liability insurance kept on file for cleaning and LMP contract.
	Loss of services of Clerk Access to emails, tele-phone and documents. Clerk's functions and processes written down.	L	Immediately advertise any vacancy and request help from CALC and others. Council-owned laptop & A3 printer. SLCC has detailed function & process document available and is on hand to answer any queries.	Chairman has access to passwords. Inventory of council owned equipment.
Legal Liability	Ensuring activities are within legal powers	M	Clerk clarifies legal position on any new proposal. Legal advice to be sought where necessary.	

	Proper and timely reporting via the Minutes	M	Council meets once a month and receives and approves minutes of meetings. Minutes made available to press and public via the web site.	
	Proper document control	M	All documents stored in Clerk's home. Key historic documents (Minutes) to be stored in County Hall Records at regular intervals.	Toilet deeds formally registered with Land Registry. All minutes are digitised and are stored on the hard drive.
Councillor propriety	Registers of Interests and gifts and hospitality in place	H	Register of interests present and completed at each Council meeting. Check changes and any gifts or hospitality to be included as an agenda item in May and October meetings.	To be included in meetings.

This risk management paper was considered by the Council on and will be reviewed again in 12 months.