

PLAISTOW AND IFOLD PARISH COUNCIL – RISK ASSESSMENT

RISK IDENTIFICATION	ASSESSMENT	INTERNAL CONTROLS	REMARKS
A. INSURABLE RISKS			
Protection of physical assets owned by the Council – Loss or damage to Play Equipment and Street Furniture	LOW	<ol style="list-style-type: none"> 1. Up-to-date Asset Register 2. Regular maintenance of physical assets 3. Annual review of risk and the adequacy of insurance cover 	<ol style="list-style-type: none"> 1. Asset Register up-to-date 2. Annual RoSPA inspection of play equipment undertaken and acted upon. Regular inspections undertaken by Cllr Sallie Baker, who keeps a written record. 3. Insurance cover reviewed annually as part of internal audit.
Risk of damage to third-party property or individuals as a consequence of the Council providing services or amenities to the public	MEDIUM	<ol style="list-style-type: none"> 1. Annual review of risk and the adequacy of insurance cover 2. Review of risk of ‘one off’ events on Parish property or where the Council is acting in partnership with others 3. Ensure annual Risk Assessment undertaken in respect of Winterton Hall 	<ol style="list-style-type: none"> 1. £10 million public liability cover held. Insurance cover reviewed annually. 2. Obtain documented Risk Assessments undertaken by user Groups e.g. Plaistow PreSchool Fete, for file
Risk of consequential loss of income or the need to provide essential services following critical damage, loss or non-performance by a third party	MEDIUM	<ol style="list-style-type: none"> 1. Ensure that Winterton Hall has appropriate insurance arrangements in this area 2. Maintain Council representation on Winterton Hall Management Committee 	<ol style="list-style-type: none"> 1. Copy of insurance schedule/policy from Winterton Hall Management Committee kept on file. 2. Annual Parish Council representative appointment made in May of each year
Loss of cash through theft or dishonesty (fidelity guarantee)	LOW	<ol style="list-style-type: none"> 1. Annual review of risk and the adequacy of insurance cover 	<ol style="list-style-type: none"> 1. Insurance cover reviewed annually as part of internal audit.
Legal liability as a consequence of asset ownership	LOW	<ol style="list-style-type: none"> 1. Annual review of risk and the adequacy of insurance cover 	<ol style="list-style-type: none"> 1. Insurance cover reviewed annually as part of internal audit.

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Security and maintenance of buildings	MEDIUM	1. Ensure that Winterton Hall has appropriate insurance arrangements in this area 2. Maintain Council representation on Winterton Hall Management Committee	1. Copy of insurance schedule/policy from Winterton Hall Management Committee kept on file. 2. Annual Parish Council representative appointment made in May of each year
Banking arrangements (including borrowing and lending)	LOW	1. The adoption of Standing Orders and Financial Regulations 2. Arrangements to detect fraud and/or corruption	1. Standing Orders and Financial Regulations adopted and reviewed annually. 2. Adequacy of fidelity guarantee insurance reviewed annually to ensure it covers the maximum sums held in the bank account. Regular bank reconciliation to monthly bank statements
Ad-hoc provision of amenities/facilities for events to local groups		1. Review of risk of 'one off' events on Parish property or where the Council is working with others	Obtain documented Risk Assessments undertaken by user Groups e.g. Plaistow PreSchool Fete, for file
Professional services	MEDIUM	1. Regular reporting on performance by suppliers, providers and contractors 2. Annual review of contracts	1. Performance is monitored through supervision. 2. The Council's main contract for grass cutting is due for renewal for 3 year period commencing April 2018.

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C. SELF MANAGEMENT			
Keeping proper financial records in accordance with statutory requirements	LOW	1. Regular scrutiny of financial records and proper arrangements for the approval for expenditure	1. The Council's accounts are maintained by a recognised computerised accounts system – ALPHA supplied by RBS Software Solutions All data input and processing is undertaken by the RFO Print outs of Cash Books Receipts, Payments, Trial Balance, Bank Reconciliation and Nominal Ledgers are done monthly Bank statements are received monthly (Current A/C) and quarterly (Business Reserve A/C)
Ensuring all business activities are within legal powers applicable to local Councils	LOW	1. Recording in the minutes the power under which expenditure is being approved 2. Ensuring the proper use of funds granted to local groups and organisations; or under S137	1. Council maintains a Community Reserve Fund from which applications are made by way of a detailed form, including a request for accounts. Grants are restricted to local groups and are not awarded to 'top funding' organisations Separate account is made of S137 expenditure, as required by statute. Council has, at this time, decided not to pursue eligibility to exercise the Power of Well Being
Complying with restrictions on borrowing	LOW	1. Seeking and being guided by the advice of SALC if borrowing becomes an option	1. Council has no borrowing at the present time. Having borrowed previously, Council is aware that there are restrictions in force.
Ensuring that all requirements are met under employment law and regulations	LOW	1. To provide up-to-date contracts of employment and terms and conditions of service 2. Documented procedures in place for home/lone working	1. The Clerk has an up-to-date contract of employment and terms and conditions of service, using the NALC Model Contract 2. These policies are due for review

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Ensuring all requirements are met under HM Revenue and Customs Notices and Regulations	LOW	1. To make appropriate Payroll Services arrangements 2. To make regular claims for VAT refunds	1. Payroll services are provided for all aspects of PAYE, including LGPS, by West Sussex County Council. 2. VAT is reclaimed annually, at year end
Ensuring the adequacy of the annual precept within sound budgeting arrangements	LOW	1. Regular budget monitoring statements	1. Budget Monitoring Statements are to be reviewed by the Finance Committee and will continue to be presented to Council on a quarterly basis
Ensuring proper and effective document control	LOW	1. Proper, timely and accurate reporting of Council business in the Minutes	1. Minutes are prepared and circulated to Members as soon as practicable after the meeting to which they relate. Minutes are paginated and in sequential order The Chairman initials each page and signs the Minutes at the next meeting All Reports and appendices are included in the Minute Book but not as part of the Minutes Payments approved and monies received will be included as a Schedule to the Minutes

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C. SELF MANAGEMENT contd.			
<p>Ensuring proper and effective document control contd.</p>	<p>LOW</p>	<p>3. Documented procedures for document receipt, circulation, response, handling and filing</p> <p>4. Documented procedures for the backing up of computerised files</p>	<p>2. Current documentation is held by the Clerk at her home.</p> <p>Other documentation is stored in two locked filing cabinets (to which only the Clerk has a key) in a locked room at Winterton Hall but which others, from time to time, have access.</p> <p>Suggested actions –</p> <p>(a) Original Deeds are photocopied and originals deposited in a place of safe deposit (probably incurring a fee)</p> <p>(b) Land owned by the Parish Council is registered with HM Land Registry.</p> <p>(c) A review of all documentation is undertaken and dealt with appropriately – destroyed; retained (current or future reference/working files; archived to WSCC; permanent, as required by statute; permanent non-archival files but kept as part of Parish records (file storage space per linear foot purchased from an East Sussex County Council facility)</p> <p>(d) Defining which and how to bring certain types of documentation to the attention of Council</p> <p>Back up is made of the Council’s computerised files, including the accounts to the Clerk’s Cloud storage account.</p>
<p>Ensuring effective communication</p>	<p>LOW</p>	<p>1. Responding to electors wishing to exercise their rights of inspection</p>	<p>1. Notices/information are displayed regarding electors’ rights under the Freedom of Information of Act; electors’ rights in respect of year end accounts and audit; the timetable of meetings; contact details for Councillors and the Clerk; and many other areas of public information; on Parish notice boards, on the Council’s web site and in the Parish Newsletter, as appropriate</p>

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C. SELF MANAGEMENT contd.			
Ensuring effective communication	LOW	2. Documented procedures to deal with responses to consultation requests 3. Documented procedures for dealing with enquiries from members of the public	2. The Council makes every effort to meet timetabled deadlines for responding to consultations by outside agencies or bodies 3. The ‘unwritten’ procedures need to be formalised Council has in place a Complaints Procedure
Registers of Members’ Interests	MEDIUM/LOW	1. Registers of Members’ Interests and Gifts and Hospitality are in place, accurate and up-to-date	1. Councillors are aware of their personal responsibilities with regard to this item An agenda item in July formally requests Councillors to consider any amendments or changes to their Register Members are circulated with up-dating information as received, as appropriate All registers are current and in accordance with legislation and guidelines