

**PEASEMORE PARISH COUNCIL – General Risk Assessment 2021-22**  
**Review and adopted July 2021**

KEY to type of Risk

FIN Financial

LEG Legal

PHY Physical (\*\* indicates actions taken since last Risk Assessment)

PROF Professional or to be approved by Parish Council - Risk Assessment 6

**INSURANCE**

Status	Likelihood	Risk Description	Measures Taken	Recommendations/Controls
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	Annual check on level of cover in place (RFO) Logged system of complaints received and action taken
High PHY	Medium	Protection of Council property and equipment	Property Damage Insurance, All Risks Insurance Up to date Asset Register Regular Maintenance of equipment	Annual check on insurance values (RFO) Asset Register (Year end) Use of reputable insurance provider Regular inspection of playground equipment.
Low FIN	Low	Insolvency of insurance company	Use of one of the largest companies providing specialist cover for Councils	Free legal service and advice from National Association of Local Councils and Berkshire Local Councils Association Review of insurance provider, cover and charge annually (April)
High LEG	Low	Legal liability as a consequence of asset ownership	Public Liability Insurance	Annual check on level of cover in place (RFO)
Low FIN	Low	Loss of money through theft or dishonesty	Fidelity Guarantee Going forward no cash held. Petty cash to be paid in. Hall payments to be made by BACS Insurance cover	Annual check on level of cover in place (RFO)
Low PHY	Low	Personal Accident to Members and Officers Assault to Officers	Personal Accident cover Including Assault cover Libel and Slander cover	Annual check on level of cover in place (RFO)

## AREAS OF SELF MANAGED RISK

Status	Likelihood	Risk Description	Measures Taken	Recommendations/Controls
High FIN/ PHY	High	Damage to and safety of seats, litter bins, playground equipment, commons, and fencing	Regular maintenance when necessary Reports from councillors Claims for costs pursued whenever possible	<b>Remind</b> Councillors to keep a check on seats, litter bins, playground equipment and fencing and to report any problems to Clerk. Playground bin emptied by volunteer. Other on WBC contract Reports from members of the public Inspections to be carried out by Members during normal duties. Play Safe Inspection September
High LEG	Medium	Procedures in place for recording and monitoring members' interests, gifts and hospitality received 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, gifts and hospitality received Disclosure of interests to appear as an item on the agenda as a prompt to members	Internal audit check Register of Interest kept by WBC Monitoring Officer with a copy kept by the Clerk Ensure all Members aware of Code and need to complete Registers. Code of Conduct adopted March 2021 –Review again March 2023 <b>NB – This is the responsibility of individual Councillors.</b>
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 with Accounts and Audit Regulations	Adoption of financial regulations reviewed every <u>two years at least</u> . (adopted March 2021, review March 2023) Annual Internal and External Audit Training when necessary
High FIN	Low	Banking Arrangements	Regular bank reconciliations All payments in line with Financial Regulations	Regular monitoring reports at PC meetings Annual Internal and External Audit. New financial regulations put in place March 2021
High FIN	Low	Loss of Income, or the need to provide essential services	Contingency fund	Level agreed as part of annual budget process
High FIN/ LEG	Low	Ensuring all requirements are met under Customs and Excise regulations	Regular returns to HM Customs and Excise	Training in matters of VAT and other taxation issues as available Reading literature to keep up to date

Status	Likelihood	Risk Description	Measures Taken	Recommendations/Controls
High FIN	Low	Ensuring adequacy of annual precept and control	Approval of budget by Council in January each year and regular budget monitoring statements	Budget monitoring report to Council at bi-monthly meeting. Budget to date distributed at October meeting. Proposed budget agreed January.
Low FIN	Low	Internal audit arrangements adequate	Internal Audit assurance testing	Annual Review of internal controls and documentation in place
Medium LEG	Medium	Ensuring all business activities are within legal powers applicable to local councils	Use of budget to allocate expenditure Councillors and Clerk training	Regular monitoring reports to Council Internal audit Recording power against all expenditure on spreadsheet. Clerk member of SLCC
Medium LEG	Medium	Complying with restrictions on borrowing	Borrowing not undertaken	Reference to Local Council Administration Book (Charles Arnold Baker) and National Association of Local Councils and BALC
Medium FIN	Low	Ensuring proper use of funds granted to local groups under specific powers or under 137	Identification of items paid under Section 137 and reported in the Annual Accounts	Internal and External Audit
Medium PROF	Low	Meeting timetables as laid down when responding to consultation invitations, including commenting on planning applications	Consultation documents passed to Chairman within 48 hours of receipt	Action so agreed in Standing Orders
Medium LEG	Low	Breach of Confidentiality	Procedures for dealing with confidential data	Appropriate Standing Order for Members and Membership of ICO with Data Controller as WBC.
Low LEG	Low	Proper, timely and accurate reporting of Council business in minutes	Minutes saved on USB and back up, copy printed and signed filed Minutes circulated	Minutes approved and signed at next meeting of Council. Page numbering introduced January 2021 Internal Audit check
Low LEG	Low	Failure to respond to electors wishing to exercise their rights of inspection	Signed Minutes placed on Noticeboard for public inspection Advertising of end of year accounts and available for inspection to the public as required under the Accounts and Audit Regulations Freedom of Information Publication Scheme	Agenda consideration prior to each meeting Dates to examine end of year accounts clearly advertised on Noticeboard Also uploaded to website – <u>process of upload to be reviewed</u>
Low PHY	Low	Document control – correspondence, postage, storage and filing, etc	Filing systems maintained in fireproof cabinets Regular review of need to retain documents and other records	Review of filing system and files stored or archived Any deeds or other legal documents to be stored in safe storage (FSP, Reading)

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

<b>Status</b>	<b>Likelihood</b>	<b>Risk Description</b>	<b>Measures Taken</b>	<b>Recommendations/Controls</b>
High LEG	Low	Changes to legislation and procedures	Provide effective training for Clerk and Councillors	Provide adequate budget for Clerk and Councillor training Standing Orders reviewed every two years –adopted Mar 2021, review Mar 2023
Medium LEG	Low	Supplies and Services provided to the Council	Contract for services advertised and awarded 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 Council Sight of insurance certificate before award of contract Remind contractors re Health and Safety implications