

Linton Parish Council BUSINESS RISK ASSESSMENT

This document has been produced to enable Linton Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

Subject	Risk Identified	Risk Level H/M/L	Management/Control of Risk	Review/Assess/Revise
Assets	Loss/Damage Public Liability	L	<p>All Asset owned by the Parish Council are regularly reviewed</p> <p>All items of property are covered by insurance.</p> <p>Budget provision for replacements and repairs as necessary.</p> <p>Regular inspections, maintenance and repairs carried out by professional Play Inspection Company and reported to the Clerk in a monthly report or sooner if necessary. All Reports then reported to full Council.</p> <p>All repairs/replacements and relevant expenditure are authorised in accordance with Parish Council procedures.</p> <p>Incidents including acts of vandalism reported to the police when appropriate.</p>	Monthly, Annually & Ongoing
Land and Open Spaces Village Benches Play Areas and Equipment War Memorial	Loss/Damage Inadequate Insurance Cover Public Liability Personal Injury Security of Deeds of Ownership	L	<p>Property damage and Public and Products Liability cover included in the Parish Council insurance policy which is reviewed annually.</p> <p>Risks to the public are minimised wherever possible.</p> <p>Annual contract in place for maintenance including grass cutting, reviewed annually.</p> <p>Weekly inspections of play areas carried out by the Play Inspection Company and reported to the Clerk in a weekly report or sooner if necessary. Repairs and maintenance work undertaken by Contractors as required.</p> <p>Annual inspections of the play areas undertaken by LDC approved inspectors, who produce a risk assessment report. The report is circulated and reviewed, with work carried out on any areas of risk which have been identified.</p> <p>Deeds and relevant documents kept in locked cabinet by the Clerk or with the Parish Council Solicitor.</p> <p>Record of injuries/reported accidents maintained by Clerk.</p>	Monthly, Annually & Ongoing

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Administration and Meetings Minutes, agendas and Standing Documents	Breach of confidentiality Loss of data by theft/ unauthorised use or system crash. Accuracy and legality Non-compliance with Statutory requirements or new legislation Failure to meet statutory duty for council meetings Adequacy of meeting locations, Health & Safety Failure to comply with planning consultation deadline	L	Sensitive data is kept under password on computer and in a locked filing cabinet. Laptop in possession of Clerk, covered by insurance. Passwords changed periodically and back-ups made at regular intervals. Payroll records also kept as hard copies. This council is registered with the Information Commissioner's Office under the Data Protection Act. Membership of local and national associations maintained. All members notified of meeting by summons. Agendas sent to Councillors and displayed on notice boards with 3 clear days' notice. Quorum checked and attendance records kept. Minutes of proceedings promptly prepared, approved and signed by the Chair at the next meeting. Meeting rooms allow access for all, with appropriate facilities including seating for the Clerk, Members and general public. Clerk reports all planning consultations to Council meeting and follows up to meet deadline. Extensions requested if necessary.	ICO registration renewed annually. Monthly, Annually and Ongoing Chairman to undertake training if needed. Ensure Councillors adhere to the Code of Conduct at all times.
Councillors Register of Members Interests	Conflict of interests Failure to maintain registers of interests Training	L	All Cllrs are aware of statutory responsibilities. Declaration of interest is a separate item on each agenda. Declaration of Members Interests forms are reviewed annually and sent to the Monitoring Officer. All Cllrs accept the Council's Code of Conduct on election/co-option. Each Cllr receives a copy of Council and Financial Standing orders. 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.	Monthly, Annually and Ongoing Ensure Councillors adhere to the Code of Conduct at all times.

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			Training also offered to all Cllrs when there is a major legislative change.	
Finance Precept, Banking, Cash, PAYE, Pensions, Annual Return, VAT reclaim	Poor financial management Inadequate records Failure to comply with HMRC regulations Failure to ensure proper use of funds under S137 Incurring expenditure without proper legal authority Loss through theft or misappropriation Annual return submitted within time limits Adequacy of Precept Inadequate checks	L	Responsible Financial Officer responsible for management of financial affairs and is fully aware of requirements. Advice sought when required. Financial Regulations and Standing Orders based on NALC guidelines, set out the requirements and are reviewed annually. Financial statements subject to internal audit twice pa. Salary paid in accordance with Council regulations. Payroll admin and reporting to HMRC outsourced. PAYE/NI and pension payments handled appropriately. Accurate and regular VAT reclaims made. Balances in hand reviewed and invested in savings accounts as appropriate. No equity investments. Annual budget prepared for Precept based on anticipated income and expenditure and includes projects to be undertaken. Budget approved at Council meeting, compared to actual in monthly financial statement and variances explained. Monthly financial statement, including bank reconciliation and expenditure reviewed and approved each quarter and recorded in minutes. All payments supported by invoice or voucher which have been checked by the Clerk. All online payments to be authorised by two people and invoices initialled. Expenditure separately identified. Powers identified before expenditure requested. Statutory limit calculated and not exceeded. No petty cash or cash-based transactions. Majority of income by direct credit to the bank. All payments to be received via online banking.	Monthly, Bi-Annually, Annually and Ongoing

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			Fidelity Guarantee insurance and Legal Expenses covered by Parish Council insurance policy. Annual Return completed and submitted to the Internal Auditor for checking and signing. Added to the agenda for approved and signed by the Council and recorded in minutes. Annual Return rechecked and sent to External Auditor within time frame and published as legally required.	
Financial Controls and Records	Inadequate checks	L	Monthly reconciliations. All online payments to be authorised by two people and invoices initialled to validate the amount being spent. All financial commitments must be agreed by the Parish Council at a meeting. If the Clerk has made a payment under delegated powers, this is to be reported and approved at the next available Parish Council Meeting.	Monthly, Bi-Annually, Annually and Ongoing
Insurance	Adequacy	L	Current policy fixed for 3-year contract review to take place prior to renewal.	Review both cover and compliance prior to renewal
	Cost	L	Employer and Employee Liability cover is essential Public Liability cover is essential	
	Compliance	L	Ensure compliance processes are in place	
Election costs	Risk of an election	M	Risk is higher in an election year. No factors to mitigate the risk	Reserves to be held up to a maximum of £6,000.00, in case of an election
Council Liability	Safety and security for lone workers/attacks on personnel	L	Effective security system in operation:	Ongoing

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			<p>Visits to the Clerk are by appointment and in the presence of a Councillor when necessary.</p> <p>Telephone access available at all times.</p> <p>Appropriate insurance cover held. Personal Accident to Councillors, Clerk, employee or voluntary worker covered by Parish Council insurance policy.</p>	
Employment of Staff – Employers Liability	Failure to comply with Employment Law	L	<p>All employees have contracts of employment.</p> <p>Membership of local and national associations maintained.</p> <p>Job description clearly defined.</p> <p>Regular staff appraisals undertaken, and training encouraged.</p>	Ongoing
Legal Liability	Legality of activities	M	The Clerk clarifies legal position and takes advice when needed.	Ongoing
	Proper and timely reporting via minutes	L	The Council received and agrees the minutes at monthly meetings.	
	Proper document control	L	Document retention/destruction Policy in place	
Website	<p>Failure to meet statutory requirement re non-political content</p> <p>Non-compliance with Freedom of Information Act</p> <p>Defamation, libel and slander</p> <p>Inadequate control of website</p> <p>Failure to deliver</p>	L	<p>Ensure all contributors are aware of requirement.</p> <p>Editors check content for compliance.</p> <p>Clerk reviews regularly and is aware of what is appropriate content.</p> <p>Insurance cover in place.</p> <p>Website updated as required.</p> <p>Advertisers details passed promptly to Clerk.</p>	Ongoing

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Council Records & GDPR	Loss through theft, damage, fire or corruption of computers	M	The Parish Council holds records on computer and paper. Back up files are kept on USB sticks.	Ongoing
	Personal Data Breach	M	A retention/destruction policy is in place Council staff redact personal, and data protected information prior to circulation where appropriate Councillors have a dedicated Council email address.	