SOMERFORD PARISH COUNCIL

RISK ASSESSMENT

Adopted; 3rd February 2020

Table 1 **Area where there may be scope to use insurance to help manage risk**	
Risk Identification Insurance cover for risk is the most common approach to certain types of inherent risks: The protection of physical assets owned by the council – buildings, furniture, equipment, etc. (loss or damage) The risk of damage to third party property or individuals as a consequence of the council providing services or amenities to the public (public liability) The risk of consequential loss of income or the need to provide essential services following critical damage, loss or non-performance by a third party (fidelity guarantee) Legal liability as a consequence of asset ownership (public liability)	**Council's response** The RSPB land has been acquired and now included on the fixed asset register. The insurance company has been made aware. The notice board on Blackfirs Lane/ Chelford Road junction needs attention as the wood needs attention. Xmas lights on tree have been purchased. The biggest risk is the works being carried out on the RSPB land. No public access currently. Covered Zurich being informed of changes in December 2020.
Internal controls A council's internal controls may include: An up to date register of assets and investments Regular maintenance arrangements for physical assets Annual review of risk and adequacy of cover Ensuring the robustness of insurance providers	**Council's response** The RSPB land and in the process of transferring the lease of the CWT land (Blackfirs Lane Nature Reserve) not on asset register but on the insurance asset register in due course. Yes Yes
Internal audit assurance Internal audit testing may include: Review of internal controls in place and their documentation Review of management arrangements regarding insurance cover Testing of specific internal controls and reporting findings to management	**Council's response** Internal Auditor – G Roberts Yes Yes - Cllr P Crompton checks the audit controls

Table 2 **Areas where there may be scope to work with others to help manage risk**	
Risk Identification The limited nature of internal resources in most local councils means that councils wishing to provide services often buy them in from specialist external bodies, e.g.	Mr N Dale carries out the grass /hedge cutting and has his own insurance and carries out his own risk assessment.

Maintenance for vulnerable buildings, amenities or equipment The provision of services being carried out under agency/partnership agreements with principal authorities Banking arrangements, including borrowing or lending Ad hoc provision of amenities/facilities for events to local community groups Markets management Vehicle or equipment lease or hire Trading units (leisure centres, playing fields, burial grounds, etc.) Professional services (planning, architects, accountancy, design etc.)	RSPB land transferred. Contractors have their own insurance and will carry out their own risk assessments whilst working on site. There are Health and Safety Policy documents in place. Congleton Town Council have carried out works for the PC under their own agreements. Not undertaken at this stage. £75,000 has been gifted from the RSPB and will be placed in the Nationwide Bank Account. NA This year we have employed ‘Bowcock and Pursaill’ Solicitors to transfer the 9 acres of land from the RSPB. They have managed the risk of the transfer.
Internal controls A council’s internal controls may include: Standing orders and financial regulations dealing with the award of contracts for services or the purchase of capital equipment Regular reporting on performance by suppliers, providers, contractors Annual review of contracts Clear statements of management responsibility for each service Regular scrutiny of performance against targets Adoption of and adherence to codes of practice for procurement and investment Arrangements to detect and deter fraud and/or corruption Regular bank reconciliations, independently reviewed	 NALC’s new Financial Regulations have been adopted this year. The RSPB Financial Regulations have been reviewed in conjunction with the PC’s when offered the contracts for works. The Task Group will regularly checked the works of the contractors on site. Yes - the new website regulations need attention to be implements in 2020. Yes Yes Yes Cllr P Crompton makes regular checks Yes
Internal audit assurance Internal audit testing may include: Review of internal controls in place and their documentation Review of minutes to ensure legal powers are available, and the basis of the powers recorded and correctly applied Review and testing of arrangements to prevent and detect fraud and corruption Review of adequacy of insurance cover provided	**Council’s response** Yes Yes Yes Yes

by suppliers Testing of specific internal controls and reporting findings to management	Yes
Table 3 **Areas where there may be a need to self-manage**	
Risk identification There are a number of activities that create business risks but do not fall easily into either of the above categories for a number of reasons, principally because they are either difficult to quantify or considered inefficient to have provided externally or just uninsurable. Keeping proper financial records in accordance with statutory requirements` Ensuring all business activities are within legal powers applicable to local councils Complying with restrictions on borrowing Ensuring that all requirements are met under employment law and Inland Revenue regulations Ensuring all requirements are met under Customs and Excise regulations (especially VAT) Ensuring the adequacy of the annual precept within sound budgeting arrangements Monitoring of performance against agreed standards under partnership agreements Ensuring the proper use of funds granted to local community bodies under specific powers or under section 137 Proper, timely and accurate reporting of council business in the minutes Responding to electors wishing to exercise their rights of inspection Meeting the laid down timetables when responding to consultation invitation Meeting the requirements for Local Award for Councils Proper document control Register of members' interests and gifts and hospitality in place, complete, accurate and up to date	JDH Services have been re instructed to carry out a GDPR audit in 2020. YES YES – CPC actioned YES Will ask for advise from CHALC if we need to borrow monies for RSPB land. YES – TCS management instructed. Yes Yes YES Clerk qualifies so General Power of Competence valid Yes Yes Gold achieved All in order after elections 2019
Table 4 **Areas where there may be a need to self-manage risk**	
Internal controls A council's internal controls may include: Regular scrutiny of financial records and proper arrangements for the approval of expenditure Recording in the minutes the precise powers under which expenditure is being approved Regular returns to the Inland Revenue; contracts of employment for all staff, annually reviewed by the council, systems of updating records for any	**Council's response** YES YES Contract needs updating this year

changes in relevant legislation	
Regular returns of VAT; training the responsible officer in matters of VAT and other taxation issues as necessary	Yes
Regular budget monitoring statements	Yes
Developing systems of performance measurement	Awaiting RSPB grant monies
Procedures for dealing with and monitoring grants or loans made or received	Applications made to FCC , William Dean Trust and Inclosure Trust
Minutes properly numbered and paginated with master copy kept in safekeeping	
Documented procedures to deal with enquiries from the public	Yes
Documented procedures to deal with responses to consultation requests	Yes
Monitoring arrangements by the council regarding Quality Council status	FOI Policy and Complaints Policy in place
Documented procedures for document receipt, circulation, response, handling and filing	Gold award
Procedures in place for recording and monitoring members' interests and gifts and hospitality received	GDPR compliance Yes
Adoption of codes of conduct for members and employees	 Yes
Internal audit assurance	**Council's response**
Internal audit testing may include:	
Review of internal controls in place and their documentation	Yes
Review of minutes to ensure legal powers in place, recorded and correctly applied.	Yes
Testing of income and expenditure from minutes to cashbook, from bank statements to cashbook, from minutes to statements etc. including petty cash transactions	CLLRS ARE ENCOURAGED to check ON ALL OF THE BELOW
Review and testing of arrangements to prevent and detect fraud and corruption	Yes
Testing of disclosures	
Testing of specific internal controls and reporting findings to management	
Table 5Y **Partnership**	
Ensure that proper safeguards exist when the Council works in partnership with another body	YES

Approved by Council on

Chairman of Somerford Parish Council Date

Clerk of Somerford Parish Council Date