

**PETWORTH TOWN COUNCIL – RISK ASSESSMENT**

**Updated May 2018**

<b>RISK IDENTIFICATION</b>	<b>ASSESSMENT</b>	<b>INTERNAL CONTROLS</b>	<b>REMARKS</b>
<b>A. INSURABLE RISKS</b>			
<b>Protection of physical assets owned by the Council – Loss or damage to Play Equipment and Street Furniture</b>	MEDIUM	<ol style="list-style-type: none"> <li>1. Up-to-date Asset Register</li> <li>2. Regular maintenance of physical assets</li> <li>3. Annual review of risk and the adequacy of insurance cover</li> </ol>	<ol style="list-style-type: none"> <li>1. Asset Register last updated 31/03/2018</li> <li>2. Annual RoSPA inspection of play equipment undertaken and any issues acted upon</li> <li>Weekly documented inspections of play equipment and street furniture undertaken by John Bridle who has been appropriately trained</li> <li>3. Adequate insurance cover is ensured by basing it on the up to date asset register</li> </ol>
<b>Risk of damage to third-party property or individuals as a consequence of the Council providing services or amenities to the public</b>	MEDIUM	<ol style="list-style-type: none"> <li>1. Annual review of risk and the adequacy of insurance cover</li> <li>2. Review of risk of ‘one off’ events on Council property or where the Council is acting in partnership with others</li> <li>3. Ensure annual Risk Assessment undertaken in respect of the Town Council Office</li> </ol>	<ol style="list-style-type: none"> <li>1. £10 million public liability cover held. Certificate displayed in the council office.</li> <li>2. Obtain documented Risk Assessments undertaken by users e.g. Bonfire Committee, Burnetts Fairground and Shaylers Fairground etc, for file</li> <li>3. Fire Risk Assessment for the office took place in January 2018. Fire alarm now tested weekly.</li> </ol>
<b>Risk of consequential loss of income or the need to provide essential services following critical damage, loss or non-performance by a third party</b>	LOW	<ol style="list-style-type: none"> <li>1. Maintain Council representation on the Leconfield Hall, the Petworth Business Association and Petworth Park Sports CIC</li> </ol>	<ol style="list-style-type: none"> <li>1. Town Councillors appointed as trustees.</li> </ol>
<b>Loss of cash through theft or dishonesty (fidelity guarantee)</b>	LOW	<ol style="list-style-type: none"> <li>1. Annual review of risk and the adequacy of insurance cover</li> </ol>	<ol style="list-style-type: none"> <li>1. Ensure adequate insurance cover.</li> </ol>
<b>Legal liability as a consequence of asset ownership</b>	LOW	<ol style="list-style-type: none"> <li>1. Annual review of risk and the adequacy of insurance cover</li> </ol>	<ol style="list-style-type: none"> <li>1. Ensure adequate insurance cover.</li> </ol>

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<b>B. WORKING WITH OTHERS</b>			
<b>Security and maintenance of buildings</b>	MEDIUM	1. Ensure that the Town Council Office has appropriate insurance arrangements in this area	1a. Building insured by CDC as landlord 1b. Building contents included in Asset Register and covered by our insurance policy
<b>Banking arrangements (including borrowing and lending)</b>	LOW	1. The adoption of Standing Orders and Financial Regulations 2. Arrangements to detect fraud and/or corruption	1. Updated Standing Orders adopted April 2015 and Financial Regulations adopted December 2016. To be updated and approved in 2018.  2a. Fidelity guarantee included in insurance policy 2b. Monthly accounts reconciliation to bank statements and monthly financial reviews by the Finance and General Purposes Committee for approval by PTC
<b>Ad-hoc provision of amenities/facilities for events to local groups</b>	MEDIUM	1. Review of risk of 'one off' events on Council property or where the Council is working with others	1. Obtain documented Risk Assessments undertaken by users e.g. Bonfire Committee, Burnetts Fairground and Shaylers Fairground etc, for file
<b>Professional services</b>	MEDIUM	1. Regular reporting on performance by suppliers, providers and contractors 2. Annual or regular review of contracts	1. Performance is monitored through supervision and by reports to Council 2. The Council's current main contract for grass is with Henry Saxton who provides a yearly copy of his insurance certificate to the council.

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<b>C. SELF MANAGEMENT</b>			
<b>Keeping proper financial records in accordance with statutory requirements</b>	LOW	1. Regular scrutiny of financial records and proper arrangements for the approval for expenditure	1a. The Council's accounts are maintained by the RFO and the Chairman of the Finance and General Purposes Committee and are presented to monthly meetings of said committee and the Council 1b. All data input and processing is undertaken by the RFO and the Chairman of the Finance and General Purposes Committee 1c. Listings of Cash Book Receipts, Payments, Bank Reconciliation and Spend against budget are provided and reviewed monthly 1d. Bank statements are received monthly (Current A/C and Business Reserve A/C) 1e. Annual Internal and External Audits undertaken
<b>Ensuring all business activities are within legal powers applicable to local Councils</b>	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. This has been recorded from May 2015 onwards 2a. Council maintains a Grant Fund from which applications will be made by way of a detailed form, including a request for accounts. 2b. Grants are restricted to local groups and are not awarded to 'top funding' organisations 2c. Separate account is made of S137 expenditure, as required by statute 2d. Council has taken the General Power of Competence
<b>Complying with restrictions on borrowing</b>	LOW	1. Seeking and being guided by the advice of SALC if borrowing becomes an option	1 Existing Loan, to enable new playparks to be provided, was vetted by SSALC
<b>Ensuring that all requirements are met under employment law and regulations</b>	LOW	1. To provide up-to-date contracts of employment and terms and conditions of service 2. Payroll system in place	1. The Clerk and existing staff have contracts of employment and terms and conditions of service. 2. HMRC payroll system is used

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<b>C. SELF MANAGEMENT contd.</b>			
<b>Ensuring all requirements are met under HM Revenue and Customs Notices and Regulations</b>	LOW	1. To make appropriate Payroll Services arrangements 2. To make regular claims for VAT refunds	1. The RFO runs a monthly payroll system using the HMRC RTI 2. VAT is reclaimed annually, at year end
<b>Ensuring the adequacy of the annual precept within sound budgeting arrangements</b>	LOW	1. Regular budget monitoring statements	1. Budget Monitoring Statements are reviewed by the Finance and General Purposes Committee monthly and any concerns reported to Council on a monthly basis.
<b>Ensuring proper and effective document control</b>	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 Minutes for Committees are similarly dealt with The Chairman initials each page and signs the Minutes at the next meeting once approved All Reports and appendices are included in the Minutes Payments approved and monies received will be included in the Minutes
<b>Ensuring proper and effective document control contd.</b>	LOW	2. Documented procedures for document receipt, circulation, response, handling and filing  3. Documented procedures for the backing up of computerised files	2. Current documentation is held by the Clerk at the Town Council Office Suggested actions – (a) Original Deeds are photocopied and originals deposited in our own safe deposit (send copies to the Local Records Office at County Hall in Chichester) (b) Land owned by the Town Council is registered with HM Land Registry (currently all land is unregistered) (c) Documents are retained according to the Document Retention Policy 3 (a) Monthly back up is made of the Council's computerised files on an external hard drive which is kept off site. (b) The monthly accounts are backed up on an external hard drive which is kept in a lockable drawer in the office.

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<b>Ensuring effective communication</b>	LOW	1. Responding to electors wishing to exercise their rights of inspection	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 Town notice board, on the Council's website and in the Petworth Pages Newsletter, as appropriate
<b>Ensuring effective communication</b>	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 procedures need to be formalised and the Clerk will ensure that the compliant Complaints Procedure will be adopted
<b>Registers of Members' Interests</b>	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 Following the May 2015 contested election, all Councillors redrafted/renewed their Register as do all subsequent co-optees Members are circulated with up-dating information as received, as appropriate All registers are current and in accordance with legislation and guidelines. They are displayed on the Council website and also copied to CDC as changes occur.