## TOLLESHUNT D'ARCY PARISH COUNCIL RISK ASSESSMENT AND MANAGEMENT

Area	Risk level H (High) M (Medium) L (Low)	Measures to Mitigate Risk	Review Period	Additional Comments	Review	Last Review Date		
FINANCE AND ADMINISTRATION								
Banking	L	Reputable, long established companies chosen for banking, risk free investments. Three accounts held with Barclays Bank,						
		1) Community Account (30577034)	As Required	Account Closed				
		2) Premium Account (Henry Smith 20441619)	As Required	Account Closed				
		3) Premium Account - (10017825)	As Required	Account Closed				
		4) Unity Trust Account	As Required		Ongoing			
Non payment of Precept	L	RFO (Responsible Financial Officer) to check bank statement in May to ensure requested amount has been received.	Annually		Apr-20	Apr-19	Apr-18	Apr-17
Loss of income		Payments normally made by cheque	Financial Regulations					
(Burial Ground, Recreartion Ground	м	Receipts issued for all payments received	reviewed annually		Ongoing			
Hire)		All cash and cheques banked promptly via local town branch or local post office.						
Theft or Dishonesty		Internal auditor to check records against receipts	Annually		May-20	May-19	May-18	May-17
Financial controls and records	L	All cheque payments signed by two signatories. All payments to be approved in advance unless under emergency procedures.		Listing prepared by RFO for approval by Council at meeting	Ongoing			
	L	Monthly financial report prepared by RFO and reported to Council via regular monthly meetings.	Monthly		Ongoing			
	L	Monthly bank reconciliation prepared by RFO and reported to Council via regular monthly	Monthly		Ongoing			
	L	VAT payments and claims by RFO.		Checked by Internal Auditor	May-20	May-19	May-18	May-17
	L	Financial Regulations and Internal Audit Procedures updated in line with new legislation	Annually		May-20	May-19	May-18	May-17
	L	Council will provide training when requested.	As Required		Ongoing			
Sound budgeting and periodic scrutiny of payments and receipts	L	RFO works on estimates and draft budgets with Council Budgets presented to Council for approval.	Annually		Nov-20	Nov-19	Nov-18	Nov-17
		Precept derived directly from these figures.						
	L	Checked by Internal Auditor	Annually		May-20	May-19	May-18	May-17
Submission of Annual Return to HM Revenue and Customs	L	Maintain up-to-date Real Time Information (RTI) & VAT advisory documentation in the office for ready reference purposes.	As Required	Prepared and submitted via Payroll Bureau	Ongoing			
		Checked by Internal Auditor	Annually		May-20	May-19	May-18	May-17
	L	Payroll Bureau used for calculation of pay and deductions and maintenance of PAYE records.	As Required		Ongoing			
		Regular advice and updates received from Inland Revenue	As Required		Ongoing			
		Checked by Internal Auditor	Annually		May-20	May-19	May-18	May-17
Complying with borrowing restrictions	L	No previous borrowing, nor anticipated at present.	As Required					
Robustness of Insurance Cover	L	Regular review of cover and choice of reputable company via Came & Company by way of a group scheme.	Annually		Oct-20	Oct-19	Oct-18	Oct-17
		Reviewed by Internal Auditor	Annually		May-20	May-19	May-18	May-17
Internal Audit	м	Independent Internal Auditor appointed annually to carry out checks as per the requirements of the Accounts and Audit Regulations.	Annually		May-20	May-19	May-18	May-17
Standing Orders and Financial Regulations	L	Standing orders and financial regulations guide the procedures and decisions of the Council	Annually	Standing Orders Jan 18 Financial Regs adopted Jan 18	Jan-21	Jan-20	Jan-19	Jan-18
Loss of computer records	L	All word processing documents and spreadsheets backed up daily.	Monthly	Stored in safe in Clerks office.	Ongoing			
	L	System passwords changed every six months	Twice Annually		Apr-20	Oct-19	Apr-19	Oct-18
	L	Ensure suitable computer security is in place			Ongoing			
Document Control	м	Classify document type and retention period according to council guidelines. Dispose of documents appropriately at end of retention period.	As Required		Ongoing			
General Data Protection Regulations (GDPR)	L	Ensure compliance with relevant GDPR legislation in accordance with adopted policy and systems in place. Data Officer appointed via Maldon District Council	As Required		Ongoing			

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ASSETS								
Assets	L	Buildings and play areas insured. Value increased annually by review. All community assets, buildings and infrastructure valued over £2000 insured via Came & Company.	Annually	Asset register updated May 17	May-20	May-19	May-18	May-17
Security of Buildings, equipment etc.	н	All windows and doors locked on Pavilion - three key holders	Ongoing		Ongoing			
	м	Annual inspection of fire precautions - e.g. extinguishers in Pavilion and fire blanket in kitchen.	Annually		Oct-20	Oct-19	Oct-18	Oct-17
Play Area	м	Monthly check of all play equipment	Ongoing	Report submitted to council monthly	Ongoing			
	м	Annual inspections and recommendations taken into consideration.	Annually		Oct-20	Oct-19	Oct-18	Oct-17
LIABILITY								
Risk to third party, property or	м	Public liability insurance in place.	Annually		Oct-20	Oct-19	Oct-18	Oct-17
individuals		All complaints thoroughly investigated and appropriate action taken.	Ongoing		Ongoing			
		Ensure formal risk assessment of all public areas/events is completed.	Ongoing		Ongoing			
Employers Liability	L	Certificate of Employers' Liability Insurance is displayed	Annually		Oct-20	Oct-19	Oct-18	Oct-17
Safety of staff and visitors	L	Personal accident insurance cover for Council members and Clerk.	Annually		Ongoing			
		Regular checks on Pavilion, including annual fire extinguisher check.	Annually		Oct-20	Oct-19	Oct-18	Oct-17
Contractors - Insurance	н	To be provided by Contractors with a copy of Public Liability Insurance, to be checked upon commencement of contract and then annually.	Ongoing		Mar-19	Mar-18		
Legal liability as consequence of	М	Weekly check of all play equipment	Ongoing	Report submitted to council monthly				
ownership	м	Annual inspection of play area and recommendations considered.	Annually		Oct-20	Oct-19	Oct-18	Oct-17
LEGAL OBLIGATIONS								
Comply with all current relevant Employment Law	L	Membership of SLCC and EALC.	Ongoing		Ongoing			
Proper and timely reporting via the minutes	L	Monthly check of all play equipment.	Ongoing		Ongoing			
Document Control	L	Legal documents are stored in fireproof document storage. Records held in committee room	Ongoing		Ongoing			
Councillor's Propriety - All declarations of interest completed and register of hospitality in place.	L	Register of Interest kept and stored in commiteee room	Ongoing		Ongoing			
Comply with all current relevant legistlation for General Data Protection Regulations	L	Appointment fo Data Officer via Maldon District Council.	Ongoing					
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Version	Date of Changes	Date	Approver
1.0	Risk Assessment and Management Document Created.	24/04/2017	
	Reviewed and adopdted by the Full Parish Council	09/05/2017	
2.0	Reviewed by the Full Parish Council	27/03/2018	
3.0	Reviewed and Amended by the Full Parish Council	26/03/2019	
3.0	Reviewed - no changes	14/04/2020	
	Next Review March 2021		