

# Newbold Astbury cum Moreton Parish Council

## RISK ASSESSMENT

<b>Table 1</b> <b>Area where there may be scope to use insurance to help manage risk</b>	
<p><b>Risk Identification</b> 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)</p> <p>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)</p> <p>Legal liability as a consequence of asset ownership (public liability)</p>	<p><b>Council's response</b> Comprehensive insurance is in place with Came and Company for 2019/20</p> <p>Covered</p> <p>Public liability insurance cover for £10,000,000</p> <p>Employer's liability insurance cover £10,000,000. To be noted; Volunteer Risk Assessment needs always to be completed.</p> <p>Fidelity Guarantee £250,000 Personal accident £500,00</p>
<p><b>Internal controls</b> A council's internal controls may include: An up to date register of assets and investments</p> <p>Regular maintenance arrangements for physical assets</p> <p>Annual review of risk and adequacy of cover Ensuring the robustness of insurance providers</p>	<p><b>Council's response</b> It has come to light there are 5 defibrillators which have been gifted to the Parish Council in 2015. All are situated in local public houses and farm shop in the Parish of which the one now wishes it to be removed. The PC will now have to make provision for a case.</p> <p>Church light has been repaired this year.</p> <p>The Cheshire Railings in Moreton have been repainted this year. The Common land will need attention this year 2020. Bench damaged and the excess has been refunded in relation to claim in 2017. The bench on the green needs varnishing and the bollard is loose in the pavement by Oak Cottage. The bollard by the church is bent over but not /loose damaged. This has now been hit and knocked over by a van.</p> <p>Yes</p>
<p><b>Internal audit assurance</b> Internal audit testing may include: Review of internal controls in place and their</p>	<p><b>Council's response</b></p>

documentation Review of management arrangements regarding insurance cover Testing of specific internal controls and reporting findings to management	Online banking now in place but only needs one to action. The Clerk actions with 2 signatures on invoice and Cllr N Plant checks the online banking after every meeting.  The process for donations has been tested.
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**Table 2  
Areas where there may be scope to work with others to help manage risk**

<b>Risk Identification</b>	<b>Council's response</b>
<p>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.</p> <p>Maintenance for vulnerable buildings, amenities or equipment</p> <p>The provision of services being carried out under agency/partnership agreements with principal authorities</p> <p>Banking arrangements, including borrowing or lending</p> <p>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.)</p>	<p>Yes</p> <p>There is now a computer check in place every 6 months to check adherence with GDPR. The tree on the Village Green – the clerk needs to check who does the safety check</p> <p>The signs have been checked across the parish and reported to CE some need attention, but no actions taken. Hedge on Child Lane actioned Sign on Dodd's Lane not finalised. Footpaths along A34 sided out this year at PC cost. Upgraded of War Memorial on behalf of the church – insurance details needed when work undertaken</p> <p>Yes _ Santander offered £1,000 to transfer from RBS but there would be a charge for payments, so this was declined.</p> <p>N/A - completed through Glebe Farm</p> <p>N/A</p>
<p><b>Internal controls</b> 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</p>	<p><b>Council's response</b></p> <p>FR updated as per guidance of NALC.</p> <p>Only contractors engaged with are CTC and these have own insurance.</p>

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	NA  Cllr N Plant completes checks
Regular bank reconciliations, independently reviewed	Yes
<b>Internal audit assurance</b> 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 by suppliers Testing of specific internal controls and reporting findings to management	<b>Council's response</b>  Yes  Yes  Yes  Yes  Yes
<b>Table 3</b>	
<b>Areas where there may be a need to self-manage</b>	
<b>Risk identification</b> 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	<b>Council's response</b>  Yes Yes  No current borrowing  N/A  Cranage Parish Council with TCS Contract needs updating VAT return completed for 2018/19  Budget approved in Nov 2019 precept approved and details of band d on the website NA YES  Clerk responsible for compliance and council calendar. Yes Grant Policy adopted Yes

<p>responding to consultation invitation Meeting the requirements for Quality parish status or other accreditation Proper document control</p>	<p>Local Council Award Scheme – foundation Next level should be submitted. GDPR – appointed Data Protection Officer JDH services again for 2019/20. Elections in 2019 – all paperwork in place</p>
<p>Register of members' interests and gifts and hospitality in place, complete, accurate and up to date</p>	<p>YES In place and revised annually plus website</p>

**Table 4**  
**Areas where there may be a need to self-manage risk**

<b>Internal controls</b>	<b>Council's response</b>
<p>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 changes in relevant legislation Regular returns of VAT; training the responsible officer in matters of VAT and other taxation issues as necessary Regular budget monitoring statements</p>	<p>Yes Yes HMRC contributions made on time Cllr R Hurst on Change makes relevant checks Yes Yes needs reviewing mid-year</p>
<p>Developing systems of performance measurement</p>	<p>Yes</p>
<p>Procedures for dealing with and monitoring grants or loans made or received</p>	<p>Yes</p>
<p>Minutes properly numbered and paginated with master copy kept in safekeeping</p>	<p>Yes</p>
<p>Documented procedures to deal with enquiries from the public</p>	<p>Complaints Policy adopted this year.</p>
<p>Documented procedures to deal with responses to consultation requests</p>	<p>Following GDPR guidance</p>
<p>Monitoring arrangements by the council regarding Quality Council status</p>	<p>Yes</p>
<p>Documented procedures for document receipt, circulation, response, handling and filing</p>	<p>Yes - GDPR rules</p>
<p>Procedures in place for recording and monitoring members' interests and gifts and hospitality received</p>	<p>Yes Yes</p>
<p>Adoption of codes of conduct for members and employees</p>	<p>There is a new grievance policy from NALC which needs adopting</p>
<b>Internal audit assurance</b>	<b>Council's response</b>
<p>Internal audit testing may include: Review of internal controls in place and their documentation Review of minutes to ensure legal powers in place, recorded and correctly applied. Testing of income and expenditure from minutes to cashbook, from bank statements to cashbook,</p>	<p>Internal Audit process. Yes Members are encouraged to carry out checks.</p>

<p>from minutes to statements etc. including petty cash transactions</p> <p>Review and testing of arrangements to prevent and detect fraud and corruption</p> <p>Testing of disclosures</p> <p>Testing of specific internal controls and reporting findings to management</p>	<p>No petty cash</p> <p>Cllr N Plant being nominated to take responsibility</p> <p>Yes</p>
<p><b>Table 5 Partnership</b></p>	
<p>Ensure that proper safeguards exist when the If the Council is working in Partnership with another body the Council should take a critical look at the situation with particular emphasis on:</p> <ol style="list-style-type: none"> <li>1. If the body is not a statutory body check if a constitution is in place and appropriate officers are in place.</li> <li>2. Review the financial position of the body.</li> <li>3. Where appropriate check for public liability insurance.</li> <li>4. Keep records of the relationship of the parties by a written agreement where appropriate or the use of regular notes and minutes Council works in partnership with another body</li> </ol>	<p>Notes always taken for outside meetings but usually CE</p> <p>This will be prevalent this year if we undertake works on the Common Land</p>

Approved by Council on 13<sup>th</sup> February 2019

Cllr J Carter

*J Carter*

.....Date 12.02.20.....

Chairman of Newbold Astbury cum Moreton Parish Council

J Mason

*J Mason*

.....Date 12.02.20.....

Clerk of Newbold Astbury cum Moreton Parish Council