



## MEDSTEAD PARISH COUNCIL RISK ASSESSMENT 2020/21

HAZARD	RISK	MPC CONTROL	INTERNAL AUDIT CONTROL
<b>1.0 FINANCIAL CONTROLS AND GOVERNANCE</b>			
Loss or theft of Council funds.	Planned projects / routine work cannot be completed. Loss of public confidence in the Parish Council.	Financial Standing Orders in place. Invoices presented with cheque book for signature, for scrutiny. Two signatories required on all cheques together with Clerk. All income and expenditure presented to Council. Bank reconciliation presented to Council. All expenditure monitored against budget through Council.	Reviewed annually by internal auditor.
Loss, theft or misuse of Council credit card	Loss of public confidence in the Parish Council. Loss of credit card Fraudulent use of credit card Non-payment of credit card, thereby generating charges	Credit card reconciliation presented to Council. If lost, notify Nat West immediately Limit of £500 on card purchases Auto pay each month of total credit card balance	Reviewed annually by internal auditor.
Budget and precept calculation.	Budget not prepared in accordance with financial regulations. Precept calculation not prepared by deadline.	Budget and precept process commenced by F&GP in October and presented to Council in November for approval.	Reviewed annually by internal auditor.
VAT.	Funds are not reclaimed incurring additional cost to the Council.	Copy of the returns available. VAT reclaim calculated quarterly.	Reviewed annually by internal auditor.
HMRC payments not made on time.	Risk of fine.	Quarterly payments shown in all payments presented to Council. Copy of the returns available.	Reviewed annually by internal auditor.
Bank charges incurred.	Cost to the Council.	Monthly bank recs presented to Council.	Reviewed annually by internal auditor.

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Expenditure incurred outside Council powers.	Legal Challenge. Council reputation.	Grants and S137 payments minuted in accordance statutory financial regulations.	Reviewed annually by internal auditor.
Third party claims for losses or compensation as a result of negligence.	Council reputation. Risk of fine.	Adequate public liability insurance provided. Financial regulations reviewed annually through F&GP.	Reviewed annually by internal auditor.
Council Contracts	Non-performance. Contractor goes into administration.	Regular checks of contract performance. Contracts monitored through Maintenance Committee.	Not applicable.
<b>2.0 COUNCIL RECORDS</b>			
Data / records stored at Clerks home address.	Total loss of data / records. Accidental damage. Inappropriate storage.	Storage of documents checked and agreed by member of the Council at the time of appointment and reviewed annually. Storage provided by Council for paper documents. Back up of PC on a monthly basis on to separate hard drive(s) with one hard drive held by Chair of Council at any one time.	Financial records reviewed annually by the internal auditor.
Electronic data.	Permanent loss of data	Files backed up monthly. Monthly accounts and payroll printed and kept on file.	Financial records reviewed annually by the internal auditor.

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Electronic virus	Anti-virus protection used.	Monitored regularly.	Not applicable.
Theft of Council Laptop.	Loss of data / Council records / and or sensitive and confidential information compromised.	Files backed up monthly to provide business continuity. Lap top – password protected.	Records reviewed annually by the internal auditor.
Paper records, including Cemetery records.	Damage /loss of records.	Cemetery maps scanned and/or copied.	Records reviewed annually by the internal auditor.
Cemetery Management & Compliance	Lack of understanding of the law governing the management of cemeteries, costly pitfalls and disputes, damage to Council reputation.	Training to ensure a more efficient service managed and operated by knowledgeable staff.	Records reviewed annually by the internal auditor.
Freedom of Information Requests	Multiple requests taking up a disproportionate amount of Clerk/Councillors time. Council reputation.	Publication Scheme in progress. The Chairman of Council is notified of all FOI requests.	Not applicable.
<b>3.0 EMPLOYEES</b>			
Lone working.	Personal attack	Clerk should invite a Councillor to attend site meetings with unknown persons/contractors. Clerk to carry mobile phone at all times and inform third person of visits.	Not applicable.
Long term absence of Clerk from work due to illness.	All functions of the Council are not carried out.	Council business continuity plan to be developed.	Not applicable.

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Clerk resignation / dismissal.	Inadequate time for an effective handover with new or locum Clerk.	F&GP Committee to plan a recruitment of replacement Clerk. HALC can provide assistance with recruitment and/or finding a Locum Clerk. Council's disciplinary procedures followed.	Not Applicable.
Conflict Situations	Verbal abuse Physical abuse	Conflict management techniques. Leave the area. Call 999.	Not applicable.
<b>4.0 COUNCIL LAND</b>			
Falling Trees/ Branches / overhanging branches.	Damage to persons and property Blocking Highway / water courses	Tree inspection undertaken every 5 years or as advised on previous tree survey.	Not applicable.
Village Ponds.	Deep water causing harm to persons and/or property.	Adequate signage and fencing erected where appropriate, warning of danger. Maintenance monitored by the Council's Maintenance Committee.	Not applicable.
Medstead Cemetery, including extension.	Falling / broken memorials / sunken graves.	Cemetery improvement plan monitored by the Council's Maintenance Committee. Regular review of memorials using agreed testing process.	Not applicable.

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Illegal encampment on Council land.	Legal costs. Council reputation.	Follow policy in place. Secure Council land and to prevent unauthorised access. Clerk/Chairman follow guidance and execute eviction proceedings as necessary in accordance with policy.	Not applicable.
<b>Street Furniture (Owned by Council)</b> Examples include Goal posts, Kissing Gates, Fencing, Bus shelter, Seats / picnic benches, Notice boards, Council signs, Planters and Bins.	Structural Failure. Item falls and obstructs highways and/or footpath. Personal injury.	Inspections by Clerk. Acting swiftly to reports of from public and/or Councillors. Adequate insurance cover.	Not applicable.
<b>5.0 COUNCIL BUILDINGS (SPORTS PAVILION &amp; ALLOTMENT SHED)</b>			
Fire / Water damage.	Total loss of building. Cost of repair.	Adequate insurance cover. Reinstatement Valuation every 5 years.	Reviewed annually by internal auditor.
Criminal or accidental damage.	Cost of repair.	Adequate insurance cover. Report criminal damage incidents to the Police as required.	Not applicable.
Electrocution	Significant harm to persons / or death.	Electrical wiring test to be conducted. PAT Testing undertaken in line with regulations.	Not applicable.
Slips, trip and falls caused by slippery surfaces, steps, paths, paved areas.	Personal injury. Third party claim against the Council.	Visual checks carried out regularly Adequate insurance cover.	Not applicable.

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<b>6.0 PLAY / ADULT GYM EQUIPMENT</b>			
Injury to persons.	Third party claim against the Council.	Monthly visual checks. Annual Safety Inspection by RPII qualified third party.	Play inspection records.
Damage to equipment.	Harm caused to persons. Third party claim against the Council.	Monthly visual checks. Adequate signage to enable users to report damage to the Council. Adequate insurance cover.	Play inspection records.