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| FRENSHAM PARISH COUNCIL – RISK ASSESSMENT |

***This document has been produced to enable Frensham Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.***

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| **FINANCE AND MANAGEMENT** | | | |
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| **Subject** | **Risk(s) Identified**  **Probability (L/M/H)** | **Management/Control of Risk** | **Review/Assess/Revise** |
| **Business**  **continuity** | * Council not able to continue its business due to an unexpected circumstance or catastrophic event. (L) | * Computer data and records backed up on DellSave and external drive. * Financial information is hosted and backed up monthly by Rialtas * Emails are hosted and backed up by Vision ICT * Alternative meeting places at Royal British Legion and Marindin Hall. | Existing procedures otherwise adequate.  Review annually.  Business continuity plan now in place |
| **Precept** | * Adequacy of precept (L) * Requirements not submitted to WBC (L) * Amount not received by due date (L) | * The Council reviews the Precept requirement annually at its November meeting and reviews the budget update information, including actual position and projected position to year-end and estimated figures for the next financial year. With this information the Council then agrees the amounts set for the specific budget headings for the following year, the total of which is resolved to be the precept amount to be requested from Waverley Borough Council. This figure is submitted by the Clerk in writing to WBC. | Existing procedure adequate. |
| **Financial records** | * Inadequate records (L) * Financial irregularities (L) | * The Council has Financial Regulations that set out the requirements. * Financial accounts are reviewed by a councillor each month and signed at each council meeting. | Existing procedure adequate.  Review the Financial Regulations at the start of each new Council term of office or when necessary. |
| **Banking** | * Inadequate checks (L) * Bank mistakes (L) * Loss (L) * Charges (L) * Payments (L) | * The Council has Financial Regulations that set out the requirements for banking, cheques and reconciliation of accounts. * If the bank makes an error in processing cheques, these would be discovered when the Clerk reconciles the bank accounts once a month on receipt of statements, and would be dealt with immediately by informing the bank and awaiting their correction. * The Clerk reviews the Council’s banking arrangements regularly. * All payments require two signatories to authorise * Cllrs sign bank reconciliation and statements each month for full council approval during meeting. | Existing procedure adequate.  Review the Financial Regulations annually and bank signatory list when necessary.  Monitor the bank statements monthly. |
| **Cash** | * Loss through theft or dishonesty (L) | * The Council has Financial Regulations that set out the requirements. * Cash received is banked within 3 banking days. * The Council’s insurance policy has an Employee Dishonesty guarantee * A petty cash fund is maintained on an imprest basis. * Cash tin to be kept in safe. | Existing procedure adequate.  Review the Financial Regulations when necessary.  Employee Dishonesty is £150,000.  Council to invest in fireproof safe. |
| **Reporting**  **and auditing** | * Information communication (L) * Compliance (L) | * A list of monthly payments is provided at full Council meetings. * A schedule of income and expenditure for the year to date is provided at full Council meetings. * Financial accounts are reviewed/approved by a councillor each month. | Existing communication procedures adequate. |
| **Direct costs**  **Overhead expenses**  **Debts** | * Goods not supplied but billed (L) * Incorrect invoicing (L)) * Cheque payable incorrect (L) * Loss of stock (L) * Unpaid invoices (L) | * The Council has Financial Regulations that set out the requirements. * The Council has minimal stocks, these are checked and monitored by the Clerk. * All payments are approved & initialled by the allocated signatory. * Council approves monthly list of payments made. | Existing procedure adequate.  Review the Financial Regulations when necessary. |
| **Grants and support – payable** | * Power to pay (L) * Authorisation of Council to pay (L) | * All such expenditure goes through the required Council process of approval, and are minuted and listed accordingly if a payment is made using the S137 power of expenditure. | Existing procedure adequate.  Parish Councillors request a copy of S137 rules if required. |
| **Grants – receivable** | * Receipts of Grant (L) | * Receipt is reported to the Council at the next meeting of the Council. Any one-off grants awarded would come with terms and conditions to be satisfied. | Existing procedures adequate. |
| **Charges -**  **Rentals payable** | * Payments of leases/rentals (L) | * The Parish Council does not currently have any lease or rental agreements. | n/a |
| **Charges -**  **Rentals receivable** | * Non-receipt of rental (L) * Insurance implication (L) | * New terms and conditions for each sports club were agreed 2019. Invoiced annually, the clubs hold their own insurance. * Community shop Agreement & rent reviewed and agreed 2019 | Existing procedure adequate.  Review fees annually.  Ensure payment and copy of insurance document received |
| **Best value**  **Accountability** | * Work awarded incorrectly (L) * Overspend on services (L) | * The Council has Financial Regulations that set out the requirements. * If a problem is encountered with a contract the Clerk would investigate the situation, check the quotation/tender, research the problem and report to Council. | Existing procedure adequate.  Review Financial Regulations regularly. |
| **Salaries and associated**  **costs** | * Salary paid incorrectly (L) * Wrong hours paid (L) * Wrong rate paid (L) * False employee (L) * Wrong deductions of NI or Tax (L) * Unpaid Tax & NI contributions to HMRC (L) * Unpaid contributions to Pension (L) | * The Parish Council authorises the appointment of all employees at Council meetings. * Salary rates are assessed annually and approved by the full Council prior to 1st April each year. Salary is paid by bank transfer each month for a set number of hours and reported to the Council. * Payroll, Tax & NHI calculations are outsourced to Maxwell & Co | Existing payment system is adequate.  Implement timesheet. |
| **Clerk and other paid employees** | * Loss of Clerk (L) * Fraud (L) * Actions undertaken (L) * Health & Safety (L) | * Appropriate internal control procedures are in place. | Costs specified in financial statement when setting precept.  Existing procedure adequate.  Purchase reference books where necessary.  Membership of the SLCC & SALC  Business continuity plan now in place. |
| **Contractors** | * Tendering procedures (L) * H&S (L) | * The Council has Financial Regulations that set out the requirements. * Works/goods/services above value of £2,000 - at least three quotations required, and above £25,000 sealed bids required. Works/goods/services below value of £2,000 a single tender acceptable. * Council to approve preferred bidder. * Contractors to carry their own public liability insurance. | Existing procedures adequate. |
| **Volunteers** | * Health & Safety (L) | * Approved volunteers working under Council auspices are covered by the Council’s third party liability insurance policy. * High-visibility waistcoats, litter-pickers etc. provided by Council as necessary. * Risk & Safety briefings are given to volunteers. Litter pick register to be implemented. * Necessary training to be provided where relevant * Vegetation/Cutting – adequate signage and equipment where appropriate. * Risk assessment and any necessary training and safety wear to be provided. | Existing procedures adequate. |
| **Councillor allowances** | * Councillors over-paid (L) | * Councillors have a small budgeted annual allowance that can be used if necessary in fulfilling roles * Expenditure is minimal and is monitored against the Budget. | Existing procedure adequate.  Expenditure approved before spend through Council or by written approval by Chair or Vice Chair. |
| **Election costs** | * Election cost (L) | * Risk is higher in an election year. There are no measures which can be adopted to minimise the risk of having a contested election as this is a democratic process. | Accrue annual budget allocation in anticipation of costs arising in a future election year. |
| **VAT** | * Re-claiming (L) | * The Council has Financial Regulations that set out the requirements. | Existing procedure adequate  RFO claims quarterly |
| **Annual return** | * Submit within time limits (L) | * Annual Return is prepared by the RFO, reviewed by at least one councillor, submitted to the internal auditor for completion and then approved by the Council before being sent to the External Auditor within the required time limit. | Existing procedures adequate. |
| **Legal powers** | * Illegal activity or payments (L) | * All activity and payments within the powers of the Parish Council to be resolved and minuted at Full Parish Council Meetings. Unless otherwise stated in Financial Regulations | All activities and payments minuted. |
| **Council records -**  **paper** | * Loss through:   Theft (L)  Fire (M)  Damage (L) | * Recent Parish Council records are stored in the Parish Office in a metal cabinet (not fireproof) in a locked store-room. Records include correspondence, minute books and copies, documents for ownership of property, deeds/leases etc., records such as personnel, insurance, salaries etc. * Older records of possible historical interest, not required for immediate reference, are transferred to Surrey Resource Information Service. * Financial accounts are kept for 7 years and then destroyed. | Council investing in fireproof safe for key documentation, paperwork and cash. |
| **Council records -**  **electronic** | * Loss through:   Theft, fire, damage (L)  Corruption of computer (M) | * The Parish Council’s electronic records are stored on the Council’s computer at the Parish Office. Two Back-ups are via DellSave, one to be kept in fireproof safe. * Anti-virus software is installed on the laptop & computer. | Existing procedure adequate.  Fire proof safe to be purchased and automated cloud back up to be put in place. |
| **Insurance** | * Adequacy (L) * Cost (L) * Compliance (L) * Fidelity Guarantee (L) | * A 3-year review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. * Ensure compliance measures are in place. | Existing procedure adequate.  Review insurance provision annually.  Review of compliance. |
| **Data protection** | * Non-compliance with the GDPR May 2018 | * Now a member of the Information Commissioners Office (ICO). * To be reviewed annually. | Policies now in place and to be updated as legislation changes. |
| **Freedom of**  **Information Act** | Policy (L) | * The Council has a model publication scheme for Local Councils in place, published 2009 and reconfirmed Nov 2016. The Council is able to request a fee for any information requested to cover the cost of consumables and the clerk’s time. | Monitor and report any impacts of requests made under the FOI Act.  Requires updating |
| **Meeting location** | * Adequacy (L) * Health & Safety (L) | * Parish Council and Committee Meetings are held at the Parish Office. There are 5 keyholders (Clerk, Vice Chairman, Cllr Turner-Mumford, K Shipton, and Chairman). The premises and the facilities are considered to be of a high standard for the Clerk, Councillors and Public in the context of H&S and comfort. | Existing location adequate.  Door entry code to be changed every 6 months |
| **Emergency Reserve for contagions** | * Unclear timescales (H) * No budget allocation (H) | * Budget line implemented to record associated costs. * Continue to monitor Government guidelines and implement any necessary measures. | Existing procedures adequate. To be reviewed quarterly from a budget perspective. |

| **ASSETS** | | | |
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| **Subject** | **Risk(s) Identified**  **Probability (L/M/H)** | **Management/Control of Risk** | **Review/Assess/Revise** |
| **Community Building** | * Building damage/destruction (L) | * Frensham Village Shop is a Council tenant with their own procedures and insurances. * Building insurance maintained and reviewed annually by Council. | Existing procedures adequate. |
| **Parish Office and associated facilities** | * Security (L) * Burglary/theft (L) * Fire (L) * Electrical faults (L) * Damage to internal fixtures and fittings (L) * Damage to office equipment (L) * Office equipment becomes unserviceable (L) * Problems with disabled access (L) * Lift fails (L) * Health & Safety (L) | * The purpose-built Parish Office is located on the first floor of a modern (2011) community building. The ground floor is let to Frensham Village Shop. * Entry is via a single door secured by both a deadlock and a magnetic security lock operated by external keypad or (via a buzzer) by the Clerk when present. Windows and external doors are sealed, double-glazed lockable units. There are 6 keyholders (Clerk, Vice Chairman, Cllr Turner-Mumford, K Shipton, ~~S Millerchip and J Carter~~). * Fire extinguishers to meet statutory requirements in place and inspected annually. * Electrical equipment inspected every 2 years (PAT). * All office equipment itemised in Asset Register. * Office equipment inspected and serviced annually. Advantage taken of warranties where they exist. * Disabled access is via a self-operated lift. In event of failure during use, it can be lowered via an over-ride key in the control box. * First aid kit (2013) kept in kitchen. * Fire blanket in kitchen (2019) * An (alarmed) defibrillator (AED) is located on an external wall next to the entrance to the Parish Office (2015). Inspected Dec 2016. | Existing procedures adequate.  Note: photocopier purchased in 2018  Dell computer and printer purchased June 2011 with additional memory added 2015.& 2018  Laptop 2011  Weekly visual checks are taken of the debrillator by office, smoke alarms inside.  To consider external sourced de-fib checks |
| **Hollowdene Recreation Ground** | * Falling trees or branches (L) * Illegal occupation by travellers (M) | * Tree inspection by a qualified arborist undertaken every two years with a subsequent rolling programme of preventive and remedial work as required. Includes children’s playground and outdoor fitness areas. * External damage reported to Parish Council as soon as possible. * New heavy duty access gate installed with combination lock given to only the PC and clubs. Management process to be put in place at next HUG Committee. Additional wooden posts installed to infill potential accessible gaps. | Existing procedures adequate |
| **Hollowdene Pavilion** | * Security (L) * External deterioration/damage (L) * Internal deterioration/damage (L) * Fire (L) * Electrical safety (L) * Health & Safety (L) * Problems with disabled access (L) | * Respective sports clubs responsible for building security. * Clubs to report any external work required to Council. * Internal damage is the responsibility of respective sports clubs. * Clubs responsible for any internal maintenance required. * Fire extinguishers and emergency lighting maintained by clubs. Inspection Reports sent to Council. * Electrical safety maintained by clubs. Inspection reports sent to Council. * H&S risk assessments responsibility of individual clubs. * Clubs responsible for monitoring disabled access, with any problems reported to Council. | Existing procedures adequate.  Note: Window/door replacements 2007  External Lighting improved 2001  Patio repaired 2006 & upgraded 2013  Allocated disabled parking 2008  Ramp from field to patio repaired 2014 and replaced in 2020  Pavilion roof replaced 2009 |
| **Hollowdene**  **Children’s playground and outdoor fitness equipment** | * Loss or Damage (L) * Health & Safety (L) * Damage to third parties/property (L) | * An asset register is kept up to date and insurance is held at the appropriate level for all items. * Weekly inspection of the playground equipment made by a contractor and annual inspection carried out by RoSPA. * Annual inspection of outdoor fitness equipment by RoSPA. * Trees in the playground/fitness area subject to inspection and remedial work as above. * Public liability insurance held by Parish Council. | Existing procedure adequate.  Note: Outdoor fitness equipment installed Aug 2015  Outdoor table-tennis table installed Oct 2015  Playboat installed Sept. 2019 |
| **Shortfield Common** | * Falling trees or branches (L) * Illegal occupation by travellers (H) * Obstruction of Public Footpaths | * Tree inspection by a qualified arborist undertaken every two years with a subsequent rolling programme of preventive and remedial work as required. * Management plan available in office and website * FP regularly inspected and any remedial action taken. New Open Spaces WP * Re-instatement of wooden posts to restrict access. | Existing procedures adequate  Management plan to be revised and completed. |
| **Noticeboards** | * Damage/injury to third parties (L) | * Parish Council has six notice boards sited around the Parish. All locations have approval by relevant parties, insurance cover, inspected regularly - any repairs/maintenance requirements brought to the attention of the Parish Council. | Existing procedure adequate. |
| **War Memorial** | * Damage (vehicle/vandalism) (L) * Physical deterioration (L) * Weed growth in surroundings (L) * Damage/injury to third parties (L) | * Regular inspection. Structure cleaned and repaired by masons as required (most recently 2014). * Surroundings cleaned and weeded annually by volunteers, prior to Remembrance Day service. * Covered by insurance policy. | Existing procedures adequate.  Review annually in October.  Clerk checking ownership of WM |

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| **LIABILITY** | | | |
| **Subject** | **Risk(s) identified**  **Probability (L/M/H)** | **Management/Control of Risk** | **Review/Assess/Revise** |
| **Legal Powers** | * Illegal activity or payments (L) | * All activity and payments made within the powers of the Parish Council (not ultra vires) and to be resolved and clearly minuted. | Existing procedure adequate. |
| **Minutes/Agendas/**  **Notices/Statutory**  **documents** | * Accuracy and legality (L) * Business conduct (L) | * Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements. * Minutes are approved and signed at the next Council meeting. * Minutes and agenda are displayed on Parish Council website * Business conducted at Council meetings managed by the Chair in accordance with Standing Orders. * Members to adhere to Code of Conduct. | Existing procedure adequate.  Standing Orders reviewed annually |
| **Public Liability** | * Risk to third party, property or individuals (L) | * Insurance is in place. * Risk assessments carried out regularly. | Existing procedures adequate.  Ensure risk assessments are carried out. |
| **Employer Liability** | * Non-compliance with employment law (L) | * Payroll procedures & record keeping outsourced to Maxwell & Co. * Other procedures as advised by SALC. | Existing procedures adequate. |
| **Legal Liability** | * Legality of activities (L) * Proper and timely reporting via Minutes (L) * Proper document control (L) | * Clerk to clarify legal position on proposals and to seek advice if necessary. * Council receives and approves Minutes at monthly meetings. * Retention of document policy in place. | Existing procedures adequate. |
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| **COUNCILLORS’ PROPIETY** | | | |
| **Subject** | **Risk(s) Identified**  **Probability (L/M/H)** | **Management/Control of Risk** | **Review/Assess/Revise** |
| **Members interests** | * Conflict of interest (L) * Register of Members interests (L) | * Councillors have a duty to declare any interests at the start of every formal meeting. * Register of Member’s Interest forms submitted to Waverley Borough Council at the start of every Council term of office. | Existing procedure adequate.  Members to take responsibility to review their declarations regularly and update their Register accordingly.  New councillors to be provided with a copy of ‘The Good Councillor’s Guide’. |
| **Laptops/PC’s** | * Anti-virus software (H) | * All Cllrs to advise what software currently in place on devices. | Cllrs Duty to keep updated |