

## **ANTROBUS PARISH COUNCIL (APC)**

### **RISK ASSESSMENT - Apr 2024**

#### **Introduction**

APC is a small local Council with just over 820 parishioners (677 electors) living in 303 households. Its principal income comprises the precept and is supplemented by occasional grants for specific purposes. Rarely grant monies or similar funds are held by the APC on behalf of other informal Antrobus organisations.

APC's physical assets are limited and currently comprise a small number of public benches and signs, computer and office equipment, the Jubilee Playground (which is held on a 21 year lease), the play equipment, and a lease on the community allotment. There are no direct employees save the Clerk, and APC does not provide any significant services within the parish. Rarely APC cash is handled either by Councillors (PCs) or the Clerk.

**Areas:** 1. Playground 2. Benches 3. Signs 4. Laptop 5. Website 6. Clerk 7. Contractors 8. Volunteers 9. Councillors 10. Insurance 11. Financial 12. Bank 13. Defibrillator. 14. Other risks

#### **A: Area - Risk - Risk Management actions**

<b><u>Area/Item</u></b>	<b><u>Risk</u></b>	<b><u>Self-management</u></b> <i>Action taken by APC itself to manage this risk</i>
<b>1. Playground</b>	Injury to public	Playground supervised by trained PC Weekly inspection and litter pick by PC (weekly record maintained) Concerns and repairs required and external reports referred to next APC meeting, or to Chair immediately if urgent action required, and action taken as required APC monitors PC inspection sheets at least quarterly Recommended signage in place Regular cleaning. Management and inspection of the tree enclosed by the new fencing is agreed to be the responsibility of the Village Hall. [Clerk: The tree was inspected in Jan 2022 with no issues - see report VH Tree survey 10668-R-22.pdf in 22-23 folder. Inspection frequency target is every 3 years.] Contractors working on the equipment close the site for the protection of the public and safeguarding
	Damage to third party property	See above
	Damage to APC property or equipment	See above Refurbishment undertaken as necessary.
<b>2. Benches and Bus Shelter</b>	Injury to public	Maintain record of assets PCs appointed to monitor condition

		and report concerns/repairs to next APC meeting or to Chair if urgent action required, and action taken as required Half yearly inspection undertaken and recorded in APC Minutes
	Damage to third party property	See above
	Damage	See above
<b>3. Road signs &amp; street furniture</b>	Injury to public	See above
	Damage to third party property	See above
	Loss or Damage to APC property	See above
<b>4. Laptop and printer</b>	Injury to Clerk	Clerk to observe established guidelines for working with VDU's
	Damage to Clerk's property	Clerk to ensure equipment is properly maintained to minimise fire risk
	Loss or damage to hardware and/or software including data	Data is copied to pendrives (May 2017) which are swapped between clerk & chairman each meeting. Laptop is a macbook (safer from viruses than MS). When use is in public wifi, appropriate anti-virus and anti-malware software will be installed and up-dated automatically by subscription service
<b>5. Website</b>	Loss or damage to host or software or master data	June 2017 website 'antrobis.info' domain ownership transferred to APC and upgraded site managed by VisionICT.com incl. backup and domain name registration. We meet GDPR, transparency & accessibility regulations.
<b>6. Clerk</b>	Injury or disease	Clerk works from own home All meetings held in suitable venues Clerk provided with or able to purchase appropriate office equipment
	Mishandling of APC assets, theft or fraud	Monthly check of cashbook, (cheque book), payment authorisation forms and bank statements by Chairman. Cashbook provided to all PCs. Monthly bank reconciliations. Standing orders and bank mandate, cheques and cheque stubs require two PC signatories. Payment authorisation forms for bank transfers require 2 signatures or electronic email approval as per financial regulations. Cash transactions limited to £100. (see also 11.)
	Non -Performance	Annual Appraisal of Clerk by Chairman and Vice-Chairman Contract of Employment and Job description in place
<b>7. Contractors</b>	Injury or disease	Appointment to comply with APC Standing Orders

		All contractors required to provide evidence of appropriate insurance cover and a health and safety assessment before commencing work
	Injury to third parties Damage to third party property	See above
	Consequential loss caused by poor or non-performance	Procurement arrangements under APC Standing Orders Review of contractors' performance
<b>8. Volunteers</b>	Injury or disease	Compliance with APC Health and Safety Policy including safety assessment of task/project, provision of appropriate safety equipment or clothing and supervision
	Injury to third parties Damage to third party property	See above
<b>9. Councillors</b>	Injury or disease	Compliance with APC Health and Safety Policy including safety assessment of task/project where applicable and supervision All meetings held in suitable venues
	Injury to third parties Damage to third party property	See above
	Mishandling of APC assets, theft or fraud	Standing Orders for authorisation of all APC expenditure including signing of cheques Internal and external audit
	Corruption	Standing Orders for procurement of contractors and suppliers Code of Conduct for PCs and declarations of interest procedures Register of PCs interests and register of gifts and hospitality to be maintained and kept up to date
<b>10. Insurer/ Insurance Policy</b>	Failure of Insurer Inadequacy of insurance cover	Annual review undertaken of type and level of cover required Replacement costs of major assets reviewed on annual basis Available policies reviewed and selected by reference to APC requirements Claims performance monitored by APC
<b>11. Financial (not covered under above headings)</b>	Precept does not match budget/ expenditure	Detailed annual budget prepared in December and agreed by APC at January meeting in advance of request of precept Annual budget contains general & specific reserve funds. Budget monitoring report prepared and circulated to all PCs at least quarterly. Financial Working Group monitors budget/expenditure.
	Improper use of funds granted to local	APC requires estimate or quotation for proposed expenditure prior to payment Receipted invoice to be produced

	community bodies or under s 137	Other evidence of expenditure usually required such as visual inspection by a PC Monitoring of grants proposed and made at APC meetings
	Value Added Tax - compliance with statutory requirements	VAT return submitted annually (application for VAT refunds only).
	Expenditure unauthorised by statute	Legal power to make payment identified and recorded in Minutes Appropriate external training attended by PCs and Clerk
	Failure to maintain proper financial records	Accounts and other financial records reviewed and monitored quarterly by Finance Working Group Financial information provided monthly to Chairman and PCs -see above and 6.
	Supplier fraud	There is possibility of supplier fraud when making orders and payments. This includes collusion, overpricing, false invoicing, incomplete work, and false banking details. The latter will be checked by phone when changed.
<b>12. Bank</b>	Bank failure or non-performance	Monthly bank reconciliation by Clerk Annual review of bank performance and interest rates applicable
<b>13. Defibrillator</b>	Not working so not able to be used in emergency	Monthly checks by Parish Councillor. Packs changed every 2 years.
<b>14. Other Business Risks</b>	Negligent advice given by APC, PCs or Clerk	Follow correct procedures at APC meetings Individual PCs and Clerk to act as authorised by APC
	Libel/ Defamation	Ensure all PCs aware of Code of Conduct Scrutiny of Minutes and accurate reporting of APC business therein
	Misconduct of PCs	Ensure all PCs aware of Code of Conduct Attention of PCs to be drawn to Code of Conduct on annual basis Compliance with APC Complaints procedure where applicable
	Loss of Award Scheme (LCA)	Withdrew from scheme in 2016.
	Proper control of APC documents	Minutes properly numbered and paginated with master copy retained Minutes prepared and circulated monthly and approved at monthly APC meetings Other APC documents and records maintained by Clerk in accordance with APC document handling policy Computer records - see computer and printer. Online email - maintained by Yahoo (web access). Data protection Guidelines followed.
	General performance by APC	Monthly APC meetings held except for holiday periods.

		<p>Public meetings and/or opportunities for public consultation arranged on matters of significant local concern or importance</p> <p>Timely response to enquiries by parishioners and members of the public etc</p> <p>Timely response and compliance with timetable for responding to statutory consultations</p> <p>Adoption of formal Complaints Policy and Freedom of Information Policy.</p> <p>Urgent decisions approved to be made by Proper Officer outside meetings.</p> <p>Virtual (remote) meetings held where approved by Gov. regulations with access for the public.</p>
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### **B. Impact - Likelihood - 3<sup>rd</sup> parties**

<b><u>Area/Item</u></b>	<b><u>Risk</u></b>	<b><u>Potential Impact</u></b> <i>How serious would the impact be?</i>	<b><u>Likelihood</u></b> <i>How likely is this risk to occur?</i>	<b><u>Insurance Held</u></b> <i>Type of insurance held to cover this risk if any</i>	<b><u>Third Party Management</u></b> <i>Where working with others may assist in managing this risk</i>
<b>1. Playground</b>	Injury to public	High	Medium	Public Liability	Annual inspection and report by qualified external inspector ROSPA (Playsafety)
	Damage to third party property	Low	Low	Public Liability	
	Damage to APC property or equipment	Medium	Medium	Loss / Damage	See above
<b>2. Benches and Bus Shelter</b>	Injury to public	Medium	Low	Public Liability	Any replacement Benches procured via Recommended suppliers of public street furniture
	Damage to third party property	Low	Low	Public Liability	
	Damage	Low	Low	Loss/Damage	
<b>3. Road signs &amp; street furniture</b>	Injury to public	Low	Low	Public Liability	Signs procured & installed via CW&C approved suppliers
	Damage to third party property	Low	Low	Public Liability	
	Loss or Damage to APC property	Low	Medium	Loss/Damage	
<b>4. Laptop and printer</b>	Injury to Clerk	Medium	Low	Employer Liability	
	Damage to Clerk's property	Low	Low	Employer and/or Public Liability	

	Loss or damage to hardware and/or software including data	Medium/High	Medium	Loss/Damage Cyber insurance where available	
<b>5. Website</b>	Loss or damage to host or software or master data	Medium	Low	Loss/Damage Cyber insurance where available	Appropriate anti-virus software installed and up-dated automatically by host.
<b>6. Clerk</b>	Injury or disease	High	Low	Employer Liability	
	Mishandling of APC assets, theft or fraud	High	Low	Fidelity guarantee	Bank mandate for payment of APC cheques Bank security to allow bank transfers by the clerk
	Non - Performance	Medium	Low		
<b>7. Contractors</b>	Injury or disease	Medium	Low	Public Liability	Where ever possible contractors to be recommended by CW&C or other public authority or agency
	Injury to third parties Damage to third party property	Medium	Low	Contractor's own insurance	See above
	Consequential loss caused by poor or non-performance	Low	Low	Contractor's own insurance	See above
<b>8. Volunteers</b>	Injury or disease	High	Low	Public Liability	
	Injury to third parties Damage to third party property	High	Low	Public Liability	
<b>9. Councillors</b>	Injury or disease	High	Low	Public Liability	
	Injury to third parties Damage to third party property	High	Low	Public liability	
	Mishandling of APC assets, theft or fraud	High	Low	Loss/Damage Fidelity Guarantee	
	Corruption	High	Low		
<b>10. Insurer/ Insurance Policy</b>	Failure of Insurer Inadequacy of insurance cover	High	Low		Insurance obtained with a reputable Insurer recommended by CHALC or similar Insurance policy to be designed for use by Local Councils
<b>11. Financial</b>	Precept does not match budget/	High	Medium		Audit - internal and external

	expenditure				
	Improper use of funds granted to local community bodies or under s 137	Medium	Low		
	Value Added Tax -compliance with statutory requirements	Low	Low		
	Expenditure unauthorised by statute	High	Low		Audit - internal and external
	Failure to maintain proper financial records	High	Low		Audit - internal and external
	Supplier fraud	Low	Low		Audit - internal
<b>12. Bank</b>	Bank failure or non-performance	High	Low	APC funds covered by Statutory Guarantee	Major UK clearing bank selected as bankers Compliance with Bank mandate
<b>13. Defibrillator</b>	Not working so not able to be used in emergency	High	Low	With CW&C	
<b>14. Other Business Risks</b>	Negligent advice given by APC, PCs or Clerk	High	Low	Official's indemnity insurance	
	Libel/Defamation	High	Low	Official's indemnity insurance	
	Misconduct of PCs	High	Low		Adopted CWAC code of conduct
	Loss of Award Scheme (LCA)	Nil	N/A		
	Proper control of APC documents	Medium	Low		
	General performance by APC	High	Low		

### Revision history

Apr 2024 New layout. No other changes

Apr 2023 Section 1. 1 Annual inspection. Section 6. Signatories for payment authorisation forms added.

Apr 2022 Reviewed. Clerk addition in playground section June 2022.

Jun 2021 Added a line in section 11 relating to supplier fraud – resolution 14.4 after Internal Audit 20/21 report.

Apr 2021 3. Road signs - now furniture. 4. Pendrives – briefer. Anti-Virus – macbook. 6. Clerk – cheques etc briefer. 14. Performance – planning.

Apr 2020 Section 5 website – accessibility added. 11. Financial – Refers to general & specific reserve funds. 14. Virtual meetings.

Apr 2019 Section 'Community Kitchen Garden' removed. Playground inspections and data backup text amended. Sections numbered.

Apr 2018 Playground, website and ACKG sections extended see in red in April 2018 version

Apr 2017 Amend website section and Local Council Award N/A.

Apr 2016 Damage to hardware amended under section 'Computer'. Cyber insurance added. New section 'Website' added. Summary list of areas added to front.

Apr 2015 Defibrillator line added. QPC changed to LCA Local Council Award Scheme

Apr 2014 (Greener Antrobus section amended)

Apr 2013

Mar 2012

#### Types of insurance cover (example)

Public and products liability (£10M), employers liability (£10M), property damage (as schedule by playground (£60,000), surfaces, gates etc), money, business interruption (n/a), fidelity guarantee (corruption of staff) (£150,000), libel and slander (£250,000), officials indemnity (£500,000), personal accident (£100,000), legal expenses (£250,000 or £200/week), data breach response (n/a)