

## Yateley Town Council – Risk Assessment 2020/21

Subject	Risk(s) Identified	Control Measures	Risk Level	Review/Access/Revise
<b>Precept</b>	Adequacy of precept	Sound budgeting to underlie the annual precept. The Council receives <del>monthly</del> <b>bi-monthly</b> budget update information and detailed budgets in late Autumn. The precept is an agenda item at the January meeting.	M	<b>Existing procedure adequate.</b>
<b>Insurance</b>	Adequacy Cost Compliance Fidelity Guarantee	An annual review is undertaken of all insurance arrangements in place at budget time. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement.	L	<b>Existing procedure adequate.</b>
<b>Banking &amp; Credit Card</b>	Inadequate checks <b>Fraud and data security</b>	The Council has Financial Regulations (updated annually) which set out the requirements for banking, cheques and reconciliation of accounts. <b>Credit card policy introduced in December 2019 detailing the responsibilities and procedures to safeguard the Council against card misuse. Town Clerk has access to a live credit card statement online and monitors transactions. Card receipts are stored securely.</b>	L	<b>Existing procedures adequate.</b>
<b>Cash</b>	Loss through theft or dishonesty	The Petty Cash is receipted, checked and paid by two members of staff. It is reconciled monthly. Cash payments received from members of the public are fully receipted and a log kept of all receipts. Cash taken for casual tennis bookings is receipted, logged and reconciled each month. Cash deposits taken for hall bookings are receipted logged and kept in a secure safe. Cash deposits are returned as cash to reduce risk on money laundering. <b>Cash is deposited into the bank at regular intervals and before it reaches a significant amount.</b>	M	<b>Existing procedures adequate.</b>
<b>SANG Investments</b>	Loss of capital sum through poor investment performance	Annual review of Investment Policy & Strategy at Full Council. Regular review of investment performance data by Finance & Policy Committee and via Town Clerk meeting with investment managers. Routine checking of credit ratings for investment suppliers CCLA and St. James Wealth Management via recognised credit agency, such as Moody's, where applicable.	M	<b>Full Council and Finance &amp; Policy control.</b>
<b>Financial Controls and Records</b>	Inadequate checks	A two-monthly reconciliation is prepared by the Council's Accountant and sent to all Councillors and the RFO. Each cheque and cheque stub must have two signatories. Internal and external audits are carried out. Financial obligations must be resolved and clearly minuted before any commitment as detailed in the Finance Regulations. Payments must be resolved and clearly minuted as detailed in the financial regulations. Any <del>S137</del> <b>grant</b> payments must be recorded at time of approval.	L	<b>The leader to be invited to inspect the reconciliation and bank statements every two months.</b>

Subject	Risk(s) identified	Control Measures	Risk Level	Review/Access/Revise
<b>Grants to other organisations</b>	Reduction of grant in future years	The Council clearly states to all applicants that a grant in one year does not imply ongoing support in future years. Where any on going agreements are made, Members must be assured that the agreement can be fully financed. Groups receiving any such grant must be kept informed if the grant situation changes. <b>Grant applicants are required to present their application to the Council and to subsequently submit an update report.</b>	M	<b>A working group has been set up to look at ongoing grant support.</b>
<b>Freedom of Information Act</b>	Policy Provision	The Council has a model publication scheme for Local Councils in place. Monitor for updates to legislation.	L	<b>Existing procedures adequate.</b>
<b>Data protection</b>	Policy Provision	Data Protection & Privacy Policy in place and to be reviewed annually.	M	<b>Existing procedures adequate.</b>
<b>Data storage</b>	Loss of data	Back up EARNIE (payroll) at <del>regular</del> <b>monthly</b> intervals and keep in fire safe. Back up Omega (finance software) carried out at <del>regular</del> <b>monthly</b> intervals and kept on cloud <b>and memory stick</b> . Z drive – two discs (one back up), cloud storage used to protect against fire damage. Cemetery records kept in fire safe, digital records stored on cloud.	L	<b>Existing procedures adequate.</b>
<b>Staff</b>	Loss of Clerk/RFO	A contingency fund should be established to enable training for the CiLCA qualification in the event of the Clerk resigning	M	<b>Existing procedures adequate.</b>
	Fraud	The requirements of the Fidelity Guarantee insurance must be adhered to.	L	<b>Existing procedures adequate.</b>
	Actions undertaken	Clerk should be provided with relevant training, reference books, access to assistance, legal advice and membership of professional bodies.	L	<b>Existing procedures adequate.</b>
	Salary paid incorrectly	Salary input is performed by two members of staff who double check inputs.	L	<b>Existing procedures adequate.</b>
<b>Election costs</b>	Risk of election cost	A contingency fund exists to meet election costs	L	<b>Existing procedures adequate.</b>
<b>VAT</b>	Re-claiming / charging	The Council has Financial Regulations which set out the requirements. <b>All submissions are now submitted electronically and the software does not allow month end closure until the relevant return has been submitted.</b>	L	<b>Existing procedures adequate.</b>

Subject	Risk(s) identified	Control Measures	Risk Level	Review/Access/Revise
<b>Annual return (AGAR)</b>	Not submitted within time limits	Annual return is completed and signed by the Council, submitted to the Internal Auditor for completion and signing, then checked and sent to the External Auditor within the time limit. Timings for signing off AGAR are included in Council's Forward Plan for future meetings.	M	<b>Existing procedures adequate.</b>
<b>Lone working</b>	Injury, physical harm or abuse whilst at work	Policy in place. Training provided 7 February 2017. Risk assessment performed for Buildings & Facilities Officer's role.	M	<b>Existing procedures adequate.</b>
<b>Buildings</b>	Damage to buildings either direct or via delay in maintenance	New Buildings & Facilities Officer in post. Regular inspections and information displayed on what to do in an emergency.	M	<b>Existing procedures adequate.</b>
	Venues not attractive to hirers	15-year Cap-ex surveys are planned – these will enable the Council to plan and fund maintenance over a longer period.	M	<b>15-year cap-ex surveys would inform long term work programme.</b>
	Stairs in office are very narrow	Bell at bottom for those who are less able. Staff ensure good lighting.	L	<b>Consider replacement with more normal step size.</b>
<b>Playgrounds</b>	Risk of injury	Weekly inspections carried out by external contactor, reviewed by the Buildings & Facilities Office for work required. <del>Bi-annual inspections</del> <b>Three full inspections are completed by RoSPA Playsafety per year.</b> <del>Annual RoSPA inspection.</del>	M	<b>Existing procedures adequate.</b>
<b>Safeguarding</b>	Risk of injury	The Council will ensure that the groups we work and hire facilities to have adequate safeguarding procedures in place. <b>The Council has a Health &amp; Safety policy in place, which is reviewed annually.</b>	L	<b>Copies of safeguarding procedures to be requested for bookings.</b>
<b>Waste compound</b>	Risk of site being filled up	<del>The waste compound at the cemetery is almost at capacity. To clear this out will cost £10,000. The Council will also need a more robust waste management strategy.</del> <b>The waste compound has been cleared and the skip on site is managed by the grounds maintenance contractor.</b>	H L	<b>Monitored by Officers.</b>
<b>Events programme</b>	Risk of injury	Risk assessments to be completed for all Council run events. Volunteers will be provided with risk assessment and full operational support.	L	<b>Monitored by Officers.</b>
	Financial loss if event is cancelled	Check contractual obligation for cancellation clauses and payments due prior to booking. Investigate event insurance (does not cover cancellation for infectious diseases and only covers extreme weather events). Plan back-up date, where possible.	M	<b>Monitored by Officers.</b>

Subject	Risk(s) identified	Control Measures	Risk Level	Review/Access/Revise
<b>Market</b>	Stalls not being set up properly	Inspection by Council Officers each week.	L	<b>Monitored by Officers.</b>
	Trader uninsured	Log of trader's public liability insurance kept on file and checked annually.	L	<b>Maintain trader list and monitor.</b>
	Risk to public health	Check food suppliers have appropriate food hygiene certification and verify annually. Hart District Council also complete inspections.	L	<b>Maintain trader list and monitor.</b>