

SEALAND COMMUNITY COUNCIL

RISK ASSESSMENT 2019/20

The approach taken for risk management is as follows –

- Identify the areas to be reviewed
- Identify what the potential risks are
- Evaluate the management and control of risk and report findings
- Review asses and revise as necessary

RISK	RISK IDENTIFIED	Potential Impact H/M/L	Likelihood of Occurrence H/M/L	CONTROLS
Loss or damage to physical assets (including footway lighting columns and wayside seats.	Unable to use assets. Expense of replacing assets	H	M	<p>Adequate Insurance Cover – replacement costs provided by Flintshire County Council for lighting.</p> <p>Up to date Asset Register</p> <p>Regular maintenance provided through the maintenance contract with Flintshire County Council</p> <p>Street Lighting, notice boards and seats are inspected on a regular basis, by the Clerk with minor repairs attended to. Street Lighting is also inspected by the Council’s Street Lighting Contractor Flintshire County Council and repairs / maintenance undertaken as</p>

				<p>required in accordance with the Council's maintenance contract. In accordance with Council 's street lighting contract that Flintshire County Council Street Lighting Department recently completed electrical test and inspection of all Council's street lighting assets each year and ensure that all are inspected as required by Flintshire in line I.E.T Regulations. This will be reviewed in 2021. The lighting is also structural inspected on a regular basis by the Council's Street Lighting Contractor Flintshire County Council.</p> <p>Weekly checks by the Clerk for all lights – seats and notice boards.</p>
Public Liability and Employer Liability	Adequacy of Cover; Cost and Compliance	H	L	<p>Annual review of policy undertaken prior to renewal.</p> <p>Employer and employee liability essential and in place.</p> <p>Ensure compliance processes are in place.</p> <p>Risk assessment process in place and reviewed on an annual basis.</p> <p>Clerk seeks advice from One Voices Wales / SLCC when required.</p>

Damage to third party property or individuals	Risk of legal action arising from injury or damage to third party property	H	L	<p>Public Liability Insurance in place</p> <p>Regular maintenance of Physical assets</p> <p>Adherence to safe working practices</p> <p>Weekly checks by the Clerk.</p>
Data Protection	Non-compliance with GDPR requirements	M	L	<p>Council is registered with the ICO</p> <p>Advice sought as appropriate from One Voice Wales, ICO and SLCC.</p> <p>Data Protection Officer in place</p> <p>GDPR policy adopted by council and on the council's web site and reviewed annually.</p> <p>Privacy Notice adopted by council and on the council's web site and reviewed annually.</p> <p>Information asset register agreed by council and on the council's web site and reviewed annually.</p>
Risk of a Data Breach and a fine from the ICO.	Personal data given accidentally to a third party – clerk's PC / laptop is stolen.	H	L	<p>The Clerk's and councillors personal data – address, email address and telephone numbers (when provided) are held on the council's web site so are in the public domain.</p>

				<p>The council only holds contact information for other organisations that are in the public domain.</p> <p>Voluntary organisations when requested grants provide a copy of their bank statements</p> <p>These are held securely by the Clerk and are not given to other parties.</p> <p>Clerk's laptop/PC is encrypted.</p>
<p>Disaster Recovery and Business Continuity</p> <p>Loss of computer-based records and hard copy records</p>	<p>Council unable to provide services and meet its public requirements.</p> <p>Damage to reputation of Council</p>	H	M	<p>Council hasn't been provided the Clerk with either a desktop or laptop computer – the clerk has purchased his own.</p> <p>Clerk purchased at his own expense two Hitachi external backup drives.</p> <p>Clerk undertakes weekly backups alternating using the backup drives.</p> <p>Clerk undertakes random test of the backed-up data to ensure all saved correctly.</p> <p>One external hard drive is stored away from site at Clerk's main place of employment the other</p>

			<p>remains at his home for ease of access.</p> <p>The records on the Clerk's PC consist of minutes, agenda, letters, accounts and scanned documents of certain hard copy correspondence received. Most correspondence is actually done by email which can be accessed from any laptop / PC on the internet – the email traffic is therefore stored on the cloud by Google.</p> <p>Clerk replicates all Sealand work at home on his personal PC and laptop so that he holds duplication of all work on the laptop and PC as well as two sets of backed up data.</p> <p>All historical Council records are held on deposit by the County Archivist – full list of held records is in one of the folders. A copy has of course been scanned and now held on both my PC / laptop and two external hard drives</p>
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Loss of cash through theft or dishonesty	Council unable to provide services and meet its expenses Damage to reputation of Council	H	L	Fidelity Guarantee Insurance Internal controls to prevent and detect fraud Budgetary controls Regular reconciliation of bank statements to financial records
Complaint that Contract is not fairly awarded	Investigation by External Auditor leading to increased fees, public interest report	H	L	Standing Orders and financial regulations in place dealing with awarding of contracts
Incurring 'ultra vires' expenditure	Local elector challenge, District Audit investigation/Public Interest Report	H	L	Recording in the Minutes the powers under which non-routine and Section 137 expenditure is approved
Inadequate precept	Council unable to provide all its intended services and programmes. Council run out of funds	H	L	Monthly budget monitoring throughout year and quarterly bank reconciliations.
Poor management of funds	Bank charges Loss of Interest	L	L	Monthly budget monitoring throughout year and quarterly bank reconciliations.

VAT	Reclaiming	L	L	Existing procedures in place.
Annual Return	Not submitted within the time limit	L	L	Existing procedures in place to ensure the Annual Return is completed and signed by the council, submitted to the internal auditor for completion. Checked and sent to the external auditor.
Financial controls and records.	Council runs out of money	H	L	Regular updating of receipts and payment ledger Monthly budget monitoring throughout year and quarterly bank reconciliations. Sound Expenditure and Income policies in place Appointment of Internal Auditor
Proper, timely and accurate reporting of Council business in the Minutes	Unrecorded authorisation of action/expenditure. Challenge by local elector. Investigation by external Auditor. Public Interest report	H	L	Prompt and accurate recording of the Minutes. Minutes and agenda are displayed according to legal requirements. Minutes submitted to next meeting for approval. Business conducted at the meeting is managed by the council's chair.

				Undertake training of the chair if needed.
Members Interest	Conflict of Interest	M	M	<p>Councillors have a duty to declare any interest at the start of the meeting – this is then recorded in the minutes.</p> <p>Register of interest's process is restarted at the first meeting of the new council and is then kept under review.</p> <p>Copies of the members interest forms are held on the council's web site.</p>
Damage to footway lighting columns	<p>Cost of replacement of column</p> <p>Lack of service to public</p>	M	L	<p>Most damage is caused by third party vehicles or vandalism from whom reimbursement is claimed.</p> <p>Appropriate insurance cover in place and reviewed on an annual basis including public liability.</p>
Damage to wayside seats	Replacement cost of seat.	M	L	<p>Most damage is low-level vandalism, which would fall below an excess figure.</p> <p>Appropriate insurance cover in place and reviewed on an annual basis including public liability.</p>
Damage to Notice Boards	Replacement cost of notice board	M	L	Most damage is low-level vandalism, which would fall below an excess figure.

				Appropriate insurance cover in place and reviewed on an annual basis including public liability.
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This Policy was reviewed and approved by Council at its meeting held on Monday 19th November 2018.

P Richmond
Clerk and Responsible Financial Officer – November 2018.