

**BEAUDESERT & HENLEY IN ARDEN JOINT PARISH COUNCIL**  
**RISK ASSESSMENT SCHEDULE 2019/20**  
**Amended & Adopted 27.01.2020**

<u>Managing risks using Insurance</u>	Potential Impact H/M/L	Likely Risk H/M/L	Decision
The Croft Car Park			
Protection of physical assets owned by the J.P.C. i.e., the surface, walls, lights etc.	H	H	Insurance checked and car park inspected weekly.
Risk of slips, trips & serious injury by members of the public in bad weather or over objects left in the car park	H	H	Inspected regularly. Report holes and trip hazards so that they can be dealt with appropriately.
Car Crime in the Car Park	M	M	All incidents reported to the J.P.C. and Police and properly investigated.
Risk of being struck by vehicles when moving round the car park	M	M	Public liability insurance. Maintain clearly defined parking bays with safe walking areas. Allow clear visibility for drivers and pedestrians. Appropriately lit & setting speed limits of no more than 5 mph.
Risk of overparking and site congestion resulting in dangerous manoeuvres and blocking of pedestrian routes.	M	M	Maintain clearly defined parking bays with safe walking areas. Allow clear visibility for drivers and pedestrians. Appropriately lit.
Risk of carelessly parked cars that cause an obstruction and reduce visibility of other drivers & pedestrians.	M	M	Maintain clearly defined parking bays with safe walking areas. Allow clear visibility for drivers and pedestrians. Appropriately lit.
Protection of physical assets owned by P.C. (buildings, equipment, furniture, etc.)	H	L	Insurance Checked. Play Area equipment checked weekly & records kept. Quarterly inspections by certified inspector.
Risk of damage to third party property or individuals as consequence of P.C. providing services/amenities to the public (Pub. Liability)	H	L	Insurance Checked. Play Area equipment checked weekly & records kept. Quarterly inspections by certified inspector.
Need to provide essential services following critical damage, loss or non-performance by a third party (consequential loss)	L	L	Insurance Checked
Loss of cash through theft/dishonesty (fidelity guarantee)	H	L	R.F.O appointed and tight financial controls in place Insurance in place
Legal liability as consequence of asset ownership (public liability)	H	L	Public liability in place
<u>Internal controls</u>			
Up to date register of assets	L	L	Documents available on JPC web site & hard copy. Checked annually.

Regular maintenance arrangements for physical assets	M	L	Controls in place and checked weekly
Annual review of risk and adequacy cover	M	L	RFO & Finance Com. - checked annually
Ensuring robustness of insurance providers	L	L	Came & Company Underwritten by Aviva Insurance Limited
Monitor individual budgets annually	L	L	Income & Expenditure checked monthly by RFO & Finance Com.
<u>Internal audit assurance</u>			
Review of internal controls and documentation	L	L	RFO & IA monitors on a regular basis
Review of management arrangements regarding insurance cover	M	L	Check adequate cover & review annually
Testing specific internal controls and reporting to management	L	L	R.F.O. & IA monitors regularly
<u>Managing risks using third parties</u>			
<u>Risk identification</u>			
Security for buildings, amenities, equipment, etc.	L	L	Play Areas checked weekly
Maintenance for buildings, amenities, equipment, etc.	L	L	Play Areas checked weekly
Provision of services carried out under agency and/or partnership agreements	L	L	Third parties must be insured - monitored by RFO
Banking arrangements	M	L	Monitor accounts and interest monthly - RFO & Finance Chair
Ad hoc provision of amenities /facilities for events to local community groups	L	L	N/A
Vehicle or equipment hire	L	L	No action taken
Trading units e.g., Playing fields, Sports fields etc.,	L	L	Monitor when trading - ALL JPC
Professional services e.g., planning, architects, accountancy, design, etc.	L	L	RFO to check personal Indemnity insurance in place, when appropriate
<u>Internal controls</u>			
Financial regulations dealing with the award of contracts and/or purchase of capital items	H	L	Adhere to Standing Orders & Financial Regulations Both Reviewed 2019
Regular reporting on performance of suppliers and contractors, etc.	L	L	Record at meetings, reviewed & reported on regularly - Finance Chair & Maint. WP
Annual review of contracts	L	L	Monitor on regular basis - Maint. WP & All JPC
Regular review of performance against targets	L	L	RFO to monitor at monthly meetings
Adherence to codes of practice for procurement and investment	L	L	Monitored through Clerk/RFO & Finance Chair
Arrangements to detect and deter	H	L	RFO monitors & provides

fraud and/or corruption			information when necessary - All Finance Cllrs to check
Regular bank reconciliations, independently reviewed	H	L	RFO checks & monitors. IA also checks & monitors
<u>Internal audit assurance</u>			
Review of internal controls and documentation	L	L	Checked by RFO & IA
Review of minutes to ensure legal powers available and basis of powers recorded and correctly applied	L	L	Checked by RFO & IA
Review of arrangements to prevent/detect fraud	L	L	Checked by RFO & Finance Committee
Review of adequacy of insurance cover	L	L	Checked by RFO & Finance Committee
Testing specific internal controls and reporting to management	L	L	Monitored & Checked by RFO
<u>Risk identification</u>			
Keeping proper financial records	H	L	Procedures adopted & checked regularly by RFO & IA quarterly
Ensuring all activities are within legal powers	H	L	Clerk & IA monitors at quarterly intervals
Ensuring all requirements are met under employment law and Inland Revenue regulations	M	L	Clerk/Finance Com. to advise Payroll Clerk employed for Clerks Salary, Tax & NI
Ensuring all requirements are met under Customs & Excise regulations (VAT)	M	L	RFO monitors & claims Regularly (quarterly)
Ensuring adequacy of annual precept within sound budgeting arrangements	M	M	Budget set on sound initiatives - Finance Committee/All JPC
Ensuring proper use of funds granted to local community bodies under Section 137	M	L	N/A - JPC adopted General Power of Competence
Proper, timely and accurate reporting of council business in the minutes	L	L	Councillor's monitor monthly
Responding to Electors wishing to exercise their right to inspection	L	L	Books open by appt. Minutes available electronically, on JPC web site & hard copy. On display at Meetings & available at Henley Library.
Meeting laid down timetables when responding to consultation invitations	L	L	Adhered to
Proper document control	L	L	Re-organised from 2015
Register of members' interests, gifts, etc., in place, complete, accurate and up to date	M	L	Appropriate documents with Clerk - open to inspection by appointment & available on SDC web site
<u>Internal controls</u>			

Regular scrutiny of financial records and proper arrangements for expenditure approval	L	L	RFO & IA monitor quarterly
Recording in the minutes the precise powers under which expenditure is approved	L	L	RFO monitors & records if and when appropriate
Regular returns to the Inland Revenue: contracts of employment for all staff, annually reviewed by the Council, systems for updating records for changes in legislation	L	L	Finance Com. & RFO aware and monitors
Regular returns of VAT as necessary	L	L	VAT claimed regularly
Regular budget monitoring statements	L	L	Procedures in place
Procedures for managing grants made	L	L	Monitored and checked by Grants WP
Minutes properly numbered and paginated with master copy kept in safe-keeping	L	L	Clerk records regularly
Documented procedures to deal with enquiries from the public	L	L	RFO monitors & policies available on JPC web site - updated annually
Documented procedures to deal with responses to consultation requests	L	L	Clerk monitors if & when appropriate
Documented procedures for document receipt, circulation, response, handling and filing	L	L	In place
Procedures in place for monitoring members' interests, gifts etc.	L	L	In place & regularly monitored. On SDC web site.
Adoption of codes of conduct for members	L	L	SDC Model Code adopted by JPC - Nov 2017
<u>Internal audit assurance</u>			
Review of internal controls and documentation	L	L	RFO & IA monitor
Review of minutes to ensure legal powers in place, recorded and correctly applied	L	L	RFO & IA monitors quarterly
Testing of income and expenditure from minutes to cash book, from minutes to bank statements	L	L	RFO, Finance Com. & IA monitors & checks
Review of arrangements to prevent/detect fraud	L	L	RFO & Finance Committee monitors & checks
Testing of disclosures	L	L	RFO monitors & checks
Testing of specific internal controls and reporting to management	L	L	RFO monitors & checks
Testing of 'Cloud' back up for Edge IT Finance package, the JPC Accounting system	L	L	RFO monitors & checks

Amendments approved at JPC meeting on 27<sup>th</sup> January 2020

Signed .....

Dated .....