

Wincham Parish Council

RISK ASSESSMENT

Table 1	
Area where there may be scope to use insurance to help manage risk	
<p>Risk Identification</p> <p>Insurance cover for risk is the most common approach to certain types of inherent risks:</p> <p>The protection of physical assets owned by the council – buildings, furniture, equipment, etc. (loss or damage)</p> <p>The risk of damage to third party property or individuals as a consequence of the council providing services or amenities to the public (public liability)</p> <p>The risk of consequential loss of income or the need to provide essential services following critical damage, loss or non-performance by a third party (fidelity guarantee)</p> <p>Legal liability as a consequence of asset ownership</p>	<p>Council's response</p> <p>Comprehensive insurance is in place with Zurich</p> <p>These items are covered.</p> <p>Public liability insurance cover for £10,000,000</p> <p>Fidelity cover for £100,000</p> <p>Reviewed at appropriate times in the year.</p>

(public liability)	As above
<p>Internal controls</p> <p>A council's internal controls may include:</p> <p>An up to date register of assets and investments</p> <p>Regular maintenance arrangements for physical assets</p> <p>Annual review of risk and adequacy of cover</p> <p>Ensuring the robustness of insurance providers</p>	<p>Council's response</p> <p>Yes, reviewed annually</p> <p>Playing field equipment inspected every month by local contractor and ROSPA once a year</p> <p>Use insurance recommended by organisations NALC/ChALC</p>
<p>Internal audit assurance</p> <p>Internal audit testing may include:</p> <p>Review of internal controls in place and their documentation</p> <p>Review of management arrangements regarding insurance cover</p> <p>Testing of specific internal controls and reporting findings to management</p>	<p>Council's response</p> <p>This is covered by general management arrangements with a financial calendar with reports to the Council.</p> <p>Also compliance with Standing Orders</p>

Table 2 Areas where there may be scope to work with others to help manage risk	
Risk Identification The limited nature of internal resources in most local councils means that councils wishing to provide services often buy them in from specialist external bodies, e.g. Maintenance for vulnerable buildings, amenities or equipment The provision of services being carried out under agency/partnership agreements with principal authorities Banking arrangements, including borrowing or lending Ad hoc provision of amenities/facilities for events to local community groups	Council's response None Present banking arrangements with National Westminster Bank.

<p>Markets management</p> <p>Vehicle or equipment lease or hire</p> <p>Trading units (leisure centres, playing fields, burial grounds, etc.)</p> <p>Professional services (planning, architects, accountancy, design etc.)</p>	<p>N/A</p>
<p>Internal controls</p> <p>A council's internal controls may include:</p> <p>Standing orders and financial regulations dealing with the award of contracts for services or the purchase of capital equipment</p> <p>Regular reporting on performance by suppliers, providers, contractors</p> <p>Annual review of contracts</p> <p>Clear statements of management responsibility for each service</p> <p>Regular scrutiny of performance against targets</p> <p>Adoption of and adherence to codes of practice for procurement and investment</p> <p>Arrangements to detect and deter fraud and/or corruption</p>	<p>Council's response</p> <p>In place, reviewed annually or if a change of circumstances occurs</p> <p>WPC activities are not on such a regular basis to require such controls. Individual projects have controls in place</p>

Regular bank reconciliations, independently reviewed	Internal and External Audits carried out
<p>Internal audit assurance</p> <p>Internal audit testing may include:</p> <p>Review of internal controls in place and their documentation</p> <p>Review of minutes to ensure legal powers are available, and the basis of the powers recorded and correctly applied</p> <p>Review and testing of arrangements to prevent and detect fraud and corruption</p> <p>Review of adequacy of insurance cover provided by suppliers</p> <p>Testing of specific internal controls and reporting findings to management</p>	<p>Council's response</p> <p>A comprehensive internal audit is provided by JDH Ltd.</p> <p>This is done on an individual basis because of small number of projects undertaken.</p>
<p>Table 3</p> <p>Areas where there may be a need to self-manage</p>	
<p>Risk identification</p> <p>There are a number of activities that create business risks but do not fall easily into either of the above categories for a number of reasons, principally because they are either difficult to quantify or</p>	<p>Council's response</p> <p>Council has a management plan in place for the Linnards Lane Playing Field</p>

considered inefficient to have provided externally or just uninsurable.	
Keeping proper financial records in accordance with statutory requirements`	
Ensuring all business activities are within legal powers applicable to local councils	Done
Complying with restrictions on borrowing	Done and checked on internal audit
Ensuring that all requirements are met under employment law and Inland Revenue regulations	No current borrowing
Ensuring all requirements are met under Customs and Excise regulations (especially VAT)	Professional advice taken where necessary
Ensuring the adequacy of the annual precept within sound budgeting arrangements	Check done and internal audit
Monitoring of performance against agreed standards under partnership agreements	
Ensuring the proper use of funds granted to local community bodies under specific powers or under section 137	Part of the budgeting is checked on internal audit
Proper, timely and accurate reporting of council business in the minutes	N/A
Responding to electors wishing to exercise their rights of inspection	Internal audit process checks this item.
Meeting the laid down timetables when responding to	

<p>consultation invitation</p> <p>Proper document control</p> <p>Register of members' interests and gifts and hospitality in place, complete, accurate and up to date</p>	<p>Done</p> <p>Procedure in place</p> <p>Procedure in place</p> <p>Clerk responsible for compliance and council calendar. Discussed in Council and professional advice sought</p> <p>In place and revised annually</p>

Table 3
Areas where there may be a need to self-manage risk

Internal controls	Council's response
<p>A council's internal controls may include:</p> <p>Regular scrutiny of financial records and proper arrangements for the approval of expenditure</p> <p>Recording in the minutes the precise powers under</p>	<p>These items are covered by regular calendar of meetings, financial calendar, management system, attendance on courses so members of staff and councillors keep up to date. There is also an annual appraisal of the only employee,</p>

<p>which expenditure is being approved</p> <p>Regular returns to the Inland Revenue; contracts of employment for all staff, annually reviewed by the council, systems of updating records for any changes in relevant legislation</p> <p>Regular returns of VAT; training the responsible officer in matters of VAT and other taxation issues as necessary</p> <p>Regular budget monitoring statements</p> <p>Developing systems of performance measurement</p> <p>Procedures for dealing with and monitoring grants or loans made or received</p> <p>Minutes properly managed with master copy kept in safekeeping</p> <p>Documented procedures to deal with enquiries from the public</p> <p>Documented procedures to deal with responses to consultation requests</p> <p>Documented procedures for document receipt, circulation, response, handling and filing</p> <p>Procedures in place for recording and monitoring members' interests and gifts and hospitality received</p> <p>Adoption of codes of conduct for members and</p>	<p>the clerk, reviewing the contract of employment</p> <p>In place</p> <p>N/A</p> <p>Done</p> <p>Procedure in place</p> <p>Procedure in place</p> <p>Procedure in place</p>
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<p>employees</p>	<p>Annual review of Members' interests and a monthly record kept of gifts or hospitality</p> <p>Part of Code of Conduct</p> <p>In place</p>
<p>Internal audit assurance</p> <p>Internal audit testing may include:</p> <p>Review of internal controls in place and their documentation</p> <p>Review of minutes to ensure legal powers in place, recorded and correctly applied.</p> <p>Testing of income and expenditure from minutes to cashbook, from bank statements to cashbook, from minutes to statements etc. including petty cash transactions</p> <p>Review and testing of arrangements to prevent and detect fraud and corruption</p> <p>Testing of disclosures</p> <p>Testing of specific internal controls and reporting findings to management</p>	<p>Council's response</p> <p>These are part of the management process, covered by the Financial Calendar and the Internal Audit process.</p> <p>Committees and Council carry out monitoring procedures</p>

The Clerk will ensure the notification of personal data breaches and undertake data protection impact assessments where required for new projects as directed by the Council as Data Controller. A record log of processing of data will be maintained by the Clerk as Data Processor.

Data Audit

SUBJECT	Nature/purpose of processing	Type of data/where is it from	Who is the data subject?	Lawful basis/bases for processing	Data Controls
Planning Applications	Consultations and decisions published by the Planning Authority, and shared with Parish Council. Clerk emails details of each application and decision to parish councillors. Also published with agenda and	Name and contact information; Principal authority; residents/public	Planning applicant/resident ; Other members of the public speaking in open public session at council meetings	Compliance with legal obligation	1. Clerk to check all information before sharing with parish councillors, and ensure sensitive personal data is redacted wherever possible before sharing or publishing.

	minutes, and discussed in open forum. Parish council comments on application provided by Planning Authority				<ol style="list-style-type: none"> 2. Information in agenda and minutes to include only what is necessary to identify and discuss the application or decision. 3. Any correspondence between PC and applicant to be in accordance with data protection principles, and to be deleted within two years.
Electoral roll provided by Principal Authority		Names, address, marital status; principal authority	Parish residents	Compliance with legal obligation	<ol style="list-style-type: none"> 4. Clerk to retain in a secure place. 5. Electoral roll not to be shared with any other person. 6. Members of the public to be directed to Principal Authority for any electoral roll queries.
Parish Newsletter/Resident Surveys	Inform residents and gain views of residents	Resident Names and Contact details- from	Residents	Consent	Clerk to retain in a secure place and obtain consent form.

		residents			Not to be shared.
Website	Information relating to the Parish is published on the website		Members of public	Consent; compliance with legal obligation	<ol style="list-style-type: none"> 1. Photographs of individuals shall not be published on the website without the express permission of the individual. 2. Photographs will be deleted after a maximum of two years, and no copy of the photograph shall be retained by the PC
Councillor details	Clerk retains contact details/gathered for election purposes/published in accordance with Transparency Code and Code of Conduct	Name, address, contact details, and disclosable pecuniary interests	Parish Councillors	Compliance with legal obligation	<ol style="list-style-type: none"> 1. Details will be published on website in accordance with statutory requirements. 2. Data will be held by Clerk, on the PC laptop, and will be deleted when a councillor retires from office. 3. Requests for this data from third parties shall be referred to the website.

<p>Email or letter queries from residents or from other third parties including a request for service , reporting issues or making complaints</p>	<p>Correspondence from members of the public/residents/other parties relating to parish matters which may contain personal data.</p>	<p>Name, address, contact details, with possible sensitive personal data, depending on the nature of the matter; residents provide</p>	<p>Members of the Public/Residents</p>	<p>Public interest; compliance with legal obligation</p>	<ol style="list-style-type: none"> 1. Any email letter of other form of query received by the PC which contains personal data will be retained for a maximum of two years. 2. Such data may be stored on the PC laptop, held by the Clerk in a secure place. 3. The agreed privacy notice shall be provided to any person who contacts the PC. 4. In accordance with the agreed privacy notice, such data shall not be shared with any third party without the express permission of the data subject.
<p>Minutes – matters raised by members of the public at meetings</p>	<p>Maintained and published in accordance with Local Government legislation</p>	<p>Names and possibly other information</p>	<p>Residents/members of the public</p>	<p>Compliance with legal obligation; public interest</p>	<ol style="list-style-type: none"> 1. Every effort should be made to avoid inclusion of personal data in agenda or minutes. Where personal data or potential identifiers cannot be avoided, these

					<p>should be kept to a minimum.</p> <ol style="list-style-type: none"> Members of the public who attend the public forum or the annual meeting should be informed by the Chair that the issue may be included in public minutes, and should give their consent to this before the discussion (consent to be implied as Chair gives the members of the public the chance to withdraw from the meeting if they wish).
Letter/email to residents asking them to perform actions (eg trim trees or hedges)	In response to requests made at PC meetings.	Names, addresses and possibly other personal data provided by residents	Residents/members of the public	Compliance with legal obligation; public interest	<ol style="list-style-type: none"> Copy to be retained on PC laptop, held by Clerk in a secure place, for a maximum of two years. Information shall not be shared with any third party without express permission of the data subject.

Council Contracts and Services	Carrying out contracting work and services required by the Council;	Names, contact details, qualifications, financial details, details of certificates and diplomas, education and skills; provided in contract applications etc	Contractors/Trades persons surveyors, architects, builders, suppliers, advisers, payroll processors	Contractual necessity	1. Copy to be retained on PC laptop, held by Clerk in a secure place, for life of contract or 6 months for employment applications.
Consider any other personal data ; eg Payroll	Personal data which comes under the control of the PC which does not fit into any of the categories above	Names, addresses and possible other personal data.			<ol style="list-style-type: none"> 1. Clerk to process the data in accordance with the data protection principles, always ensuring that personal data is stored securely and not shared with any third party without the express permission of the data subject. 2. Clerk may need to bring report to Council to determine the way in which the data should be controlled.

Approved by Council on 27 February 2019 (Item 29 of the Agenda)

Ian Parr

Chairman of Wincham Parish Council

Naomi Morris

Clerk of Wincham Parish Council

Dated

27 February 2019