



ROTHERFIELD PARISH COUNCIL RISK ASSESSMENT AND MANAGEMENT POLICY

Responsibility: Finance & General Purposes Committee/Full Council.

Review Cycle: Annually or earlier in the event of legislative changes.

Date of Adoption/Renewal	Date for review
25 th July 2019	July 2020

Area	Risk	Level	Control and agreed improvements
Assets	i. Protection of physical assets	M	Insurance policy renews annually June 1st Assets listed and insured. Insurance provision and asset register reviewed at renewal.
	ii. Legal liability resulting from ownership of assets	M	Legal expenses for any claim from public as a result of losses/damage arising from Council's property covered by insurance policy.
	iii. Security of buildings, equipment etc	M	Alarm on Parish owned Surgery. Contents insured (see above).
	iv. Maintenance of buildings etc	M	Surgery Lease commenced 29 th March 2019. Planned programme of improvement and repair work is in progress.

Finance	i. Banking	M	Unity Trust Bank provide secure online facilities. Santander Bank online facilities are only used for information "view only" purposes. Additional bank account to be opened for Surgery Income and expenditure, also to diversify deposit holding in light of the £85K protection limit offered by the Financial Services Compensation Scheme.
	ii. Loss of cash through theft or dishonesty/ fraudulent issue of cheques	M	Fidelity Guarantee currently set at £150K. Regular review of internal office procedures by internal auditor.
	iii. Financial controls and records	M	<p>a) Monthly bank reconciliation carried out by Clerk, checked and countersigned by Chair of Finance and Administration Committee.</p> <p>b) Payments reviewed and approved independently of Clerk. Three signatories on cheque, three individual authorisations</p>

Clerk: Trevor Thorpe, 82 Fermor Way, Crowborough, East Sussex TN6 3BJ

Tel: 01892 664245. Email: clerk@rotherfieldparishcouncil.co.uk

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			<p>must be given for set up/release of online payments.</p> <p>c) Half yearly independent internal audit undertaken; Annual Governance and Accountability Return (AGAR) undertaken by external auditor.</p>
	iv. Comply with VAT Regulations	M	VAT payments and claims calculated by Clerk (Internal and external auditor to provide verify). VAT payments monitored by Clerk and reclaims submitted on a regular basis. Clerk is to attend training course to increase knowledge VAT matters as applicable to Parish Council.
	v. Sound budgeting to support annual precept	M	Finance & General Purpose Committee and Council receive detailed budgets in the late autumn. Precept derived directly from this. Expenditure against budget reported to Council and Committees at each of their meetings and any issues arising dealt with.
	vi. Complying with borrowing restrictions	L	No new borrowing likely at present. If borrowing likely a policy would be agreed.

Liability	i. Risk to third party, property or individuals	M	Insurance in place. Any contractor to hold at least £10M Public Liability Insurance. <i>Due to the difficulty of finding contractors with £10M, lower risk jobs may be undertaken by contractors with less than £10M with approval from the council.</i>
	ii. Legal liability as consequence of asset ownership (especially playgrounds)	H	Insurance in place. Weekly checks of play area and monthly checks undertaken of other areas of Council owned land. Reports are submitted at monthly Council meeting and action taken to rectify any issues identified. Annual playground checks by external body.

Employer Liability	i. Compliance with Employment Law	M	Membership of various national and regional bodies giving advice. All employees have a contract of employment.
	ii. Compliance with HMRC requirements	M	Monthly returns to the Inland Revenue/HMRC. Internal and external auditors carry out annual checks.
	iii. Safety of Staff and visitors	M	Lone worker policy and Health & Safety Policy to be continually reviewed.

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**Working for the Community in Rotherfield, Mark Cross,
Eridge Green, Boarshead and surrounding areas**

Legal Liability	i. Ensuring activities are within legal powers	M	Councillors apprised of legal powers and restraints. Clerk to identify legal position on any new proposal. Legal advice to be sought where necessary. Clerk CiLCA qualified.
	ii. Proper and timely reporting via the Minutes	M	Council meets monthly and receives notes of meetings held in interim. Minutes circulated to members within one week. On approval by relevant Committee meeting, minutes made available to press and public at the Parish Office and via the website.
	iii. Proper document control	M	Leases and legal documents in Parish Office (copies). Electronic data backed up to server, including monthly backups of RBS finance package. Document retention and destructions policy reviewed annually. Clerk registered as a data controller with ICO (Information Commissioners Office).
Councillor propriety	Registers of Interests and gifts and hospitality in place	H	Register of interest completed. Councillors declare any interest where necessary at meetings. Councillors agree to adhere to written Code of Conduct when taking office.

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