

# Canvey Island Town Council

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## Risk Management Assessment

**“The greatest risk facing a local authority is not being able to deliver the activity or services expected of the Council”**

The Risk Assessment is a general examination of working conditions, workplace activities and environmental factors that will enable the employer to identify any and all potential risks inherent in the place or practices.

This document has been produced to enable the Town Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

<b>Risk</b>	<b>Current action</b>	<b>Level of Risk</b>	<b>Control of Risk</b>	<b>Action by</b>
Protection of physical assets owned by the council	Annual review of insurance and adequacy of cover	M	Annual register of assets maintained and referred to Council as part of the annual accounts.  Regular maintenance arrangements for physical assets	RFO
Risk of damage to third party property or individuals as a consequence of the council providing services or amenities to the public (public liability)	Annual review of insurance and adequacy of cover	M	Annual review of risks to be approved by Council	RFO
The risk of consequential loss of income or the provision of essential services following critical damage, loss or non-performance by a third party (consequential loss).	Not currently applicable	L	CPBC Emergency Plan	Town Clerk and Mayor of Council
Loss of cash through theft or dishonesty (fidelity guarantee).	Annual review of insurance	L	Annual review of internal controls	RFO and Policy & Finance Committee
Legal liability as a consequence of asset ownership (public liability)	Annual review of insurance	L	Annual review of risks to be approved by Council	RFO and Policy & Finance Committee

Risk	Current action	Level of Risk	Control of Risk	Action by
Security for buildings, amenities, or equipment.	Office: Locked each night with key pad entrance. Key register maintained. CCTV and intruder alarm installed. Fire doors installed. Smoke detectors and fire extinguishers maintained. The office is within a Community Centre with its own external locks and fire alarm system and is managed and maintained by CPBC.	M	Annual review of buildings security procedure.	Town Clerk and Policy & Finance Committee
Maintenance for buildings, amenities or equipment.	Maintenance contracts for amenities in place.  Risk Assessments performed and issues dealt with as and when problems identified or improvements suggested.	M	Annual review of buildings/amenities	Town Clerk and Mayor of the Council
Loss of employees and provision of services	Cross training of staff  Remote working facilities for any office closures due to unforeseen circumstances	H	Annual review of training requirements/office facilities  Procedures in process of being developed for each role	Town Clerk/Council
<b>Partnership Risk Management</b>				
The provision of services being carried out under agency/partnership agreements with principal authorities.	Not currently applicable	N/A	No controls required	

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<b>Internal controls</b>				
Dealing with the award of contracts for services or the purchase of capital equipment.	Standing Orders and Financial Regulations reviewed every two years as a minimum	M	Standing orders, financial regulations and procurement policy in place	Town Clerk, RFO and Policy & Finance Committee
Banking arrangements, including borrowing or lending.	Occasional reviews	L	Review biannually and/or when deemed necessary.	Town Clerk/RFO
Performance by suppliers/providers/contractors	Reviewed as part of the monthly inspections	L	Reported to committees	Town Clerk/Appropriate Committees
Annual review of contracts.	Annual Review	L	Report to appropriate committee	Town Clerk and Appropriate Committee
Clear statements of management responsibility for each service	Job descriptions for staff, terms of reference for Committees and contracts for suppliers	L	Reviewed when changes required	Town Clerk and Appropriate Committee
Regular scrutiny of performance against targets.	Performance scrutinised by committee through the business plans and presented to electors at annual town meeting	L	Chairmen of Committees are to review their minutes and monitor what was agreed to be done (targets) and what has been done (performance).	Committee Chairmen/Town Clerk
Adoption of and adherence to proper practice guidance for procurement and investment.	Financial Regulations	L	Annual review	Town Clerk and RFO

Risk	Current action	Level of Risk	Control of Risk	Action by
Arrangements to detect and deter fraud and/or corruption.	Two mandated councillors to sign all payments including those for petty cash and transfers between accounts. (Transfers by letter signed by two councillors).	M	Bank statements, bank reconciliations and cheque numbers or BACS numbers presented to the Policy & Finance Committee at each meeting for verification.	RFO and Policy & Finance Committee
	Internet Banking payment schedule to be checked and signed by two mandated councillors.	H	A nominated signatory (councillor) will attend the office the day after the meeting to authorise the payments processed by the RFO.	RFO and member signatory
	Wage related payments are calculated by an external payroll company and checked by the Town Clerk.  All expenses authorised by 2 councillors with supporting bills or vouchers attached.  All expenditure reported to Policy & Finance/Full Council.	H	Bacs payments processed by the Town Clerk and dual authorised by a councillor.	RFO/Town Clerk
Regular bank reconciliation, independently reviewed.	Carried out on a monthly basis.	M	Reported to Policy & Finance Committee at least quarterly in line with Financial Regulations. Bank Reconciliation signed by Committee Chairman.	Town Clerk/RFO

Risk	Current action	Level of Risk	Control of Risk	Action by
Financial records	Records kept in accordance with statutory requirements and compliance with restrictions on borrowing	M	Records kept up to date	RFO
All business activities are within legal powers applicable to local councils and employment law	<p>Sufficient records kept and recorded in minutes as necessary</p> <p>Council adopted the General Power of Competence.</p> <p>Recording in the minutes the precise powers under which expenditure is being approved where necessary.</p>	M	<p>Reviewed annually by internal auditor</p> <p>Contracts of employment for all staff, annually reviewed by the Council, systems of updating records for any changes in relevant legislation.</p>	Town Clerk
All requirements are met under HM Revenue and Customs Notices and regulations (Income Tax, National Insurance and VAT).	<p>Carried out in conjunction with independent payroll company.</p> <p>Regular returns to HM Revenue and Customs for NI, Tax and VAT returns</p>	L	<p>Checked by authorised signatories when signing internet banking payments.</p> <p>Training the responsible officer in matters of VAT and other taxation issues as necessary.</p>	Town Clerk/RFO
Annual precept	Proper budgeting and precept process in place.	M	<p>Checked by Policy and Finance Committee agreed by Council. Budget performance noted at quarterly meetings of Policy &amp; Finance Committee</p>	Town Clerk/RFO and Council

Risk	Current action	Level of Risk	Control of Risk	Action by
Proper, timely and accurate reporting of council business in the minutes	Minutes signed at next available meeting	L	Confirmed by acceptance and signing of minutes	Town Clerk
Register of Members' Interests and Gifts and Hospitality	In place, complete, accurate and up to date  Procedures in place for recording and monitoring Members' interests and Gifts and Hospitality received	M	Councillors reminded annually to check their register entries at Annual Council Meeting	Town Clerk and councillors
Data Protection/GDPR	Policies in place	L	Annual registration with Information Commissioners Office	Town Clerk
Freedom of Information - impact on staff time	Model Publication Scheme	L	Annual review of policy  Monitor number of requests and report impacts to Council	Town Clerk and Mayor of the Council
Elections	Allocation in budget	H	Review budget annually	Town Clerk/RFO and Policy & Finance Committee
<b>Internal Audit Assurance</b>				
Review of internal controls in place and their documentation	Subject to internal audit	M	Annual review with internal auditor to confirm checks undertaken	Town Clerk/RFO

<b>Risk</b>	<b>Current action</b>	<b>Level of Risk</b>	<b>Control of Risk</b>	<b>Action by</b>
Review and testing of arrangements to prevent and detect fraud and corruption	Subject to internal audit	H	Meet with internal auditor to confirm checks undertaken	Town Clerk/RFO
Testing of specific internal controls and reporting findings to management.	Subject to internal audit	M	Meet with internal auditor to confirm checks undertaken.	Town Clerk/RFO
Review of procurement processes and arrangements.	Subject to internal audit	H	Meet with internal auditor to confirm checks undertaken.	Town Clerk/RFO
Review of management arrangements regarding insurance cover.	Subject to internal audit	H	Meet with internal auditor to confirm checks undertaken.	Town Clerk/RFO
Review of minutes to ensure legal powers are available, and the basis of the powers recorded and correctly applied.	Subject to internal audit	H	Meet with internal auditor to confirm checks undertaken.	Town Clerk
Testing of income and expenditure from minutes to cashbook, from bank statements to cashbook, from minutes to statements etc. including petty cash transactions	Subject to internal audit	H	Meet with internal auditor to confirm checks undertaken	Town Clerk/RFO
Testing of disclosures	Subject to internal audit	L	Meet with internal auditor to confirm checks undertaken	Town Clerk