

# SEALAND COMMUNITY COUNCIL

## RISK ASSESSMENT 2018/19

| <b>RISK</b>   | <b>POSSIBLE CONSEQUENCE</b>  | <b>Potential Impact<br/>H/M/L</b> | <b>Likelihood of Occurrence<br/>H/M/L</b> | <b>CONTROLS</b>   |
|---|--|-----------------------------------|---|---|
| <b>Loss or damage to physical assets (including footway lighting columns and wayside seats.</b> | <b>Unable to use assets.</b><br><br><b>Expense of replacing assets</b> | <b>H</b>                          | <b>M</b>                                  | <b>Adequate Insurance Cover – replacement costs provided by Flintshire County Council for lighting.</b><br><br><b>Up to date Asset Register</b><br><br><b>Regular maintenance arrangements provided through the maintenance contract with Flintshire County Council</b><br><br><b>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 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</b> |

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|  |  |          |          | <p><b>all Council's street lighting assets each year and ensure that all are inspected within a five-year rolling program as per the 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.</b></p> <p><b>Weekly checks by the Clerk for all lights – seats and notice boards.</b></p> |
| <b>Damage to third party property or individuals</b>   | <b>Risk of legal action arising from injury or damage to third party property</b>  | <b>H</b> | <b>M</b> | <p><b>Public Liability Insurance</b></p> <p><b>Regular maintenance of Physical assets</b></p> <p><b>Adherence to safe working practices</b></p> <p><b>Weekly checks by the Clerk.</b></p>   |
| <p><b>Disaster Recovery and Business Continuity</b></p> <p><b>Loss of computer based records and hard copy records</b></p> | <p><b>Council unable to provide services and meet its public requirements.</b></p> <p><b>Damage to reputation of Council</b></p> | <b>H</b> | <b>M</b> | <p><b>Council hasn't provided the Clerk with either a desktop or laptop computer</b></p> <p><b>Clerk purchased at his own expense two Hitachi external backup drives.</b></p> <p><b>Clerk undertakes weekly backups alternating using the backup drives.</b></p> <p><b>Clerk undertakes random test of the backed-up data to ensure</b></p>   |

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|  |  |  |  | <p><b>all saved correctly.</b></p> <p><b>One external hard drive is stored away from site at Clerk's main place of employment the other remains at his home for ease of access.</b></p> <p><b>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.</b></p> <p><b>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.</b></p> <p><b>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</b></p> |
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| <b>Loss of cash through theft or dishonesty</b>      | <b>Council unable to provide services and meet its expenses<br/>Damage to reputation of Council</b>          | <b>H</b> | <b>L</b> | <b>Fidelity Guarantee Insurance</b><br><br><b>Internal controls to prevent and detect fraud</b><br><br><b>Budgetary controls</b><br><br><b>Regular reconciliation of bank statements to financial records</b> |
| <b>Complaint that Contract is not fairly awarded</b> | <b>Investigation by External Auditor leading to increased fees, public interest report</b>                   | <b>H</b> | <b>L</b> | <b>Standing Orders and financial regulations in place dealing with awarding of contracts</b>  |
| <b>Incurring ‘ultra vires’ expenditure</b>           | <b>Local elector challenge, District Audit investigation/Public Interest Report</b>                          | <b>H</b> | <b>L</b> | <b>Recording in the Minutes the powers under which non-routine and Section 137 expenditure is approved</b>  |
| <b>Inadequate precept</b>                            | <b>Council unable to provide all its intended services and programmes.<br/><br/>Council run out of funds</b> | <b>H</b> | <b>L</b> | <b>Monthly budget monitoring throughout year and quarterly bank reconciliations.</b>  |
| <b>Poor management of funds</b>                      | <b>Bank charges<br/><br/>Loss of Interest</b>  | <b>L</b> | <b>L</b> | <b>Monthly budget monitoring throughout year and quarterly bank reconciliations.</b>  |
| <b>Keeping proper financial records</b>              | <b>Council runs out of money</b>   | <b>H</b> | <b>L</b> | <b>Regular updating of receipts and payment ledger</b>  |

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|   | <b>Dishonesty by staff</b>   |          |          | <b>Monthly budget monitoring throughout year and quarterly bank reconciliations.</b><br><br><b>Sound Expenditure and Income policies in place</b><br><br><b>Appointment of Internal Auditor</b> |
| <b>Proper, timely and accurate reporting of Council business in the Minutes</b> | <b>Unrecorded authorisation of action/expenditure.</b><br><br><b>Challenge by local elector.</b><br><br><b>Investigation by external Auditor.</b><br><br><b>Public Interest report</b> | <b>H</b> | <b>L</b> | <b>Prompt and accurate recording of the Minutes.</b><br><br><b>Minutes submitted to next Meeting for approval</b>   |
| <b>Damage to footway lighting columns</b>                                       | <b>Cost of replacement of column</b><br><br><b>Lack of service to public</b>   | <b>M</b> | <b>L</b> | <b>Most damage is caused by third party vehicles or vandalism from whom reimbursement is claimed.</b><br><br><b>Appropriate insurance cover in place.</b>                                       |
| <b>Damage to wayside seats</b>  | <b>Replacement cost of seat.</b><br><br><b>Reduced range of equipment for users</b>  | <b>M</b> | <b>L</b> | <b>Most damage is low-level vandalism, which would fall below an excess figure</b>  |

This Policy was reviewed and approved by Council at its meeting held on Monday 11<sup>th</sup> December 2017.

**P Richmond**  
**Clerk and Responsible Financial Officer - December 2017**