



# **SCOTHERN PARISH COUNCIL**

## **Risk Assessment**

Compiled by Mrs L Richardson  
Clerk to the Council

Adopted 8 January 2020



Scothern Parish Council is well served by clearly stated policies and procedures, which are reviewed at least bi-annually.

**Overview**

Aim	Risk	Method used to Minimise Risk	Responsibility	Compliant/Action required
1. To ensure compliance with the Acts of Parliament, Council's financial regulations and code of conduct.	Breaking the Councils financial regulations and/or standing orders.	<ul style="list-style-type: none"> <li>- All Councillors issued with the relevant policies when they join the Parish Council.</li> <li>- There is a compliance section on each monthly agenda to minute any breach.</li> </ul>	Responsible Financial Officer (RFO) Chair	Compliant
2. To influence other council departments and Government organisations to fulfil the requirements of the Parish population.	Lack of effective lines of communication with parishioners.	<ul style="list-style-type: none"> <li>- Take every opportunity to publicise role of Parish Council.</li> <li>- Provide a regular email to residents (The Clarion), this is now also available on the website, including back issues.</li> <li>- Maintain an active web site, the Clerk updates this on a monthly basis and the Chair also checks on a regular basis.</li> <li>- There is a monthly Council report of activities in parish magazine.</li> <li>- Effective use of Notice Boards and "fliers".</li> <li>- Use key issues to raise profile of PC and to test parishioners' views.</li> <li>- Add social event to occasional meeting, in particular the Annual Parish meeting.</li> <li>- Ensure that the Annual Parish Meeting provides a real forum for residents to raise issues of concern and to raise/discuss issues they wish the PC to address in the year ahead.</li> </ul>	Chair Clerk	Compliant <ul style="list-style-type: none"> <li>- All up to date Clarions (enewsletter) available on the website.</li> <li>- The website has been moved this year to a new domain – this is mainly up to date. Clubs have been asked to check all contact information etc is correct.</li> <li>- Noticeboards are up to date and contain Agendas, minutes, CallConnect information and parish maps.</li> </ul>
3. To keep appropriate books of account accurately and up to date throughout the financial year.	Inaccuracies and interest losses caused by account transfers.	<ul style="list-style-type: none"> <li>- Keep number of accounts to a minimum but ensure that any large credit balances are deposited in an interest-bearing account</li> </ul>	RFO	Compliant <ul style="list-style-type: none"> <li>- Bank accounts have been moved to Lloyds, keeping an account for the general reserves and an account for play areas.</li> <li>- Current (cheque) account reconciled before transfer of funds.</li> <li>- Play area funds need checking to budget reserves before transfer can take place.</li> </ul>

	RFO/Clerk taken ill or leaves without replacement	<ul style="list-style-type: none"> <li>– Appoint temporary replacement - ask the previous RFO in the short term but if not available or not willing seek assistance from the Internal Auditor.</li> </ul>	RFO	Compliant <ul style="list-style-type: none"> <li>– The Chair can act as temporary RFO until a replacement is found.</li> </ul>
4. To ensure that the annual precept requirement results from an adequate budgetary process; progress against the budget is regularly monitored; and reserves are appropriate	Lack of knowledge of budgetary process, and Council regulations.	<ul style="list-style-type: none"> <li>– Regulations are in Standing Orders issued to all councillors.</li> <li>– Place item on agenda early in year to remind councillors of budget process and actions required.</li> <li>– Delegate responsibility for managing budgetary process to two councillors or to RFO</li> </ul>	Chair Clerk Councillors RFO	Compliant <ul style="list-style-type: none"> <li>– The draft budget was tabled at a meeting in September. 2 Councillors and the RFO then made any necessary amendments and re circulated it to Councillors.</li> <li>– The precept figure was resolved at a full council meeting.</li> <li>– The relevant paperwork was submitted to WLDC by the RFO by the necessary deadline.</li> </ul>
5. To explore all possible sources of income, and to ensure that expected income is fully received.	Lack of knowledge of possible sources of income e.g. grants.	<ul style="list-style-type: none"> <li>– Obtain details as and when necessary.</li> <li>– Ensure invoices are issued as soon as possible, followed by monthly statements if needed.</li> </ul>	Chair Councillors	Compliant
6. To ensure that salaries paid to employees and amounts paid to contractors are paid in accordance with council regulations, and adequately monitored.	Payments are not made, and the Council is chased for money / legal action.	<ul style="list-style-type: none"> <li>– Invoices are filed and included on the next agenda after being received.</li> <li>– Employee salary is submitted via HMRC Basic PAYE Tool monthly.</li> <li>– Employee salary is paid via standing order.</li> </ul>	RFO Clerk	Complaint
7. To carry out adequate safety checks on all buildings, properties, and equipment for which the council is responsible	Lack of commitment to carrying out safety checks.	<ul style="list-style-type: none"> <li>– Responsibility for particular priorities is delegated to individual councillors and reported to the full council on a monthly basis.</li> </ul>	Clerk	Compliant <ul style="list-style-type: none"> <li>– Play area safety check completed and necessary action taken as per report.</li> </ul>
8. 8. To prevent risk of electronic data loss	Loss of data due to virus/malicious code/	<ul style="list-style-type: none"> <li>– Install and configure anti-virus/firewall software and ensure that it is set to automatically update and scan regularly</li> </ul>	Clerk	Compliant <ul style="list-style-type: none"> <li>– A new laptop has been purchased and included one-year Norton Antivirus.</li> <li>– Clerk completes monthly update of electrical documents on a USB3 stick.</li> </ul>

**The following actions are recommended to be undertaken during 2020/21.**

1. Check all councillors have attended a councillors training day in last 2 years.
2. Ensure all Councillors have a policy file with all up to date policies in it.
3. Check the play area banking balance against the budget reserves figure.

## Detailed Assessment

Aim	Risk	Method used to Minimise Risk	Responsibility	Review findings
1. To ensure compliance with the Acts of Parliament, Council's financial regulations and code of conduct.	a) Lack of knowledge of regulations and codes.	<ul style="list-style-type: none"> <li>– Ensure that all Councillors have copies of relative Acts, Code of Conduct, and Standing Orders. Highlight essential parts and provide training where possible.</li> </ul>	Chair Clerk	Compliant <ul style="list-style-type: none"> <li>– Councillors have up to date policies.</li> <li>– Training schedules have been sent out for Councillors to advise attendance at training sessions.</li> </ul>
	b) Absence of standing orders	<ul style="list-style-type: none"> <li>– Ensure that Standing Orders are produced, understood by councillors, and reviewed at least once per year.</li> </ul>	Chair Clerk	Compliant <ul style="list-style-type: none"> <li>– Standing Orders reviewed and accepted November 2019.</li> </ul>
	c) Actions by the PC outside its powers laid down by Parliament.	<ul style="list-style-type: none"> <li>– Ensure that all Councillors have copies of relative Acts, Code of Conduct, and Standing Orders. -</li> <li>– Highlight essential parts and provide training where possible but ensure that powers are highlighted or extracted into effective summary.</li> </ul>	Chair Clerk	Compliant <ul style="list-style-type: none"> <li>– Councillors have up to date policies.</li> <li>– Training schedules have been sent out for Councillors to advise attendance at training sessions.</li> </ul>
	d) Lack of commitment to regulations and procedures.	<ul style="list-style-type: none"> <li>– Regular reference to appropriate regulations in agenda items.</li> <li>– Delegation of responsibilities to individual councillors.</li> </ul>	Chair Councillors Clerk	Compliant <ul style="list-style-type: none"> <li>– Councillors responsibilities reviewed annually.</li> </ul>
	e) Items purchased without proper tendering procedures, resulting in accusations of commercial favouritism.	<ul style="list-style-type: none"> <li>– Ensure that all councillors are aware of regulations re estimates and full tender procedures. - Introduce practice of estimates for all purchases over an agreed figure.</li> <li>– Ensure evidence is kept showing at least three quotations have been sought.</li> </ul>	Clerk RFO	Compliant <ul style="list-style-type: none"> <li>– All councillors are aware</li> <li>– Limits set out in financial regulations.</li> </ul>
	f) Payments made without prior approval and adequate control.	<ul style="list-style-type: none"> <li>– Ensure all payments are approved in Council meetings and recorded in minutes.</li> <li>– Keep cash payments to a minimum, and avoid if possible</li> </ul>	Clerk RFO	Compliant <ul style="list-style-type: none"> <li>– All payments approved by Council and recorded in minutes.</li> </ul>
	g) Lack of control of signatories to cheques	<ul style="list-style-type: none"> <li>– Keep authorised signatories to a minimum consistent with practicalities.</li> </ul>	RFO	Compliant <ul style="list-style-type: none"> <li>– Bank accounts have changed to Lloyds Bank and kept at four signatories.</li> </ul>

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	h) VAT not properly accounted for, resulting in overclaims and large demands from HMRC.	<ul style="list-style-type: none"> <li>- Ensure appropriate publications held and that RFO has good knowledge of regulations.</li> <li>- Ensure VAT returns are submitted regularly and reconciled with finance sheets.</li> </ul>	RFO Chair	Compliant <ul style="list-style-type: none"> <li>- VAT returns submitted.</li> <li>- All VAT due to date has been repaid by HMRC.</li> </ul>
2. To identify and regularly review the Council's priorities	a) Lack of knowledge of how to set objectives, set priorities, and identify risks to their achievement.	<ul style="list-style-type: none"> <li>- All councillors to be made aware of need for objectives and identification of risk.</li> <li>- Attend training sessions when practicable.</li> </ul>	Chair Clerk	Compliant <ul style="list-style-type: none"> <li>- Councillors training day outlined above.</li> <li>- Neighbourhood Planning clearly shows objectives.</li> </ul>
	b) Lack of commitment by council members.	<ul style="list-style-type: none"> <li>- Regularly review risk assessment – at least annually.</li> <li>- Ensure Councillors are given a schedule of meetings at the beginning of the year.</li> </ul>	Chair Clerk	<ul style="list-style-type: none"> <li>- Risk assessment should be reviewed more often. This has not been undertaken recently – Under review January 2020.</li> <li>- Schedule of meetings circulated to Councillors and is available on the Council Noticeboards.</li> </ul>
	c) No risk analysis carried out	<ul style="list-style-type: none"> <li>- Ensure that completion of the risk assessment is given high priority, as a requirement of the Audit Commission</li> </ul>	Chair Clerk	Compliant <ul style="list-style-type: none"> <li>- Comprehensive risk register in place.</li> </ul>
	d) No steps taken to combat identified risks	<ul style="list-style-type: none"> <li>- Ensure that completion of the risk assessment is given high priority, as a requirement of the Audit Commission</li> </ul>	Chair Clerk	Compliant
3. To influence other council departments and Government organisations to fulfil the requirements of the Parish population.	a) Lack of effective lines of communication with other organisations.	<ul style="list-style-type: none"> <li>- Note all communication lines which are essential or beneficial and make information available to all councillors</li> <li>- Establish contacts by name and where possible face-to-face</li> </ul>	Clerk	Compliant <ul style="list-style-type: none"> <li>- Good relationships with officers in related agencies: WLDC, LCC etc</li> </ul>
	b) Lack of effective lines of communication with parishioners.	<ul style="list-style-type: none"> <li>- Take every opportunity to publicise role of Parish Council.</li> <li>- Provide a regular email to residents (The Clarion), this is now also available on the website, including back issues.</li> <li>- Maintain an active web site, the Clerk updates this on a monthly basis and the Chair also checks on a regular basis.</li> </ul>	Chair Clerk	Compliant <ul style="list-style-type: none"> <li>- All up to date Clarions are available on the website.</li> <li>- The website has been moved to new domain – this is mainly up to date. Clubs have been asked to check all contact</li> </ul>

Aim	Risk	Method used to Minimise Risk	Responsibility	Review findings
		<ul style="list-style-type: none"> <li>- There is a monthly Council report of activities in parish magazine.</li> <li>- Effective use of Notice Boards and “flyers”.</li> <li>- Use key issues to raise profile of PC and to test parishioners’ views.</li> <li>- Add social event to occasional meeting, in particular the Annual Parish meeting.</li> <li>- Ensure that the Annual Parish Meeting provides a real forum for residents to raise issues of concern and to raise/discuss issues they wish the PC to address in the year ahead.</li> </ul>		<p>information etc is correct.</p> <ul style="list-style-type: none"> <li>- Noticeboards are up to date and contain Agendas, minutes, public transport information and parish maps.</li> </ul>
	c) Lack of preparation on subjects requiring influence.	<ul style="list-style-type: none"> <li>- Ensure that all councillors are aware of need for careful research and are guided as to where to obtain relevant information on issues under discussion.</li> </ul>	Chair Clerk	Compliant
	d) Lack of confidence by Parish Councillors.	<ul style="list-style-type: none"> <li>- Experienced councillors to assist newcomers to establish essential contacts.</li> <li>- Delegate responsibility for specific contacts to individual councillors.</li> </ul>	Chair Councillors Clerk	Compliant
4. To ensure that all councillors are aware of their responsibilities, and possible liabilities, and to provide adequate insurance cover for all possible risks.	a) Lack of knowledge of possible culpability of councillors.	<ul style="list-style-type: none"> <li>- Council has standing orders and Councillors are encouraged to become familiar with those where greatest risk occurs.</li> </ul>	Chair Clerk	Compliant
	b) Lack of education of Councillors regarding culpability.	<ul style="list-style-type: none"> <li>- Delegate responsibility to one or two councillors to assist newcomers to understand culpability.</li> <li>- Attend any training courses available</li> </ul>	Chair Clerk	Compliant
	c) Inadequate insurance cover taken out – property, personal liability, employer’s liability.	<ul style="list-style-type: none"> <li>- Review risk assessment regularly</li> <li>- Delegate responsibility for keeping up to date with insurance requirements to RFO/Clerk.</li> <li>- Ensure asset register is kept up to date at all times.</li> <li>- Ensure that Council activities, councillors and volunteers working on behalf of the Council are covered by adequate insurance.</li> </ul>	Chair Clerk	<ul style="list-style-type: none"> <li>- Ensure risk assessment is reviewed at least annually.</li> <li>- Asset register is updated and audited annually.</li> <li>- Insurance adequate for needs.</li> </ul>
5. To keep appropriate books of account accurately and up to date throughout the financial year.	a) Lack of knowledge of accounting requirements	<ul style="list-style-type: none"> <li>- Ensure that all councillors are familiar with current financial regulations and include them in standing orders.</li> <li>- Regularly review standing orders.</li> </ul>	RFO Clerk	<p>Compliant</p> <ul style="list-style-type: none"> <li>- Clerk attended refresher finance training in November 2019.</li> <li>- All Councillors have a copy of Financial</li> </ul>

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				Regulations and Standing Orders (SO). – SO reviewed and accepted November 2019.
	b) Lack of commitment to accounting requirements.	– RFO to produce financial reports at all meetings. – Internal audit reports to be made available to all councillors and any recommendations to be acted upon promptly.	RFO	Compliant – Monthly financial reports are circulated at meetings. – Internal auditor report circulated once received.
	c) Bank charges unnecessarily incurred	– RFO to carry out regular inspection of account books. – Internal audit to be undertaken annually.	RFO	Compliant – Bank reconciliations carried out monthly. – Annual internal audit considered sufficient
	d) Inaccuracies in recording amounts, totals in books of account, and bank reconciliation.	– RFO to ensure that books of account are formatted in such a way that internal controls are included and activated.	RFO	– Play area budget reserve figure needs reconciling against account balance.
	e) Inaccuracies and interest losses caused by account transfers.	– Keep number of accounts to a minimum but ensure that any large credit balances are deposited in an interest-bearing account	RFO	Compliant – Bank accounts have been moved to Lloyds Bank, keeping an account for the general reserves and an account for play area. – Current (cheque) account reconciled before transfer of funds. – Play area funds need checking to budget reserves before transfer can take place.
	f) The most beneficial interest terms not being employed.	– Ensure that favourable interest rate is obtained in deposit accounts and review against alternatives, bearing in mind the risks in changing accounts.	RFO	Compliant

Aim	Risk	Method used to Minimise Risk	Responsibility	Review findings
	g) Inadequate control of cash receipts and payments.	<ul style="list-style-type: none"> <li>- Avoid cash payments and receipts if possible.</li> <li>- Where cash payments and receipts are unavoidable use a properly controlled petty cash account with a set maximum balance.</li> </ul>	RFO	Compliant
	h) Books of account not kept up to date/ invoices not posted promptly.	<ul style="list-style-type: none"> <li>- Regular checks by RFO and internal auditor.</li> <li>- Financial reports at all PC meetings.</li> </ul>	RFO	Compliant <ul style="list-style-type: none"> <li>- Updated monthly and reported to PC meetings</li> <li>- Monthly bank reconciliation takes place</li> </ul>
	i) Internal controls not in place or not operated.	<ul style="list-style-type: none"> <li>- Regular checks by RFO and internal auditor.</li> <li>- Financial reports at all PC meetings.</li> </ul>	RFO	Compliant
	j) Payments missed or delayed due to inadequate filing of invoices.	<ul style="list-style-type: none"> <li>- Regular checks by RFO and internal auditor.</li> <li>- Financial reports at all PC meetings.</li> </ul>	RFO	Compliant <ul style="list-style-type: none"> <li>- Glendale analysis also undertaken by the Chair.</li> </ul>
6. To ensure that payments made from council funds and the use of assets, represent value for money, are adequately managed, and comply generally with the wishes of the residents.	a) Lack of knowledge of wishes of residents.	<ul style="list-style-type: none"> <li>- Take every opportunity to publicise role of Parish Council.</li> <li>- Provide a regular email to residents (The Clarion), this is now also available on the website, including back issues.</li> <li>- Maintain an active web site, the Clerk updates this on a monthly basis and the Chair also checks on a regular basis.</li> <li>- There is a monthly Council report of activities in parish magazine.</li> <li>- Effective use of Notice Boards and "flyers".</li> <li>- Use key issues to raise profile of PC and to test parishioner's views.</li> <li>- Add social event to occasional meeting, in particular the Annual Parish meeting.</li> <li>- Ensure that the Annual Parish Meeting provides a real forum for residents to raise issues of concern and to raise/discuss issues they wish the PC to address in the year ahead.</li> <li>- Ensure residents are consulted on all major financial issues.</li> </ul>	Chair Clerk Councillors	Compliant <ul style="list-style-type: none"> <li>- Grants and donations policy altered in the year to reflect large financial requests and the impact on the precept.</li> </ul>
	b) Use of funds not giving value for money	<ul style="list-style-type: none"> <li>- Effective budget planning processes.</li> </ul>	Chair/RFO	Compliant

Aim	Risk	Method used to Minimise Risk	Responsibility	Review findings
	c) Use of funds not in accordance with the wishes of the residents	<ul style="list-style-type: none"> <li>- Appointment of RFO to create effective financial management.</li> <li>- Internal audit checks to cover consultation process.</li> <li>- Use of Annual Parish Meeting to establish residents wishes.</li> </ul>	Chair Clerk Councillors	Compliant
	d) Charges for use of facilities inadequate.	<ul style="list-style-type: none"> <li>- Effective financial management by RFO.</li> <li>- Internal audit checks.</li> </ul>	RFO	Compliant
	e) Fund raising not properly controlled or not in accordance with regulations.	<ul style="list-style-type: none"> <li>- All councillors to be aware of need to check regulations before commencing fund-raising activities.</li> <li>- Effective financial management by RFO.</li> </ul>	Chair Clerk Councillors RFO	Compliant - Possible subject for future training
7. To ensure that the annual precept requirement results from an adequate budgetary process; progress against the budget is regularly monitored; and reserves are appropriate	a) Lack of knowledge of budgetary process, and Council regulations.	<ul style="list-style-type: none"> <li>- Include regulations in Standing Orders issued to all councillors.</li> <li>- Delegate responsibility for managing budgetary process to one councillor or to RFO.</li> </ul>	Chair Clerk Councillors RFO	Compliant
	b) Lack of commitment to budgetary process	<ul style="list-style-type: none"> <li>- Include regulations in Standing Orders issued to all councillors.</li> <li>- Delegate responsibility for managing budgetary process to one councillor or to RFO. Involve all Councillors in budgetary process.</li> </ul>	Chair Clerk RFO	Compliant
	c) Inadequate consideration of requirements for annual precept.	<ul style="list-style-type: none"> <li>- Delegate responsibility for managing budgetary process to one councillor or to RFO</li> <li>- Start consideration of calculation at least two months prior to submission date</li> </ul>	Chair Clerk Councillors RFO	Compliant
	d) Calculation not in accordance with Council regulations.	<ul style="list-style-type: none"> <li>- Checks by RFO and Internal Auditor.</li> </ul>	RFO	Compliant
	e) Inadequate internal controls with regard to monitoring expenditure.	<ul style="list-style-type: none"> <li>- Checks by RFO and Internal Auditor.</li> <li>- Financial and budget progress reports to all PC meetings.</li> </ul>	RFO	Compliant
	f) Reserves too low.	<ul style="list-style-type: none"> <li>- Checks by RFO and Internal Auditor.</li> <li>- Financial and budget progress reports to all PC meetings.</li> </ul>	RFO	Compliant - Reserves are in excess of requirement. - Monthly budget/reserves are circulated monthly.

8. To explore all possible sources of income, and to ensure that expected income is fully received.	a) Lack of knowledge of possible sources of income e.g. grants.	– Obtain details as and when necessary.	Chair Councillors	Compliant
	b) Lack of commitment to pursue possible sources of income.	– Obtain details as and when necessary.	Chair Councillors	Compliant
	c) Receipts not banked or not banked promptly.	– Regular checks by RFO. – Internal audit checks.	RFO	Compliant – Receipts paid into account directly.
	d) Debts not pursued promptly.	– Regular checks by RFO. – Internal audit checks.	RFO	Compliant – Sundry debtor invoices issued when clerk advised of debt.
	e) VAT claims not made promptly or made incorrectly.	– Ensure RFO has appropriate and up-to-date VAT official publications – Regular checks by RFO. – Internal audit checks.	RFO	Compliant – RFO completed VAT training in October 2019
9. To ensure that salaries paid to employees and amounts paid to contractors are paid in accordance with council regulations, and adequately monitored.	a) Inappropriate rate of pay to employees.	– Ensure employee regulations are available and understood by Clerk – Checks by RFO. – Internal audit checks.	RFO Clerk	Compliant – HR group check wage rates at staff appraisal every six months
	b) Tax and NI arrangements not in accordance with regulations through PAYE.	– Ensure employee regulations are available and understood by Clerk – Checks by RFO. – Internal audit checks.	RFO Clerk	Compliant – Payments made through HMRC Basic PAYE web tools.
	c) Amounts paid to contractors not in accordance with contract and inadequately monitored.	– Internal audit checks. – Checks by RFO. – Appoint councillor to monitor contract work carried out	RFO	Compliant – Contract amounts entered onto budget spreadsheet. – Clerk alerts responsible councillor of anomalies.
10. To ensure that year end accounts are prepared on the correct accounting basis, on time, and supported by an adequate audit trail.	a) Lack of knowledge of Council regulations and procedures.	– Include financial regulations in Standing Orders. – Attend training seminars where available.	RFO	Compliant – Ensure Councillors attend relevant training as needed.
	b) Late or non- submission of annual accounts.	Include a timetable in Standing Orders. – RFO to monitor progress against timetable and report to PC meetings.	RFO	Compliant – All annual returns have been submitted on time to the external auditor.

	c) Yearend accounts not prepared, inaccurate, or not in accordance with Council requirements.	Checks by RFO – Internal audit checks	RFO	Compliant
	d) Inadequate audit trail from records to final accounts.	Checks by RFO – Internal audit checks	RFO	Compliant
11. To identify, value, and maintain all the assets of the Parish Council, and ensure that asset and investment registers are complete, accurate and properly maintained.	a) Lack of knowledge of assets of Parish Council.	– Ascertain and record all assets for which Parish council is responsible. – Create permanent asset register.	RFO	Compliant – Asset register is up to date and agreed annually for the audit. – RFO and Chairman to meet to make the register more “public friendly”.
	b) Assets lost or misappropriated	– Establish who is responsible for security and maintenance of each asset. – Appoint councillor responsible for regular monitoring of location and use of assets.	Chair Clerk	Compliant – Councillor regular checks condition of assets. – Bi-monthly play area checks take place, as well as the annual inspection.
	c) Inadequate or inaccurate valuation of the council’s assets.	– Arrange for periodic review of valuations and arrange for professional valuation where necessary. – Internal audit checks.	Councillors	Compliant – Not considered relevant for the nature of assets held.
	d) Asset register not established or inadequately maintained.	– Create asset register in accordance with Audit Commission requirements.	RFO	Compliant
12. To comply with appropriate Government legislation regarding disability, racial equality, safeguarding children etc.	a) Lack of knowledge of applicable legislation	– Clerk to have all appropriate legislation available. – Review liabilities and responsibilities periodically at PC meetings.	Clerk	Compliant
	b) Lack of public awareness of applicable legislation.	– Include, as appropriate, in any public consultations.	Clerk	Compliant
	c) Failure to comply with applicable legislation.	– Clerk to have all appropriate legislation available. – Review liabilities and responsibilities periodically at PC meetings.	Clerk	Compliant

13. To carry out adequate safety checks on all buildings, properties, and equipment for which the council is responsible.	a) Lack of information on properties, buildings and equipment.	<ul style="list-style-type: none"> <li>– Ensure that all current legislation and advice is held by Clerk.</li> <li>– Include in asset register all properties for which PC responsible.</li> </ul>	Clerk	Compliant
	b) Lack of knowledge of safety requirements.	<ul style="list-style-type: none"> <li>– Ensure that all current legislation and advice is held by Clerk.</li> <li>– Place subject as item on PC meeting agenda at regular intervals.</li> </ul>	Clerk	Compliant <ul style="list-style-type: none"> <li>– Ownership sign added to entrance of park for play equipment.</li> </ul>
	c) Lack of commitment to carrying out safety checks.	<ul style="list-style-type: none"> <li>– Delegate responsibility for particular priorities to individual Councillors</li> <li>– Ensure that all current legislation and advice is held by Clerk.</li> <li>– Place subject as item on PC meeting agenda at regular intervals.</li> </ul>	Clerk	Compliant <ul style="list-style-type: none"> <li>– Councillor responsibilities reviewed 2019</li> <li>– Bi-monthly play area inspections take place.</li> <li>– Annual safety report on play equipment commissioned from approved organisation.</li> </ul>
14. To prevent risk of electronic data loss	a) Loss of data due to hardware/software failure of council computer	<ul style="list-style-type: none"> <li>– Install automated backup software to provide automatic backup of files to an external source.</li> </ul>	Clerk	Compliant <ul style="list-style-type: none"> <li>– Data automatically backed up to the cloud.</li> <li>– Clerk backs up information to a USB drive monthly.</li> </ul>
	b) Loss of data due to virus/malicious code/	<ul style="list-style-type: none"> <li>– Install and configure anti-virus/firewall software and ensure that it is set to automatically update and scan regularly.</li> </ul>	Clerk	Compliant <ul style="list-style-type: none"> <li>– MacAfee anti-virus software installed.</li> </ul>
	c) Loss of data due to physical theft of council computer facility/data stores.	<ul style="list-style-type: none"> <li>– Ensure equipment is secured when not in the physical possession of the clerk/councillors.</li> <li>– Consider password protecting/encrypting data.</li> </ul>	Clerk	Compliant <ul style="list-style-type: none"> <li>– Equipment is kept at Clerks house. Subject to same security as Clerk's personal belongings.</li> <li>– Asset is covered on insurance policy.</li> </ul>