



HORLEY TOWN COUNCIL RISK ASSESSMENT AND MANAGEMENT 2018/19

Area	Risk	Likelihood	Severity	Control
Assets	Protection of physical assets	L	M	All buildings insured. Value increased annually by index linking.
	Security of buildings, equipment etc	M	H	Alarms (security, smoke and panic) installed at Council Buildings and serviced and tested regularly, in accordance with current regulations. Passwords and keys strictly restricted to nominated personnel. Additional butterfly locks installed on the interior of the two Council Office entry doors to enable safe access and to comply with fire safety regulations. Contents insured. Smartguard Security act as keyholder and attend to callouts.
Finance	Banking	L	M	Accounts are spread between our bankers, HSBC, and other approved Deposit Takers
	Business Continuity	L	M	Insurance cover is £50,000 (to cover loss of income and relocating office during maximum indemnity period of 24 months).
	Loss of cash through theft or dishonesty	L	H	Fidelity Guarantee in place for the sum of £500,000. Safe used for storage of all petty cash, postage stamps, cheque book, unbanked cheques, mayoral chain of office etc. in alarmed office. Office keys strictly restricted to nominated personnel.
	Financial controls and records	L	M	Monthly reconciliation prepared by RFO, checked by Town Clerk and reported to Finance Committee. Three signatures (the Clerk plus two members) on cheques or internet banking has been retained for good practice. Two nominated Councillors conduct a review prior to F&GP Committee meetings, our Internal Auditor checks procedures and External Auditors review our accounts.
	Compliance with HMRC Regulations	L	M	VAT payments and claims calculated by RFO and checked by Clerk. Internal and external auditor provides double check. Use of VAT Help Line when necessary to answer queries. Appropriate systems in place to comply with new legislation on VAT rules and mandatory submissions of VAT Returns to HMRC electronically (effective from 1 October 2019)
	Sound budgeting to underlie annual precept	L	M	Finance & General Purposes Committee and Full Council receive detailed budget vs. actual reports. Precept derived directly from this and prior committee review of needs.
	Compliance with borrowing restrictions	L	L	Advice sought from Surrey ALC as appropriate

Liability	Risk to third party, property or individuals	M	M	Public Liability Insurance held amounting to £10m cover. Open spaces checked regularly. Playgrounds, equipment and trees checked regularly. Incidents fully investigated if damage reported.
	Legal liability as consequence of asset ownership (especially playgrounds)	H	H	Daily and weekly reports of inspections of multi-purpose court, playgrounds and skateboard park and all other equipment as stated in the Asset Register. Annual playground checks made to RoSPA criteria.
	Compliance with HM Revenue and Customs Requirements	L	M	Regular advice available from HMRC, VAT Helpline and Sage etc. Internal and external auditors carry out annual checks.
	Safety of Staff and visitors	L	M	Regular Health & Safety Risk Assessment checks of Council Offices particularly before public events. Fire Risk Assessments undertaken by accredited Fire Protection Company at Council Offices and Innes Pavilion and modifications completed, as required. HTC Officers trained in accredited Fire Safety Training programme, covering new legislation. Panic alarm installed with feed to Surrey Police. Additional security measure put in place following advice received from the Surrey Police Crime Reduction Officer in December 2016.
Legal Liability	Confirmation that activities are within legal powers	L	H	Town Clerk clarifies legal position on any new proposal. Legal advice sought where necessary.
	Proper and timely reporting via the Minutes	L	M	Full Council meets every six weeks and receives and reviews cycle of minutes. Minutes made available to press and public via web site.
	General Data Protection (GDPR)	L	L	Although not a legal requirement, for good practice, a Data Protection Officer (DPO) has been appointed to ensure full compliance with current legislation.
	Proper document control	L	M	Leases and legal documents locked in secure cabinets. Other data storage to comply with Data Protection Act and successor legislation (General Data Protection Regulations).
Admin	Data integrity and resilience	M	H	Broadband used for all internet traffic, real-time virus scans on all workstations and the dedicated server, and use of up to date virus libraries. All data is backed up continuously to a remote back-up service.
Councillor Propriety	Registers of Interests	L	H	Members' Register of Disclosable Pecuniary Interests completed by all members and reviewed regularly. Available for public inspection on website or by prior appointment.

Adopted by Horley Town Council 12 February 2019

Next Review Date: February 2020