



**HORLEY TOWN COUNCIL**  
**RISK ASSESSMENT AND MANAGEMENT 2020/21**

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 to all Council Buildings. New Fire Panel installed at Innes Pavilion and Café Pavilion with automatic alarm monitoring. Keys to all access and internal areas of the Café Pavilion were handed over by the contractor to HTC on Practical Completion (20.11.20). New Café build will have a valuation and full risk assessment carried out prior to Final Completion (post retention period).
Finance	Banking	L	M	Accounts are spread between our bankers, HSBC, and other approved Deposit Takers.
	Business Continuity	L	M	Insurance cover is £450,000 (to cover loss of income and relocating office during maximum indemnity period of 24 months).
	Loss of cash	L	H	Liability limited to £2000. No petty cash is kept and most receipts are cashless. Safe used for storage of all cash receipts, 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 on cheques or internet banking have 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.

	<b>Compliance with HMRC Regulations</b>	L	M	VAT payments and claims calculated by RFO and checked by Clerk. Internal and external auditor provides double check. Appropriate systems in place to comply with new legislation on VAT rules and mandatory submissions of VAT Returns to HMRC electronically.
	<b>Sound budgeting to underlie annual precept</b>	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.
	<b>Compliance with borrowing restrictions</b>	L	L	Advice sought from Surrey ALC as appropriate.
<b>Liability</b>	<b>Risk to third party, property, or individuals</b>	M	M	Public Liability Insurance held amounting to £15m cover. Open spaces checked regularly. Playgrounds, equipment, and trees checked regularly. Incidents fully investigated if damage reported. A full tree survey of all the trees in the Councils' open spaces is conducted every three years and was completed most recently in October 2020. All recommended tree works will be carried out by March 2021.
	<b>Legal liability as consequence of asset ownership (especially playgrounds)</b>	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.
	<b>Compliance with HM Revenue and Customs Requirements</b>	L	M	Regular advice available from HMRC, VAT Helpline and Sage etc. Internal and external auditors carry out annual checks.
	<b>Safety of Staff and visitors</b>	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 measures put in place following advice received from the Surrey Police Crime Reduction Officer in December 2016. [Review 2020]. A detailed COVID-19 Risk Assessment was carried out on 4 August 2020, documented, published and is kept under regular review with all secure measures put in place and all Government guidance followed. A new Homeworking Policy is to be implemented.
<b>Legal Liability</b>	<b>Confirmation that activities are within legal powers</b>	L	H	Town Clerk clarifies legal position on any new proposal. Legal advice sought where necessary.

	<b>Proper and timely reporting via the Minutes</b>	L	M	Full Council meets every six weeks and receives and reviews cycle of minutes. Minutes made available to press and public via website.
	<b>General Data Protection (GDPR)</b>	L	L	Councillors and staff will ensure full compliance with current legislation during the course of Council business. A dedicated email inbox named 'Data Protection' is in place to receive enquiries received and this will be managed by HTC Officers. The Town Clerk will oversee the process and sign all correspondence as the appointed Data Protection Officer (DPO). There is no requirement for individual Town Councillors to be registered with the Information Commissioner's Office (ICO). HTC remains GDPR compliant following the Brexit transition period.
	<b>Proper document control</b>	L	M	Leases and legal documents locked in secure cabinets. Scanned electronic copies of all such documents are kept in a secure, confidential area on office computer server. Other data storage to comply with Data Protection Act and successor legislation (General Data Protection Regulations).
<b>Admin</b>	<b>Data integrity and resilience</b>	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 stored in SharePoint. A copy of the data in SharePoint is backed-up to the Council's server and, in turn, backed-up to external disks as an extra security measure. Security software has been set up on HTC Officers' desktops, laptops and other Council owned devices (eg iPads) with multi-factor authentication as extra verification of identity by the user. All Staff and Councillors will be provided with a Cyber Security Training Guide and ongoing support from the Council's IT provider.
<b>Councillor Propriety</b>	<b>Registers of Interests</b>	L	H	Members' Register of Disclosable Pecuniary Interests completed by all members and reviewed regularly. Available for public inspection on website or at the Town Council offices by prior appointment.

***Adopted by Horley Town Council 2 March 2021***

***Next Review Date: March 2022***