

East Wittering & Bracklesham Parish Council

General Risk Assessment

Date of Last Review:

13/06/2019

Risk Scores	Low	Med	High
Likelihood	1	2	3
Harm	1	2	3



Total Risk score = Likelihood x Harm. Acceptable risk is a score of 5 or less after mitigation measures.

Financial and General Management									
Topic	Identified Risk	Before Control Measures			Mitigation/Control Measures	After Control Measures			Review/Assess/Revise
		Likelihood	Harm	Risk Score		Likelihood	Harm	Risk Score	
Business Continuity	Risk of council not being able to continue its business due to unexpected or tragic occurrence	1	3	3	Deputy Clerk able to cover many duties. Locum Clerk to be appointed via SSALC if required. Emergency Plan in place for extreme weather events. All data is stored off-site in the Cloud.	1	2	2	Review as required. SSALC membership to be renewed annually.
Precept	Precept may be inadequate, request may not be submitted to CDC in time, amount may not be received by CDC in time	1	3	3	Annual budget prepared in autumn, including data from previous financial years to aid accuracy of forecasting. Council to approve budget and Clerk to submit request ahead of deadline. Payment dates are notified to EWBPC by CDC and bank account checked to confirm receipt.	1	2	2	Budget reviewed at every full council meeting. Budget preparation in Sept/Oct
Financial Records	Inadequate records or Financial Irregularities	1	3	3	Financial risk assessment sets out specific risks. RBS Omega maintained, with monthly reconciliations recorded. Accounts data stored off site in the Cloud. Internal audit carried out by Mulberry & co and external audit carried out by Moore Stephens	1	1	1	Review annually.
Banking and Cash Transactions	Inadequate checks, bank mistakes, loss of cash	2	2	4	Financial Risk assessment and Finance regulations set out specific risks and arrangements. All payment transactions require two signatories. Bank Statements reconciled fortnightly. Cash banked as soon as possible and kept in safe. Bank card for use by Clerk only.	1	2	2	Review annually or if procedures change.

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Reporting and Auditing	Insufficient information. Incomplete audit.	1	2	2	Clerk produces weekly councillor update. Meeting agendas cover all appropriate issues. Minutes are approved at the following meeting. Clerk completes annual external audit following internal audit and produces all documents for councillors scrutiny. Audit ratified at Council meeting prior to submission.	1	1	1	Review annually.
Running Costs	Incorrect Invoicing, goods not supplied, loss of stock, services, unpaid invoices	1	2	2	Financial risk assessment sets out specific risks. Invoices received reconciled with goods/services before payments made. Resolutions made for payment monitored. Payments ratified at council meeting. Asset register maintained. Outstanding invoices pursued for payment.	1	1	1	Review annually.
Grants given	Power to pay, authorisation to pay	1	2	2	Grant applications to be submitted via appropriate channels/deadlines. All applications considered by full council in November. All grant payments resolved under appropriate powers (S137 Local Govt. Act).	1	1	1	Review annually.
Grants received	Receipt of grants, expenditure for approved purposes, expenditure within agreed time limit.	1	3	3	Grants paid with terms and conditions specific to a project, normally only paid on evidence of expenditure. Grant received kept in dedicated EMR to ensure no unauthorised expenditure.	1	2	2	Review annually
Leases, hirers & rents	Non -compliance with leases, rents not paid.	2	3	6	All leases prepared/overseen by a solicitor. Clerk seeks legal advice on all issues relating to leases. Hirers complete booking form subject to T's & C's. Invoices raised as appropriate and payment chased as required. Monthly debtors list produced and chased by Deputy Clerk.	1	3	3	Review annually
Best Value	Work awarded incorrectly	1	2	2	Processes set out in Financial regulations. All major contracts resolved by full council	1	1	1	Review annually

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Salaries & on-costs	Incorrect salary paid, incorrect deductions made, unpaid tax & NI contributions	1	2	2	Full council authorises recruitment of staff and salary levels in line with NJC scales following recommendations by the staffing committee. Payroll services provided by Ramar Accounting. Pensions return completed monthly and returned to WSCC pension scheme.	1	1	1	Review annually
Employees	Loss of personnel, health & safety concerns, malpractice/misconduct by staff	2	3	6	Staff trained appropriately and provided with tools necessary to carry out their roles including reference materials and legal advice. PPE issued as required. Activates risk assessed as required.	1	2	2	Review annually including training & insurance requirements
Councillor allowances/expenses	Councillors overpaid	1	2	2	No allowances allocated to councillors. Expenses paid against receipts/mileage claim forms as appropriate.	1	1	1	Review annually
VAT	Incorrect claim	1	2	2	RBS software calculates VAT and produces claim form. Clerk completes on line return (although from October 2019 this will be done automatically via HMRC making Tax Digital scheme)	1	1	1	Review annually
Legal Powers	Illegal activity, council acts Ultra Vires	2	3	6	All activities resolved at full council with reference to specific power used. Clerk to consult with SSALC/NALC and/or solicitor as required.	1	3	3	Review annually at Annual Council Meeting, with a view to adopting the General Power of Competence as soon as possible.
Minutes, agendas, public notices	Inaccuracy, illegal conduct	1	2	2	Minutes and agendas produced to legal requirements and line with best practice. Minutes approved and signed at next appropriate meeting. Agendas posted on website, social media and parish noticeboards at least 3 clear days before meetings. Minutes posted on website and notice boards. Public notices published on noticeboards as required. Business at meetings conducted by the Chair in accordance with standing orders.	1	1	1	Review annually

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Members interests	Conflict of Interest	2	3	6	Register of interests completed by all councillors and updated with any changes in circumstance as they occur. All details submitted to CDC monitoring officer as required. All declarations of interest declared and recorded in meeting minutes	1	2	2	Review as required.
Insurance	Adequacy, cost, compliance, fidelity guarantee	2	3	6	An annual review is undertaken of all insurance arrangements and the asset register is kept up to date.	1	3	3	Review annually, or additionally as required throughout the year(e.g. if major assets are purchased, additional events planned, etc.)
Freedom of Information	Failure to comply with the Act	1	2	2	Council publishes data cording to the transparency code which is available on the website.	1	1	1	Review annually
Data Management	Data Breach/Data Loss	1	3	3	Staff trained appropriately in data handling. Confidential data disposed of via office shredder or external licensed shredding company. Data Protection Officer responsibilities outsourced to ensure GDPR compliance	1	3	3	Review annually
Election Costs	Risk of contested election expenses	2	2	4	Risks are higher in an election year. EMR created to cover election expenses, to accumulate up to £6K over a four year period to cover any costs.	2	1	2	Review annually
Document Control	Documents not retained	3	2	6	NALC Document retention scheme is adhered to. Documents are regularly archived and stored at WSCC records office in order to minimise risks of storage in the Parish Office. Minutes, agendas, etc. are held electronically on the cloud and can be reproduced if required.	1	2	2	Review annually
Assets									
Assets and playgrounds	Loss or damage/damage to third party or other property	2	3	6	Ongoing review of asset register and annual insurance review. EWBPC maintenance contractor inspects playgrounds and parks twice a week. Risk assessments on playground areas annually. ROSPA inspection carried out annually.	1	3	3	Review risk assessments regularly, act on ROSPA report findings.

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Maintenance	Poor performance of assets or loss of amenities. Loss of income. Risk damage/injury to third party	2	3	6	Any repair or maintenance work carried out by contractors as identified. Minor works carried out as part of annual budget. Major tasks authorised as per Finance Regulations. Damage caused by third part accident or vandalism claimed via insurance policy. Cleaners leave daily notes of items in Bracklesham Barn.	1	3	3	Monitor and assess work for quality standards.
Notice Boards	Damage/injury to third party	2	3	6	Parish council has 4 notice boards. Keys are held in the office and by nominated Councillors. Staff regularly inspect the boards and arrange repairs as needed. Only authorised personnel display notices inside the boards	1	3	3	Review regularly
Street Furniture/Bus Shelters	Loss or damage/damage to third parties	2	2	4	All street furniture and bus shelters regularly inspected by maintenance contractor and damaged items repaired/removed as required. Damage to street furniture/bus shelters not owned by EWBPC reported to relevant owners immediately.	1	2	2	Monitor and assess work for quality standards.
Meeting Location	Adequacy/accessibility	1	1	1	Meetings are held at Bracklesham Barn which is fully DDA complaint and considered adequate for members, staff and members of the public.	1	1	1	Review regularly
Council records - paper	Loss or theft	1	2	2	All papers are kept in locked filing cabinets in a separate locked filing room. Keys for the filing room and cabinets are kept in the Parish Office. Papers are archived every 6 months and sent to WSCC records office for secure storage.	1	1	1	Review regularly

Risk assessment has been completed and reviewed

Date: 13/06/2019

Clerk's Signature

Minute ref: