WESTHAM PARISH COUNCIL

RISK ASSESSMENT

	4 **Very High**	**3** **High**	**2** **Medium**	**1** **Low**
4 DISASTER Significant service failure / total loss of public confidence / fatality / major financial crisis.	RED 16	RED 12	AMBER 8	GREEN 4
3 MAJOR Significant service disruption / serious public criticism / serious injury / large financial cost.	RED 12	RED 9	AMBER 6	GREEN 3
2 NOTICEABLE Some service delivery disruption / reduced public confidence / minor injury / unplanned financial cost.	AMBER 8	AMBER 6	GREEN 4	GREEN 2
1 MINIMAL Minor service delivery disruption / adverse public comment / no injury / low financial cost	GREEN 4	GREEN 3	GREEN 2	GREEN 1

Key

Score	Colour	Action
1 to 4	GREEN	Monitor
5 to 8	AMBER	Keep under review
9 to 16	RED	Need further mitigation or contingency plan

Risk Register - Adopted MARCH 2023
Reviews and amendments:

No	Area	Description	Control Measures in place	Responsibility	Assessment – with controls in place			Further Control Measures	Responsibility	Assessment – WITH controls in place		
					Likelihood	Impact	Score			Likelihood	Impact	Score
1	Business Continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance including flooding and fire	The office has moved to using Office365. Data is therefore backed up to the cloud. All accounting information is backed up to the servers of the software provider, RBS Rialtas. Anti-virus software has been maintained SME IT Solutions from 2022 Chairman and members informed Temporary offices used Risk assessments in place and reviewed yearly with full Council.	Clerk	2	3	6		Clerk	2	3	6
2	Precept	Government changes rules on precept setting	Campaign ESALC and NALC Government have been requested to confirm precept limits prior to Parish setting budget.	Clerk	2	4	8	Council to accept the risk.		2	4	8
3	Precept	Inadequate precept setting. Precept not confirmed to WDC	Council starts budget planning in December for the following year.	Clerk	1	4	4			1	4	4

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		on time or Members unable to reach an agreement.	Annually in January. Council agrees precept at the full council meeting. In the event Members cannot reach an agreement Financial Regulations allow for a default position of a 2% increase. Clerk receives notification from WDC, Clerk submits precept demand in January									
4	Financial	Inadequate records Financial irregularities	Council's Financial Regulations set out the requirements. These are based on the model NALC financial regulations, and are adequate for Council's requirements Committees review finances at monthly meetings and Full Council review 6 x per year. Financial Regulations are reviewed by full council yearly. New regulations released by NALC in 2019 were adopt by Council	Clerk	1	3	3	Members to complete audits throughout the year	Clerk Council	1	3	3
5	Financial	Bank and banking's leading to; Inadequate checks Bank mistakes	The Council has Financial Regulations that set out the requirements for	Clerk	1	3	3	Members complete audits throughout the year	Clerk Council	1	3	3

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		Loss Charges	banking, Bacs, cheques and reconciliation of accounts. Any errors in processing are discovered when the Clerk reconciles the bank accounts monthly against the statement, Informing bank immediately. Reconcile bank accounts on a monthly basis and report the reconciliations to Full Council on a monthly basis.									
6	Financial	Inadequate funds to meet liabilities	Setting of precept as above Village committees and Full Council regularly review budget Financial regulations manages the process	Clerk	**1**	3	3	Members to complete audits throughout the year	Clerk and Council	1	3	3
7	Financial	Cash loss	Councils financial regulations in place Expenditure signed off by Full Council Internal auditor checks twice per year.	Clerk	**1**	3	3	Members to complete audits throughout the year	Clerk and Council	1	3	3
8	Financial	Incorrect payments of tax/NI Incorrect payment of salaries or allowances. Incorrect hours claimed for overtime	All staff appointments and salaries approved by Full Council. Salaries reviewed and approved at full council by 1 April each financial year. Pay is processed by the Clerk using an independent payroll service	Clerk .	**2**	3	6		Clerk	1	3	6

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			Tax and NI and pension payments are calculated by an independent payroll service All overtime hours recorded and time off or payment agreed with the Chairman. Personnel files are held by WPC. Committees and Full Council check all expenditure Internal audit checks twice a year.									
9	Financial	Invoices incorrectly paid	All invoice payments are signed by two signatures, this includes cheques. Electronic payments checked by two signatories. All invoices agreed and minuted at Full Council. Invoices only paid when service has been received/items delivered All invoices are checked by Clerk and entered onto Omega(RBS) System Financial Regulations in place and reviewed yearly Internal audit reviews invoice process	Clerk	**1**	3	3	Should a member check a number each month/quarter	Clerk and Council	1	3	3

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10	Financial	Grants incorrectly awarded	Grant procedure in place and reviewed yearly. All grants discussed and agreed at Full Council. Precept includes grants	Clerk Members	**1**	3	3	No further action		1	3	3
11	Financial	Grants receivable	Grants received come with conditions Procedures in place	Clerk	**1**	3	3	No further action		3	3	3
12	Financial	Annual returns incorrect or late	Internal audit in place Annual return discussed and signed by Full Council External auditors review compliance	Clerk Members	**1**	3	3	No further action		1	3	3
13	Financial	Election costs not budgeted.	Precept budgets each year to build a reserve for a known election year. When by-elections occur, funds come from existing budget or reserves. Council manages budget to accommodate costs.	Clerk	**3**	3	9	All those agreeing to stand need to be aware of their responsibilities Meetings held at WDC for potential new Councillors to outline the requirements of Councillors. .		2	3	6
14	Financial	VAT not managed correctly	Financial regulations in place and a review of Procedures in place. Financial system generates VAT requirements VAT return completed annually.	Clerk	1	3	3	Council to review becoming VAT registered	Clerk Members	1	3	3
15	Financial	Collapse of the banks and money lost by the council.	All funds are held in UK banks and Council look not to exceed the limit set by the FA.	clerk	1	3	3	Council to formally review investments and bank limits yearly	Clerk Members	1	3	3

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			Long term banks and investment arms used to invest money									
16	Financial and managemen t systems	Awarding contracts incorrectly	Financial Regulations in place. Reviewed yearly Three quotes to be sought for goods/works/services above £3000 in value. For between £400 and £3,000, the Clerk/RFO will strive to obtain 3 estimates. Full Council review and agree awarding contract. If a problem is encountered with a contract the Clerk would investigate the situation, check the quotation/tender, research the problem and report to Council.	Clerk	1	3	3		No further action	1	3	3
17	Financial and managemen t systems	Contracts with third party not completed in line with contract. Contractors not in possession of adequate liability insurance Contractors not properly qualified to carry out work. Councillors making decisions outside the agreed policy	Process in place as above. All new contracts monitored by Council	Clerk	3	3	9	Councillors are not allowed to contact directly potential new contractors; this must be completed via the Clerk	Clerk	2	3	6
18	Financial and managemen t systems	Inadequate insurance.	Insurance reviewed yearly to Include public liability.	Clerk	1	3	3	No further action		1	3	3

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			Full council discuss appropriate coverage. Fidelity checks in place.									
19	Financial and managemen t systems	Data Protection Policy not in place	Policy in place and reviewed yearly. Included in Standing orders. The Council is registered with the Information Commissioners Office. GDPR compliance audit took place in May 2018 – GDPR info.com appointed as DPO. All Sensitive information is held securely	Clerk	2	3	6	Policy to include safeguards on registration.	Clerk	1	3	3
20	Financial and managemen t systems	Freedom of information not robust.	Council conforms to Data Protection standards. Responds to requests within time limits Policy part of standing orders	Clerk	1	3	3	No further action		1	3	3
21	Financial and managemen t systems	Information security fails causing loss of data, information hijacked.	Information security Policy in place and reviewed yearly. PIN/access to systems only known by management and staff. Access changed on staff member leaving. Internal auditor to report on system.	Clerk	2	4	8	Members to complete test on system twice per year.	Clerk/ Council	1	4	4
22	Assets	Damage and risk to Street furniture & open spaces	An asset register is kept up to date and a detailed review carried out every year. Insurance Is held at the appropriate level for all items.	Clerk	2	3	6	Formally check at monthly meetings the records of inspection.	Clerk	1	3	3

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			Regular checks made of all equipment by greenspace contract staff as part of the contract. Inspections recorded Annual inspection carried out by registered play inspection company. Review discussed and noted at Full Council									
23	Liabilities	Illegal activity on payments	All activity and payments within the powers of the Council. Council holds the power of general competence All resolutions to be minuted. Council follows the financial regulations. Internal audit twice a year	Clerk	1	3	3	Member audit review to be implemented	Clerk Council	1	3	3
24	Liabilities	Health& Safety of Council buildings not safe Risk of injury of employees, suppliers or members of the public	Previous health and safety records endorsed by Council. Previous health and safety reports are on file. Staff are made aware of safe working practices Council health and safety statement agreed at full council. Appropriate insurance reviewed annually and in place Health and safety procedures in place and reviewed yearly. Council Playground equipment reviewed monthly and full Council receive a report and	Clerk	3	3	9	All new risks to be assessed immediately and agreed with appropriate action by Full Council	Clerk and Council	2	3	6

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			agree actions.									
25	Liabilities	Risk to third party, property or individuals.	All activity and payments within the powers of the Parish Council to be resolved and minuted at Full Parish Council Meetings.	Clerk	1	3	3	No further action		1	3	3
26	Liabilities	Non-compliance with employment law	Employment law adhered to. Personnel service provided by HR Dept and support from ESALC All personnel files held on site	Clerk	1	3	3		Clerk/ Council	1	3	3
27	Liabilities	Breach of confidentiality	Members agree a code of conduct Members reported if they contravene	Members	1	3	3	No further action		1	3	3
28	Liabilities	Potential attack on staff when working.	Door is locked and notice on the door Procedures in place when the public enter the building	Clerk and staff	2	4	8	Lone worker policy to be implemented	Clerk/ members	2	4	8
29	Governance	No succession planning of management	Training Program for new staff agreed on commencement. Training budget allows all staff to receive the appropriate training. for roles they need to carry out. Yearly appraisal to be completed on all staff and management. Clerk completed and passed CiLCA	Clerk and Chairman	4	4	16	Council to establish contingency arrangements should key staff leave. Financial contingency to cover cost of temporary staff to be agreed WPC to adopt a new appraisal system that includes	Clerk/Council	3	2	6

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								continuous assessment. Operations Manual to be kept up to date and reviewed annually Members to consider a resilience plan				
30	Governance	Incorrect or inaccurate minutes of meetings	Agenda agreed with the Chairman and issued a minimum of three working days before meeting. Agenda displayed for the public. Meetings run in accordance with standing orders. Draft minutes to be circulated to the Chairman for comment Minutes approved by committee/full council and signed by the Chairman	Clerk	1	3	3	No further action		1	3	3
31	Governance	Members do not follow members interests code	Procedure in place. Members informed yearly and information updated. Information held on file and on Parish web site. Members informed at the start of each meeting Duty of responsibility with members.	Clerk/members	2	3	6	Members informed to update information in year. They have a legal responsibility to ensure all details are correct Clerk to update formally at the	Clerk	2	2	4

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								May Council meeting.				
32	Governance	Elections – new Councillors not properly inducted/trained; not signed acceptance of office forms; do not submit register of interests within 21 days of election Members do not always follow Good Councillor Code, WPC Standing orders and code conduct.	Induction training offered to Councillors Induction pack put together by Council officers and provided to all Councillors Acceptance forms signed at May meeting and all register of interests are to be submitted to the Clerk at May meeting Training is encouraged but mandatory Any Member breaking the code could be referred to the monitoring officer.	Clerk/Members	3	3	9	Members training budget increased for years in which an ordinary election falls ESALC training available for all Councillors Clerk to list all training completed by members.		2	3	6
33	Other operations issues	A pandemic stops or reduces the ability for council to operate	Government agrees to allow meetings to be held remotely if legislation permits Meetings can be held remotely so residents can view Questions are forwarded to the public prior to the meeting. Clerk will complete any separate risk assessments required to operate and comply. Members to sign off.	Clerk/members	2	4	8	Clerk responsible to interpret any requirements introduced by the Government and produce appropriate documentation. Members to follow guidelines All records of actions required by members to be kept by the clerk When the		2	4	8

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			All staff have computer equipment to operate remotely.					pandemic is over a task group to work with the clerk to identify how the Council coped and Council to agree any future actions.				
34	Council reputation	Resources insufficient to meet the council priorities	Council set priorities each year Annual revenue budget is planned and agreed by Council Clerk responsible to full Council to deliver priorities. Budget reviewed by full Council quarterly		1	3	3	Council to set a three-year budget as recommended by the auditor. Also, council to agree to actions from the independent report.		1	2	2

Date of amendment	Amendment Made

Date of Review and Re-adoption JANUARY 2025	
