

Ebernoe Parish Council Risk Assessment

This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. In conducting this exercise, the following plan was followed:

- ? Identify the areas to be reviewed.
- ? Identify what the risk may be.
- ? Evaluate the management and control of the risk and record all findings.
- ? Review, assess and revise if required.

FINANCE AND MANAGEMENT

Subject	Risk(s) identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Business Continuity	Risk of council not being able to continue its business due to an unexpected or tragic circumstance	L	All files and record records are kept at the Clerk's home. The Clerk makes regular backups of files to a UBS memory stick. Key documents are also on the website.	Existing procedures adequate. Review when necessary
Precept	Adequacy of precept Requirements not submitted to CDC Amount not received by CDC	L L L	The Council reviews the precept requirement at the November meeting and reviews the presented budget update information, including actual position and projected position to year end and estimated figures for the next financial year. With this information the council agrees the amounts for specific budget headings for the following year, the total of which is resolved to be the precept amount to be requested from Chichester District Council. This figure is emailed to CDC and the Clerk informs Council when monies are received (approx April and September time)	Existing procedure adequate
Financial records	Inadequate records Financial irregularities	L L	The Council has Standing Orders that set out the requirements	Existing procedures adequate Review Standing Orders when necessary
Reporting and Auditing	Information communication Compliance	L M	A budget statement is produced before each Council meeting with the agenda and discussed and approved at the meeting. A full list of payments, receipts and cheques to be signed is provided at the meeting and approved. Council should regularly audit internally to comply with Audit requirements.	Existing communication procedures adequate. Council annually to appoint Councillor to check financial records for Audit compliance

Grants and support payable	Power to pay Authorisation of Council to pay	L	All such expenditure goes through the required Council process for approval, minuted and listed accordingly if a payment is made.	Existing procedures adequate.
Grants receivable	Receipts of Grant	L	The Parish Council receives a regular grant from CDC (precept) annually paid in two instalments. Receipt is reported to Council at next meeting of the Council. Any one off grants awarded would come with terms and conditions to be satisfied.	Existing procedures adequate.
Best Value Accountability	Work awarded incorrectly Overspend on services	L L	As per standing orders normal Parish Council practice would be to seek, if possible more than one quotation for any substantial work required to be undertaken or goods. In the unlikely situation for major contract services, formal competitive tenders would be sought. 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.	Existing procedures adequate. Review Standing Orders regularly.
Clerk	Loss of Clerk Fraud	L L	A contingency fund could be established to provide the new Clerk with relevant training, reference books, access to assistance and legal advice required to undertake the role.	Include in financial statement when setting precept. Existing procedures adequate.
Councillor Allowances	Councillors overpaid Income tax deduction	L	No allowances are allocated to Parish Councillors.	Existing procedures adequate.
Election Costs	Risk of an election cost	L/M	Risk is higher in an election year. When an election is due the Clerk will obtain an estimate of costs from the District Council for a full election and an uncontested election. There are no measures which can be adopted to minimise the risk of having a contested election as this is a democratic process and should not be stifled.	Existing procedures adequate.
VAT	Re-claiming	L	The Council has standing orders that set out the requirements	Existing procedure adequate.
Annual Audit return	Submit within time limits	L	Annual return is submitted by the Clerk to internal auditor for auditing and signing off.	Existing procedures adequate.

			This is signed off by Council and Certificate of Exemption is submitted to external auditor within the time limits.	
Legal powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved and minuted at Full Parish Council meetings	All activities and payments Minuted.
Council records - paper	Loss through: theft fire damage	L M L	The Parish Council records are stored at the home of the Clerk. Records such as historical correspondence, minute books and insurance are held in a cabinet	Damage, (apart from fire) and theft is unlikely and so provision adequate.
Council records - electronic	Loss through: Theft, fire,damage. Corruption of computer	L M	The Parish Council's electronic records are stored on a computer at the Clerk's home. Back up of files are held on USB memory sticks. Information is also available on the Council's website.	Existing procedures adequate.
Insurance	Adequacy Cost Compliance	L L L	An annual review is undertaken(before the time of the renewal) of insurance arrangements in place. Ensure compliance measures are in place.	Existing procedures are adequate Review insurance provision annually Review of compliance
Freedom of Information Act	Policy Provision	L M	The Council has a Freedom of Information Act policy in place. The Council is able to request a fee for any information requested to cover the cost of consumables and the Clerk's time.	Monitor and report any impacts of requests made under the FOI Act
Meeting location	Adequacy Health & Safety	L M	The Parish Council meetings are held in Holy Trinity Church. Access is available at all times. The premises are considered to be adequate for the Clerk, Councillors and Public who attend from Health Safety aspects.	Existing location adequate
ASSETS				
Benches Defibrillators Notice board K6 Telephone Kiosk	Loss or Damage	L	An community asset list is kept up to date and insurance is held at the appropriate level.	Existing procedures adequate Review insurance requirements annually
LIABILITY				
Legal Powers	Illegal activity or payments	L	All activity and payments made with the powers of the parish Council (not ultra vires) and to be resolved and clearly minuted	Existing procedures adequate Monitor monthly

			Ensure established with clear terms of reference	
Minutes/ Agendas/ Notices/ Statutory documents	Accuracy and legality Business conduct	L L	Minutes and agenda are produced in the prescribed method by the Clerk and adhere to legal requirements Minutes are approved and signed at the next Council meeting. Minutes and agendas are displayed, including on website, in accordance with legal requirements Business conducted at Council meetings should be managed by the Chair.	Existing procedure adequate. Guidance/training to Chair should be given (if required) Members to adhere to Code of Conduct
Public Liability	Risk to third party, property or individuals	M	Insurance is in place	Existing procedures adequate Carry out risk assessments as required
Legal Liability	Legality of activities Proper and timely reporting via Minutes Proper document control	M L L	Clerk to clarify legal position on proposals and seek advice if necessary. Retention of Document Policy in place	Existing procedures adequate
COUNCILLORS' PROPRIETY				
Members' interests	Conflict of interest Register of Members interests	M M	Councillors have a duty to declare any interests at the beginning of the meeting. Register of Members interest forms complete	Existing procedures adequate. Members to take responsibility to update their Register.

Ebernoe Parish Council

Risk Assessment Policy

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