

WESTHAMPNETT PARISH COUNCIL RISK ASSESSMENT

Version date: 29/08/2024

Approved 09/09/2024

Risk no	Description The risk is ...	Likelihood 1-5	Severity of Impact 1 -5	Risk rating Extreme 20-25 High 10-16 Medium 5-9 Low 1-4	Controls/Response, actions taken	Owner, next date for review/action
	Financial					
F1	Loss of cash/money at bank through impropriety/defective arrangements	3	5	15-High	Any payment requires signature/approval of two Councillors. When move to online banking occurs, ensure that robust measures are in place to mitigate risk of fraud.	Clerk/Councillors
F2	Failure to comply with financial controls and records	3	3	9 - Medium	Financial regulations (NALC recommended April 2024) adopted July 2024 Clerk/Councillors to be satisfied that each financial transaction is approved by Councillors and in accordance with financial regulations. Monthly Bank reconciliations undertaken by the Clerk and approved at PC meetings.	Clerk/Councillors Financial regulations to be reviewed in July each year
F3	Appointment of contractors – procedures not followed	2	2	4-Low	Financial regulations adopted Clerk/Councillors to be satisfied that each appointment is in accordance with financial regulations	Clerk/Councillors

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F4	Physical assets lost or damaged	2	3	6-Medium	Asset Register to be maintained and changes recorded. Assets to be insured including Clerk's laptop	Clerk/Councillors
F5	Failure to meet HMRC requirements for employees	2	2	4-Low	Clerk's payroll managed by WSCC Payroll Team.	Clerk/Councillors
F6	Failure to meet HMRC requirements for VAT	2	4	8-Medium	Clerk to keep up to date with VAT reclaim	Clerk/Councillors
F7	Failure to approve and submit adequate budget	2	5	10-Medium	Budget approved annually in January. Councillors aware of duty to submit budget/Precept request.	Clerk/Councillors January each year
F8	Failure to have adequate insurance in place	2	5	10-Medium	Councillors to annually review insurance arrangements. Advice sort where necessary	Councillors to review in August
F9	Failure to "shop around" for products and services leading to overspend	2	3	6-Medium	Councillors to ensure three quotes for each major contract & to follow Financial Regulations	Clerk/Councillors
	Governance					
G1	Failure to give public notice of council meetings	2	1	2 -Low	Notices of meetings to be circulated by Clerk and affixed by nominated Councillors to notice boards	Clerk/Councillors
G2	Failure to accurately and fully record Council decisions	2	2	4-Low	Minutes to be taken by Clerk, checked by Chair and approved by Councillors	Clerk/Chair/Councillors Minutes to be circulated within 10 days of meeting and approved at next meeting

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G3	Failure to maintain Register of Members' Interests etc up to date	2	2	4-Low	Code of Conduct and Standing Orders adopted requiring Councillors to notify any interest and Clerk to maintain Register of Members' Interests	Clerk/Councillors Code of Conduct and Standing Orders to be reviewed annually in July Councillors to notify interests and Clerk to maintain Register
G4	Failure to review risk register adequately and at appropriate intervals	4	4	16-High	Annual review Separate review of risk on any new activity being undertaken or permitted	Councillors to review Risk Register in July each year
G5	Council not being able to continue business due to unexpected circumstances (Loss of Clerk and Parish Council becoming inquorate)	3	5	15-High	Loss of Members – legal process to follow through District Council. Loss of Clerk – appoint Locum Clerk and recruit new Parish Clerk if necessary	
G6	Failure to comply with Standing Orders and other internal regulations	2	2	4-Low	Standing Orders and other internal regulations adopted Clerk/Councillors to be satisfied the Council's procedures, decisions and activities generally are in accordance with these regulations	Clerk/Councillors Provisions relating to data protection and freedom of information to be reviewed every July.

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	Legal					
L1	Claims by third parties for damage or injury suffered while using playgrounds	3	5	15-High	Annual professional inspection of playgrounds Monthly visual inspection by nominated Councillors of playground and equipment Public liability insurance	Councillors - Report to be considered at meeting next after report, or at once if serious risk identified Nominated Councillors to report at next meeting after inspection, or at once if serious risk identified
L2	Claims by third parties for damage or injury suffered on Council property or equipment provided by Council (other than playgrounds & Community Hall)	2	5	10-High	Regular inspections of bins and notice boards/seating by councillors. Public liability insurance	Councillors to ensure liability insurance is in place.
L3	Claims by third parties for damage or injury in course of activities carried out or permitted by Council	3	5	15-High	Separate risk assessment to be carried out for any activity (including volunteer activities) and approved by Council Public liability insurance	Clerk/Councillors

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L4	Failure to comply with legal obligations	2	3	6-Medium	Review of legal obligations when taking decisions Training of Clerk/research by Clerk to ensure awareness of obligations, including Freedom of Information Act and Transparency obligations	Clerk/Councillors
L5	Taking decisions or actions outside the Council's powers	1	3	3-Low	Review of powers when taking decisions	Clerk/Councillors
L6	Physical injury to Clerk while performing duties	1	5	5-Medium	Clerk's duties carried out in areas considered safe – home, car, village halls Employer's liability insurance effected	Clerk/Councillors
L7	Liability for loss/misuse of personal data	2	3	6 - Medium	Compliance with data protection policies Insurance	Clerk/Councillors
L8	Expiry of Leases	1	3	3-Low	Councillors to check status of Westerton Playground area Lease	

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	Data Protection					
DP1	Loss of personal data - hard copy	3	3	9-Medium	Kept under lock and key by Councillors/Clerk. . Need to create a Retention of Documents Policy and destroy in accordance with Retention of Documents Policy	Clerk/Councillors
DP2	Loss of personal data – digital copy	3	4	12- High	Held on a cloud, accessible via password protected devices. Need to create a Retention of Documents Policy and destroy in accordance with Retention of Documents Policy	Clerk/Councillors
DP3	Email security	4	4	16 - High	Councillors will be using gov.uk emails – to be set up with new website provider. Use bcc for group emails outside Councillors Need to create a Retention of Documents Policy	Clerk/Councillors
DP4	Internet security	5	4	20 - Extreme	All computers (Clerk and Councillors) on which personal data held to have up-to-date software and anti-virus software, firewalls etc installed and kept up to date	Clerk/Councillors
DP5	Publication of personal data	2	3	6 -low	Members of public not to be named in minutes Members of public not to be identified on website	Clerk/Councillors