

ALDINGBOURNE PARISH COUNCIL RISK ASSESSMENT 2021

RISK ASSESSMENT REVIEWS

Assessment date	Review date	Review date	Review date	Review date	Review date
23/2/2021					
Date Completed					
SITE LOCATION	ASSESSMENT Author, name / position		Assessment Author signature		
Clerk's Home	Lindy Nash Clerk				
OVERALL TASK RISK RATING		LINE MANAGER NAME		LINE MANAGER SIGNATURE	
		Martin Beaton Chair			

RISK LEVEL GUIDE

		Likelihood of occurrence		
		High	Medium	Low
Likely Severity	High	H	H	M
	Medium	H	M	M
	Low	M	M	L

Severity

High - Very serious or worse

Medium - Serious

Low - Minor

Likelihood of occurrence

High - Very likely - it can be expected

Medium - Probable - it could happen

Low - Not likely - It would be unusual if it happened

Activities with a high risk are not acceptable

Subject	Risks Identified	Control Measures <i>What precautions are being /will be taken?</i>	Risk Level			Further action required <i>Identify by whom and when</i>
			Severity of risk	Likelihood of risk	Risk rating	Identify any additional actions required to make the risk acceptable
Financial & Management		Consider: • legal requirements • good practice • Codes of Practice • generic RAs • own judgement				
Business Continuity	Loss of operating information held by the Clerk on the Parish Laptop.	The Clerk's laptop and all Parish Councillors iPads supplied for Parish Council business all use Microsoft Office applications that are automatically backed-up via Microsoft Sharevie/OneDrive cloud storage hosted in duplicate locations. Microsoft Shareview provides a historic view of data held that can be interrogated by date The Councillor iPads also save all documents created/saved within the Microsoft Office applications in the Apple iCloud.	High	Low	Low	None required
Business Continuity	Loss or long-term incapacity of the Clerk.	The Clerk will meet/speak weekly to the Chair and so updating the Chair regularly on operations and projects. A locum Clerk would be recruited to cover long term absence of the Clerk.	Medium	Medium	Medium	Weekly meetings to be commenced between Clerk and Chairman
Business Continuity	Full or majority resignation of the Council.	Maintain and adhere to Standing Orders Maintain and adhere to Members Codes of Conduct Clear and accurate minuting of Council meetings Clear communication between Council, outside bodies and Clerk Clear leadership and communication skills from Chair	Low	Low	Low	None required
Financial Record Keeping	Mistakes in bank reconciliations Mistakes in data input of invoices and VAT figures Mistakes in receipts and payments	A payments schedule and bank accounts update is to be presented within every Council meeting. Payments are made within Council meetings and require two signatories with proof of invoice The Clerk reconciles the accounts on a monthly basis. Quarterly bank reconciliations/receipts and payments and period end checked by Chair and signed off Quarterly budget figures submitted to Council The Parish Council's accounts are audited by independent internal and external auditors	Medium	Medium	Medium	Monthly reconciliation and quarterly budget figures to be submitted on a regular basis and Finance meetings to be held on a regular basis
Banking	Incorrect funds transferred from one account to another Fraudulent use of bank accounts Bank charges due to late funding transfers between accounts Bank charges for returned cheques	The Council is in the process of transferring to on line banking. In the interim the cheque book is held by the Clerk and all cheques are written out by her following authorisation at a Council meeting and require the signatures of two councillors who also initial the cheque stubs. Cheques are not sent until the Clerk is satisfied that the amounts are correct and properly authorised and sent by post to the payees address quoting the invoice number.	Medium	Low	Low	On line banking to be established as a matter of urgency so as to improve more efficient payment of creditors and suppliers and easy access to up to date bank balances and transactions

Grants and Funding	Overspend on grants/funding received for parish projects. VAT exclusion from Grants/Funding causing cash flow problems for Council Not adhering to terms and conditions of any grants and funding received.	The Clerk will retain information on all grants and funds received and advise Council regularly at meetings of the terms and conditions that need to be met.	Medium	Low	Low	A grant application form has been produced and terms and conditions for the application of a grant are to be approved. Terms and conditions of any funding are noted by the Clerk and reported to Council.
Best Value Accountability	Overspend on services	Three quotations are sought on any works over £????? Where the value of works is between £?? and £?? then the Clerk shall endeavour to obtain three quotes. The Clerk will confirm the order for the work in writing to the contractor so that it is clear what has been agreed. The Clerk will check that all invoices submitted and that they agree with orders issued. No payment will be made to service providers by the Clerk until the work has been verified as complete and as ordered.	Medium	Low	Low	None required.
Precept	Adequacy of precept Requirements not submitted in time to Chichester District Council Precept not received by Council	The Clerk prepares a budget update report including the actual financial position and projected position to the financial year end and indicative figures and costings which have been obtained on services/works/projects for the following year. Planning for precept begins three meetings prior to submission to ADC. In December the Council uses the budget update report to map out the required monies for standing costs and projects for the following year. The agreed precept is proposed and seconded during the December meeting. The Clerk submits the precept amount to ADC by the end of January. The Clerk informs the Council when precept monies are received.	High	Low	Medium	None Required.

Salaries & Associated Costs	Salaries paid incorrectly Wrong hours paid Unpaid Tax and NI contributions Data protection and sensitive information not for public consideration Incorrect pension deductions Reclaiming VAT	<p>All salaries are paid net of Tax and NI through DM Payroll Services Pension administration and deductions undertaken every quarter</p> <p>The Clerks hours of work are detailed in the letter offering her employment with APC as Clerk & RFO and hours worked will be submitted in a timesheet on a monthly basis to the Council. The Contract of Employment to be completed.</p> <p>The Clerk has recently been entered into the LGPS and DM Payroll Services provides regular schedules of contributions to the scheme which the Clerk must send to WSCC and as RFO should scrutinise that these and her payment of her salary are correct.</p> <p>The Clerk must ensure that NI contributions are forwarded to HMRC</p> <p>Any variation in salary/over time payment is arranged/agreed in a Council meeting.</p> <p>The Clerk must submit regular claims for the repayment of VAT in accordance with financial regulations and report to the Council when receipt of the same has been received</p> <p>Within the Council's Standing Orders is a provision for the Chair to request the public and press to leave a meeting due to the confidential nature of the business.</p> <p>Salaries are assessed and reviewed annually in April.</p>	Medium	Low	Low	<p>Salary review to take place at annual appraisal in March 2021 ready for April 2021.</p> <p>Clerk to submit monthly time sheets; reclaim VAT; finalise the Contract of Employment and investigation into overpayment/non payment of salary to be undertaken and resolved</p>
Employees	Fraud by staff Actions undertaken by staff	<p>Insurance includes Fidelity Guarantee cover of up to £50,000 indemnity.</p> <p>The Council ensures that all staff receive relevant training and reference books and access to advisory services such as SSALC (or similar) to undertake their jobs correctly.</p> <p>The Chair obtains employer references on previous employers of the Clerk/RFO.</p> <p>Annual appraisals to ascertain training needs take place for the Clerk.</p>	High	Low	Low	<p>Consider increasing the level of Fidelity Guarantee</p>
Councillor/Chair Allowances	Councillors overpaid	<p>Supporting documentation is submitted by Councillors when claiming any travel or subsistence expenses to the Clerk and this is approved in the payments section of Council meeting as noted on the payments schedule.</p> <p>The Clerk pays the Chair any Chairman's Allowance which is noted on the payments schedule and authorised by Council.</p>	Medium	Low	Low	None required.
Elections	Risk of an election cost in a contested election	<p>When an election is due the Clerk will receive an estimate of the likely costs of a contested election from Arun District Council and provision will be made for this when setting the precept for the year.</p> <p>Annual precept to start to build Election Cost reserves until a figure of £4,000 is achieved.</p>	Low	Low	Low	<p>Reserves building not in evidence</p>

Minutes/Agendas/Statutory Documents	Accuracy and legality of operations of Council	Agendas are prepared by the Clerk and sent to the Council within statutory time frames. Agendas are publically displayed and uploaded to the Council website by an outsourced person within the statutory time frames. Minutes are prepared, circulated and displayed and uploaded to the Council website by an outsourced person within the statutory time frames. Minutes are approved and signed at the following Council meeting. The Clerk prepares statutory documents, and these are adopted within Council meetings. The Clerk consults with SSALC/NALC regarding statutory documents to ensure compliance with legislation. The Clerk regularly attends training/seminars to keep up to date of legislative requirements. Business at Council meeting managed by Chair or Vice Chair in Chair's absence.	Low	Low	Low	New Policies including Staff Discipline and Staff Grievance, Grants and others are in the process of being submitted for Council approval .
Members Interests	Conflict of interest with Parish Council Business.	Register of Members Interests Forms updated at least annually by Council (May ACM). Declaration of interests is an agenda item on all Council meetings to prompt members of their duty. Standing orders detail the correct procedure.	Medium	Low	Low	In place for new Members
Insurance	Adequacy of cover. Cost of cover. Compliance with insurance terms and conditions.	A review to be undertaken before the time of the policy renewal of all insurance arrangements in place. The Clerk to liaise with insurance provider and inform Council. The Clerk to obtain predicted insurance cover for following year ready for October meeting and precept planning.	High	Medium	Medium	Clerk to update Council on insurance levels in place in April 2021
Annual Governance and Accountability Return (AGAR)	Not submitted within time limit or queries answered within specified time limits and so incur fines	AGAR is completed and signed by the Council and the Internal Auditor and should be done so in accordance with the rules. It is checked by the Internal Auditor and forwarded to the External Auditor within the time limit and any queries on the Audit responded to promptly.				Outstanding 20/21 AGAR query responses are now with External Auditor for review.
Equipment & Land Owned By The Parish Council	Risks Identified	Consider: • legal requirements • good practice • Codes of Practice • generic RAs • own judgement	Severity of risk	Likelihood of risk	Risk rating	Identify any additional actions required to make the risk acceptable
Assets	Loss/damage/deterioration to parish assets	An annual review of the Parish Council assets is undertaken, and a register of assets is kept and updated annually.	High	Medium	Medium	Assets to be checked in autumn

Maintenance	Risk/damage/injury to third parties	<p>Playground equipment is checked monthly by ADC for safety and damage and the reports forwarded to the Clerk. Any problems are reported to the Clerk and added as an agenda item at the next meeting.</p> <p>All public amenity land is inspected regularly by a named Councillor on the Council Roster and any requirement for maintenance (ie tree maintenance/fencing) is reported to the Council</p> <p>All repairs and relevant expenditure for these repairs are actioned/authorised in accordance with the correct procedures of the Parish Council.</p> <p>All contractors for grounds maintenance must provide Public Liability Insurance cover of £10m. The Clerk to check insurance is in place correctly.</p> <p>The Parish Council have insurance which includes : £10m Public Liability.</p>	High	Medium	Medium	A Council roster for inspecting public amenity land and other areas/assets to be produced and actioned
Allotments	Risk/damage/injury to third parties/protection of income	<p>The Council has an allotment working party and an allotment association is being formed to manage the day to day operation of the allotments and will include measures to control hazardous rubbish; pesticides and fertilisers; vermin; bonfires rubbish /waste; good husbandry of the allotments. A member (Councillor)of the allotment working party will carry out regular inspections to report any hazards regarding fencing/barbed wire ; uneven paving stones any sharp materials or debris likely to be harmful; correct use of the allotments. Reports to be submitted to the Finance Committee. Annual tenancy agreements to be issued and monies to be collected and separately identified in the accounts.</p>				Allotment Association to be formed and a member of the Allotment Working Party to be named as the Councillor responsible for the inspections.
Notice Boards	Risk of injury	<p>The Parish Council has seven notice boards sited around the parish. All are to be inspected regularly by a named Councillor on the Council Roster and any repair/maintenance requirements brought to the attention of the Parish Council.</p> <p>Keys to the boards are held by Councillor ?????</p>	Medium	Medium	Medium	A Council roster for inspecting public amenity land and other areas/assets to be produced and actioned
Meeting Locations	Adequacy Health & Safety	<p>The Parish Council meetings are held at ACSC which has public access for other events. .</p> <p>The venue is considered adequate for the Clerk, Parish Council and members of the public who attend from comfort and health and safety aspects.</p> <p>There is enough parking available at the location for the meetings.</p>	Medium	Low	Low	None required.
Council Records (paper)	Loss through: Fire Theft Damage	<p>The Parish Council Minutes and Accounts are at the Clerk's home . Documents received in paper format are scanned and included in the appropriate meeting folder or invoice file. Originals of paper documents are retained on file</p>	Medium	Low	Low	None required
Council Records (electronic)	Loss through: Fire Theft Corruption of Computer	<p>The Parish Council's electronic records are stored on the Council's laptop computer used by the Clerk.</p> <p>The Clerk's laptop and all Parish Councillors iPads supplied for Parish Council business all use Microsoft Office applications that are automatically backed-up via Microsoft Shareview/OneDrive cloud storage hosted in duplicate locations. Microsoft Shareview provides a historic view of data held that can be interrogated by date</p>	High	Low	Low	None required

Activities Organised By The Parish Council	Risks Identified	Consider: <ul style="list-style-type: none"> • legal requirements • good practice • Codes of Practice • generic RAs • own judgement 	Severity of risk	Likelihood of risk	Risk rating	Identify any additional actions required to make the risk acceptable
Parish Clean Up Campaign	Health & Safety of Litter Picking Teams	<p>Cllr Harbord does a safety briefing at the start of each pick making it clear that the risk is all down to each individual and the PC has no insurance covering them.</p> <p>All volunteers have to sign in before we start providing emergency contact details.</p> <p>Cllr Harbord prepares a risk assessment before the start of each pick using the Keep Britain Tidy form which she runs through with the volunteers.</p> <p>All equipment is now provided by the PC and litter collected by Arun DC.</p>	Medium	Low	Low	Consider whether First Aid/Insurance cover should be available for future picks