

**ENGLEFIELD PARISH COUNCIL – RISK ASSESSMENT**

<i>Initial Draft</i>	May 2019
<i>Adopted</i>	May 2019
<i>Latest Review Date</i>	March 2022
<i>Next Scheduled Review Date</i>	March 2023

**Risk Assessment Rating Criteria:**

<b>LIKELIHOOD</b>	<b>Probable</b>	<b>H</b>	L	H	H
	<b>Possible</b>	<b>M</b>	L	M	H
	<b>Unlikely</b>	<b>L</b>	L	L	M
			<b>L</b>	<b>M</b>	<b>H</b>
			<b>Minor</b>	<b>Moderate</b>	<b>Major</b>
<b>IMPACT</b>					

<b>Risk ID</b>	<b>Risk Description</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Risk Rating</b>	<b>Mitigating Controls</b>	<b>Recommended Additional Controls</b>	<b>Responsible Person</b>
<b>Financial</b>							
EPC-001	Precept is inadequate resulting in an unacceptable level of reserve being used in order to continue Council business.	L	M	L	Precept calculated as a result of budgeting process using estimates and assumptions.		RFO

					Regular monitoring and reporting to Council of payments against budget.		
EPC-002	Incomplete or inaccurate financial records	L	M	L	Compliance with Governance and Accountability for Smaller Authorities in England – A Practitioners’ Guide in the preparation of statutory annual accounts and governance statements. Financial Regulations approved and reviewed annually. Financial records reported to and reviewed by Council.	Internal financial control policy to be defined and adopted by Council. Clerk to attend any available financial training as offered by BALC.	RFO
EPC-003	Breach of Financial Regulations	L	M	L	Internal Auditor appointed in order to check and report on compliance with Financial Regulations. Financial records reported to and reviewed by Council.		RFO
EPC-004	Council overspend against allocated budget resulting in an unacceptable level of reserve being used in order to continue Council business.	L	M	L	Council approval of expenditure in accordance with Financial Regulations. Regular monitoring and reporting to Council of payments against budget.		RFO
EPC-005	Loss of money through theft or dishonesty.	L	M	L	No cash held. Insurance in place.		RFO
EPC-006	Damage to, loss, or theft of assets.	L	L	L	Asset Register in place – to be reviewed annually. Insurance policy in place.	Asset inspections by Council to ensure well maintained.	Clerk

EPC-007	Inaccurate VAT claim or failure to comply with VAT legislation.	L	M	L	Ensure all goods are ordered in Council's name, invoiced to, and paid for by Council. Inspection of all invoices by RFO.		RFO
EPC-008	Inappropriate use of grant funding provided by Council.	L	M	L	Ensure all grant requested are scrutinised to ensure proper use of funding.		RFO
EPC-009	Damage to third party property as a result of Council event or liability as asset owners.	L	L	L	Public Liability Insurance in place.		Chairman
<b>Health &amp; Safety</b>							
EPC-010	Injury to staff, Council members, or public at Council event, or as a result of liability as asset owners.	L	H	M	Public Liability Insurance in place.	Greater awareness of Health & Safety responsibilities amongst Council Members.	Chairman
<b>Governance</b>							
EPC-011	Breach of Standing Orders.	L	L	L	Standing Orders reviewed annually. All Council Members aware of, and adhere to, Standing Orders.		Clerk
EPC-012	Members fail to behave in accordance with Code of Conduct.	M	M	L	Code of Conduct Policy adopted by Council. All Members to sign declaration of acceptance of office.	Council Members to attend training as provided to ensure that they are fully aware of their responsibilities.	Clerk
EPC-013	Conflict of interest not declared or dealt with appropriately.	L	M	L	Register of Interest completed by each Member of the Council and submitted to West Berkshire Council.	Agree mechanisms to manage potential conflicts of interest. Put in place procedures for standing down on certain	Clerk

					Disclosure of interests' as standard agenda item to prompt to Members.	decisions if conflict of interest is declared.	
EPC-014	Spend and/or activity in areas in which the Council has no legal power.	L	L	L	Ongoing training of Parish Clerk to ensure all Council business is conducted in accordance with legal powers and duties.	Council Members to attend training as provided to ensure that they are fully aware of their responsibilities.	Chairman
EPC-015	Council meetings not quorate due to Councillor absence or inability to recruit full Council in the event of the resignation of Councillors.	L	M	L	Vacancies to be advertised in Parish Magazine and candidates sought proactively.	Ascertain whether additional Councillor can be added to the Parish Council.	Clerk
EPC-016	Council meetings not recorded correctly.	L	L	L	Agendas and Minutes produced in accordance with legal requirements. Minutes recorded in a timely fashion to ensure accuracy. Minutes approved by the Council as a true and accurate record.		Clerk
EPC-017	Failure to respond to consultation invitations or planning applications according to required timescales.	L	L	L	Consultation requests circulated to Council Members within timely manner. Planning applications discussed outside of usual meeting timetable if required.		Clerk
EPC-018	Failure to respond to electors wishing to exercise their rights of inspection.	L	L	L	Publication on website of the period during which electors and interested		Clerk

					persons may exercise their rights relating to annual accounts. Accounts and AGAR published in line with agreed period.		
<b>Staffing</b>							
EPC-019	Lack of adequate knowledge or experience of Clerk or Councillors to fully fulfil their roles.	L	L	L	Staff and Councillors to take advantage of appropriate training to ensure that they have the knowledge required to fulfil their roles.	Clerk to ensure they remain up to date with latest guidance of changes to legislation through NALC/BALC briefings and relevant training courses.	Chair
<b>Information Assets</b>							
EPC-020	Data loss due to technology failure or staff attrition.	L	M	L	Documentation stored on central cloud-based storage solution. Documentation loaded to Parish Council website as appropriate. Website hosted by third party provider.		Clerk