

Treswell with Cottam Parish Council Risk Assessment Schedule

Definition of Risk Management

Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements.

Audit Commission – Worth the Risk: Improving Risk Management in Local Government (2001:5)

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. The Council is aware that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic and focussed approach to managing risk, which:

- Identifies the subject
- Identifies what the risk may be
- Identifies the level of risk
- Evaluates the management and control of the risk and records findings
- Reviews, assesses and revises procedures if required

Management

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/ Assess/Revise
Business Continuity	Council not being able to continue its business due to unexpected or tragic circumstances	L	In the event of the death or resignation of the council leaving less than enough members to hold a quorum, the clerk informs Bassetlaw DC who then appoint an interim Council. In the event of the death or sudden resignation or incapacitation of the clerk, the council shall appoint a NALC interim locum clerk until new clerk is appointed	Review when necessary
Meeting Location	Adequacy Health and Safety House Keeping	L	Meetings are held at Treswell Village Hall. Only the hall committee has keys. The premises and facilities are considered to be adequate for the Clerk, Councillors and public that attend from a health and safety and comfort aspect	Existing procedure adequate
Council Records – Hard Copies	Loss through theft, fire, damage	M	Current 'working' papers are held by the clerk. 'historic' archived documents will be sent to Nottinghamshire Archives.	Damage or theft unlikely and so provision adequate.
Council Records – Electronic Copies	Loss through damage, fire, corruption of computer, theft	M	The Parish Council's electronic records are stored by the clerk on the Council's 'working' memory stick. Back-up of the files are made monthly on an encrypted memory stick; the equipment is insured by the Council's insurance cover	Existing procedure adequate
Data	Loss of personal	M	The Corporate body of the Parish Council is	Existing

Protection	data through data breach		appointed and identified as the Data Controller & Data Processor; the Council's role is to identify areas that could cause compliance problems under the General Data Protection Regulation. The Council will work with the Clerk to minimise the risk of a data breach. The Council is obliged to inform the Office of the Information Commissioner should a data breach occur. See Data Protection Risk Assessment for further information.	procedure adequate
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Finance

Precept	Adequacy of precept	M	Sound budgeting to underline annual precept. The Parish Council receives monthly finance information and detailed budgets in December. The precept is an agenda item at the January meeting	Existing procedure adequate
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An Annual review is undertaken of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee, property/contents are a statutory requirement	Existing procedure adequate. Review provision and compliance annually
Banking	Inadequate checks	L	The Council has Financial Regulations which set out the requirements for Online banking, cheques and reconciliation of accounts. Council bank accounts all managed online, password protected. Internal Auditor Checks the transactions, there is insurance cover for fraud/dishonesty.	Existing procedure adequate. Review Financial Regulations as needed
Cash	Loss through theft or dishonesty	L	The Council has no petty cash or float. We do not process cash payments.	Existing procedure adequate
Financial controls and records	Inadequate checks	L	Monthly reconciliation prepared by RFO and checked by the Chair of the Parish Council. Two signatories on cheques. Chair, Vice Chair and Clerk have access to online accounts which has an on-line audit trail. Internal and external audit. Financial obligations must be resolved and clearly minuted. Any s.137 payments must be recorded at time of approval in minutes and accounts	Existing procedure adequate
Freedom of Information Act	Policy Provision	M	The Council has a model publication scheme for Local Councils in place. The charge of 20p per sheet for paper copies of minutes etc. applies to information that is no more than five years old and older information may only be available for inspection by members of the public and/or may incur a significantly higher charge. Electronic copies of minutes are published on the Bassetlaw District Council website	Monitor and report any impacts made under the Freedom of Information Act

Clerk	Loss of Clerk Fraud Actions Undertaken	M L L	In the event of a clerk resigning before the appointment of a new clerk, the Council shall appoint a trained locum clerk from NALC. The requirement of Fidelity Guarantee insurance must be adhered to. The Clerk should be provided with any relevant training, reference books, access to assistance and legal advice	Membership of NALC maintained. Maintain Insurance Cover Membership of the SLCC maintained.
VAT	Re-claiming/ charging	L	The Council has financial regulations which set out the requirements. Clerk reclaims VAT for the Council via the HMRC	Existing procedure adequate
Annual Return	Not submitted within time limits	L	Annual return is completed and signed by the Council, submitted to the Internal Auditor for completion and signing, then checked and sent to the External Auditor within the time limit	Existing procedure adequate

Assets

Street furniture, defibrillators, benches, bins, village signs	Damage to bench seats and other outdoor property	L	An asset register is kept up to date by the clerk and insurance is held for appropriate level for all items. Regular checks are made on all equipment by members of the Parish Council. Council to inform clerk of any damage or maintenance required so that repairs can be arranged where necessary.	Existing procedure adequate
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Liability

Legal Powers	Illegal activity or payments	L	All activity and payment made within the powers of the Parish Council (not ultra vires) are to be resolved and clearly minuted	Existing procedure adequate
Minutes/ Agendas/ Statutory documents	Accuracy and legality Non-compliance with statutory requirements	L L	Minutes and agendas are produced in the prescribed methods and adhere to legal requirements. Minutes are checked by members by email and then approved and signed at next meeting Minutes and agendas are displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chairman.	Existing procedure adequate Undertake adequate training Members adhere to Code of Conduct & Standing Orders
Employer Liability	Non-compliance with employment law	L	Undertake adequate training and seek advice, if necessary, from NALC. Maintain Employer Liability Insurance Clerk is provided with a contract of employment, copy held by council and employee.	Existing procedure adequate
Legal Liability	Legality of activities Proper and timely reporting via	M L	Clerk to clarify legal position on proposals and to seek advice if necessary Council always received and approves minutes	Existing procedure adequate

	Minutes Proper document control	L	at monthly meetings Retention of documents according to agreed timescales advised by NALC	Existing procedure adequate Existing procedure adequate
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Councillors Propriety

Members' Interests	Conflict of interest Register of Members Interests	M L	Councillors have a duty to declare any interest at the start of the meeting Register of Members' Interests form to be reviewed at least on an annual basis. New Members joining the Council must complete their register of members interest so that the Clerk can send this to Bassetlaw District Council within 28 days of taking office,	Existing procedure adequate Members to take responsibility to update their own register
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Review:

Date Adopted: 23.11.2022