

# Bulwick Parish Council Risk Assessment

	Risks Identified	Who is at risk?	Management/Control	Review/Assess	Rating	Action By
<b>Business Continuity</b>	Incapacity or absence of the Clerk	Bulwick Parish Council  Residents of Bulwick	<ul style="list-style-type: none"> <li>- Designate a person to temporarily act as Clerk in an emergency.</li> <li>- A Locum service is available through the Society of Local Council Clerks. <a href="http://consultancy.slcc.co.uk/register?type=locum">http://consultancy.slcc.co.uk/register?type=locum</a></li> <li>- Clerk to provide Chairman with a list of passwords to ensure business continuity</li> </ul>	Regularly review passwords to check for updates	Low	Clerk  Chair
	Resignation of the Clerk	Bulwick Parish Council  Residents of Bulwick	<ul style="list-style-type: none"> <li>- Undertake succession planning.</li> <li>- Transition period / handover with existing clerk</li> <li>- Identify councillors to take on extra responsibility until new clerk is in place</li> <li>- New clerk to enrol on NALC courses for 'New Clerk &amp; Finance'</li> </ul>	Adequate	Low	Clerk  Chair  Bulwick Parish Councillors
	Loss / theft off or inability to access records	Bulwick Parish Council  Residents of Bulwick	<ul style="list-style-type: none"> <li>- All old copies prior to electronic use are deposited with the Northamptonshire County Records Office.</li> <li>- All Minutes since 2023 are held on the Council's website.</li> <li>- Data Back-up is by google drive and on an external hard drive which is kept by a councillor.</li> </ul>	Adequate	Low	Clerk  Chair  Bulwick Parish Councillors

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	Failure to retain or secure the necessary number of members for a Council	Bulwick Parish Council Residents of Bulwick	<ul style="list-style-type: none"> <li>- Clerk to maintain an up to date Councillor Attendance Register.</li> <li>- Advertise for an election immediately a vacancy exists.</li> <li>- Co-opt Members where no election is held.</li> </ul>	<ul style="list-style-type: none"> <li>- Adequate</li> </ul>	Low	Clerk Chair
<b>Ensure compliance with an Act of Parliament, Council's financial regulations and code of conduct</b>	Lack of knowledge of regulations and codes	Bulwick Parish Council Residents of Bulwick	<ul style="list-style-type: none"> <li>- Ensure that all Councillors have available relevant Acts.</li> <li>- That a Code of Conduct, Standing Orders and Financial Regulations are in place.</li> <li>- Highlight essential parts and provide training where relevant.</li> </ul>	<ul style="list-style-type: none"> <li>- Clerk to provide acts to councillors</li> <li>- Review policies annually</li> <li>- Chair / Clerk to provide training to councillors</li> </ul>	Low	Clerk Chairman Bulwick Parish Councillors
	Absence of Standing Orders	Bulwick Parish Council Residents of Bulwick	<ul style="list-style-type: none"> <li>- Ensure that Standing Orders are produced</li> <li>- Ensure that Standing Orders are adopted by the Councillors</li> <li>- Ensure Standing Orders are understood by Councillors</li> <li>- Reviewed annually.</li> </ul>	<ul style="list-style-type: none"> <li>- Clerk to provide Standing Orders to councillors</li> <li>- Agree review date for policy annually</li> <li>- Chairman / Clerk to provide training to councillors</li> </ul>	Low	Clerk Chair Bulwick Parish Councillors
	Action by the Parish Council outside its powers laid down by Parliament	Bulwick Parish Council Residents of Bulwick	<ul style="list-style-type: none"> <li>- Clerk to monitor relevant legislation and report to Council</li> </ul>	<ul style="list-style-type: none"> <li>- Clerk to monitor NALC for updates</li> <li>- To maintain clerks continue professional development</li> </ul>	Low	Clerk NALC Website
	Lack of commitment to regulations and procedures	Bulwick Parish Council	<ul style="list-style-type: none"> <li>- Chair and clerk to review Council's meeting and operational procedures annually</li> </ul>	<ul style="list-style-type: none"> <li>- Clerk to monitor NALC for updates</li> </ul>	Low	Clerk Chair

		Residents of Bulwick		<ul style="list-style-type: none"> <li>- Agree review date for policies annually</li> <li>- To maintain clerks continued professional development</li> </ul>		
	<p>Items purchased without proper tendering procedures.</p> <p>Not providing value for money or resulting in accusations of commercial favouritism.</p>	Bulwick Parish Council	<ul style="list-style-type: none"> <li>- Parish Council to obtain at least two quotations for key purchases.</li> <li>- All purchases are to be approved at a Bulwick Parish Council Meeting</li> <li>- See Internal Financial Control System Policy.</li> </ul>	<ul style="list-style-type: none"> <li>- All councillor to have copies of the Financial system policy</li> <li>- Financial system can be found on the Bulwick parish council website</li> </ul>	Low	<p>Clerk</p> <p>Chair</p> <p>RFO</p> <p>Bulwick Parish Councillors</p>
	Lack of control of signatories to cheques	Bulwick Parish Council	<ul style="list-style-type: none"> <li>- Two Councillors as authorised signatories approved by the Council.</li> <li>- Try to use online banking rise payments</li> <li>- See Internal Financial Control System Policy.</li> </ul>	<ul style="list-style-type: none"> <li>- To have 3/4 signatories for online banking</li> </ul>	Low	<p>Clerk</p> <p>Chair</p> <p>RFO</p> <p>Bulwick Parish Councillors</p>
	VAT not properly accounted for, resulting in over claims and large demands from HMRC.	<p>Bulwick Parish Council</p> <p>HMRC</p>	<ul style="list-style-type: none"> <li>- Ensure appropriate VAT publications are held</li> <li>- Clerk has good knowledge of the regulations.</li> <li>- See Internal Financial Control System Policy.</li> </ul>	<ul style="list-style-type: none"> <li>- File VAT returns regularly (every 3/6 months)</li> <li>- Clerk to have VAT number</li> <li>- Clerk to have access to gateway information</li> </ul>	Low	<p>Clerk</p> <p>Chair</p> <p>RFO</p>

Notice of a parish meeting	Bulwick Parish Council Residents of Bulwick	<ul style="list-style-type: none"> <li>- The meeting Agenda is placed on the village noticeboards</li> <li>- The meeting Agenda is upload onto Bulwick Parish Council's website</li> <li>- The Agenda is available to Bulwick Residents before the given required notice of each meeting.</li> </ul>	Adequate	Low	Clerk Chair
Written communication / Emails	Bulwick Parish Council Residents of Bulwick	<ul style="list-style-type: none"> <li>- All formal written communication / emails should be directed through the Clerk.</li> <li>- All formal written communication / emails may be signed by the Chair / Vice-Chair when necessary.</li> <li>- All councillors to use parish email addresses for communication</li> <li>- All councillors to have signed email policy</li> <li>- Use BCC when emailing to multiple parties</li> <li>- Bulwick Parish Councillors to have .gov.uk emails as per government guidance.</li> </ul>	Adequate	Low	Clerk Chair Bulwick Parish Councillors
Approval of minutes	Bulwick Parish Council Residents of Bulwick	<ul style="list-style-type: none"> <li>- Minutes are approved at the next Meeting of the Council.</li> <li>- Draft Minutes are approved by the chair before being circulated</li> <li>- Draft Minutes are forwarded to Councillors</li> <li>- Draft Minutes are displayed on the Bulwick Parish Council's website no later than one month after a meeting.</li> </ul>	Adequate	Low	Clerk Chair
Register of interests	Bulwick Parish Council	<ul style="list-style-type: none"> <li>- Councillors are required to declare an interest in any item of business on the Agenda</li> <li>- Councillor's interests are recorded in the Minutes.</li> </ul>	Adequate	Low	Clerk Chair

			<ul style="list-style-type: none"> <li>- Completed Register of Interests forms are submitted to the Monitoring Officer and regularly reviewed.</li> </ul>			Bulwick Parish Councillors
	Security of data (IT systems and support)	Bulwick Parish Council	<ul style="list-style-type: none"> <li>- Confidential documents are stored in a safe.</li> <li>- Laptop's and emails require an access code</li> </ul>	<ul style="list-style-type: none"> <li>- Store Items in a fireproof safe for confidential</li> </ul>	Low	Clerk Chair
	Freedom of Information (FOI)	Bulwick Parish Council  Residents of Bulwick	<ul style="list-style-type: none"> <li>- <i>Bulwick Parish Council to adopt model publication for FOI requests</i></li> <li>- Monitor any requests made under FOI.</li> </ul>	<ul style="list-style-type: none"> <li>- <i>Adopt Model Publication Scheme for BPC</i></li> <li>- Refer any FOI to NCAL for advice</li> </ul>	Low	Clerk Chair
	Payments made without prior approval and adequate control	Bulwick Parish Council  Residents of Bulwick	<ul style="list-style-type: none"> <li>- Ensure that all payments are approved in meetings and recorded in Minutes.</li> <li>- Where prior payment is required this is approved by the Chairman and a designated Councillor</li> <li>- See Internal Financial Control System Policy</li> </ul>	<ul style="list-style-type: none"> <li>- Adequate</li> </ul>	Low	Clerk Chair RFO
<b>Governance and Management</b>	Engagement by Members in the operation and activities of the Parish Council	Bulwick Parish Council  Residents of Bulwick	<ul style="list-style-type: none"> <li>- Take every opportunity to publicise the role of the Parish Council through the village newsletter and website.</li> <li>- Effective use of village noticeboards.</li> <li>- Use key issues to raise profile of Parish Council and to test parishioner's views.</li> <li>- Publish Councillors contact details on the Website and Village noticeboards</li> </ul>	<ul style="list-style-type: none"> <li>- Adequate</li> <li>- Make use of social media in promoting Bulwick Parish Council</li> </ul>	Low	Clerk Chair  Bulwick Parish Councillors
	Impact of Public spending cuts	Bulwick Parish Council	<ul style="list-style-type: none"> <li>- All Councillors to be made aware that priorities must be set on the basis of the financial capacity of the Parish Council to deliver.</li> </ul>	<ul style="list-style-type: none"> <li>- Clerk / RFO to explain / plain budget successfully</li> </ul>	Low	Clerk Chair

		Residents of Bulwick	<ul style="list-style-type: none"> <li>- Attend training where appropriate.</li> </ul>			Bulwick Parish Councillors
	Lack of engagement by councillors and residents on major items of public interest	Bulwick Parish Council Residents of Bulwick	<ul style="list-style-type: none"> <li>- Ensure publicity through local village newsletter, village noticeboards and website.</li> <li>- Public Open Forum Sessions are held before each Council meeting.</li> </ul>	<ul style="list-style-type: none"> <li>- Ensure successful selection of pro-active councillors onto council</li> <li>- Make use of social media in promoting Bulwick Parish Council</li> </ul>	Low	Clerk Chair Bulwick Parish Councillors
	Lack of knowledge by councillors on their role, responsibility and accountability	Bulwick Parish Council Residents of Bulwick	<ul style="list-style-type: none"> <li>- Delegate responsibility to one or two experienced councillors to assist new Members.</li> <li>- Ensure all councillors have signed required documents on joining council</li> <li>- Attend any training courses available.</li> </ul>	<ul style="list-style-type: none"> <li>- Adequate</li> </ul>	Low	Clerk Chair Bulwick Parish Councillors
	Inadequate insurance cover for members and clerk	Bulwick Parish Council Residents of Bulwick	<ul style="list-style-type: none"> <li>- Regularly Review Risk Assessments by clerk</li> <li>- Include risk assessment and insurance cover on Agenda of Bulwick Parish Council meetings at least annually.</li> <li>- Ensure a Risk Assessment is carried out for all new assets and appropriate insurance cover implemented</li> <li>- Ensure Risk Assessment is in place and followed for each activity and event that is held by BPC</li> </ul>	<ul style="list-style-type: none"> <li>- Adequate</li> <li>- Refer to NALC for advice on risk assessments</li> </ul>	Low	Clerk Chair Bulwick Parish Councillors
			<ul style="list-style-type: none"> <li>- The Parish Council have adopted a separate</li> </ul>		Low	Clerk

	Lack of appropriate financial controls and reporting	Bulwick Parish Council  Residents of Bulwick	<p>Internal Financial Control System Policy.</p> <ul style="list-style-type: none"> <li>- Clerk to ensure that Receipts and Payments are promptly and accurately recorded.</li> <li>- All invoices to be checked and reported to next Parish Council meeting.</li> <li>- Clerk to balance accounts against bank statements monthly.</li> <li>- Clerk to produce up to date reports at all meetings.</li> <li>- Internal Audit checks by designated Councillor.</li> <li>- Internal and External Audit reports to be made available to all Councillors and any recommendations acted upon promptly.</li> </ul>	<ul style="list-style-type: none"> <li>- Identify councillor to spot check (Internal) accounts</li> </ul>		Chair  Bulwick Parish Councillors
	Use of funds not in accordance with residents wishes	Bulwick Parish Council  Residents of Bulwick	<ul style="list-style-type: none"> <li>- Effective Budget Planning Process.</li> <li>- Annual Plan reviewed annually.</li> <li>- All spending to be approved in meetings</li> <li>- Listen to residents request and add to the agenda for consideration at meetings</li> </ul>	<ul style="list-style-type: none"> <li>- Adequate</li> <li>- Ensure residents wishes are passed to clerk for agenda</li> </ul>	Low	Clerk  Chair  Bulwick Parish Councillors
	Lack of commitment by Members to the budgetary process	Bulwick Parish Council  Residents of Bulwick	<ul style="list-style-type: none"> <li>- Include regulations in Standing Orders issued to all Councillors.</li> <li>- Place item on Agenda early in the year to remind Councillors of budget process and actions required.</li> <li>- Involve all Councillors in budgetary process not solely the Clerk.</li> </ul>	<ul style="list-style-type: none"> <li>- Adequate</li> </ul>	Low	Clerk  Chair  Bulwick Parish Councillors
	Failure to ensure that the annual precept results from an	Bulwick Parish Council	<ul style="list-style-type: none"> <li>- Start consideration of budgetary process at least four months prior to submission date of Precept.</li> </ul>	<ul style="list-style-type: none"> <li>- Adequate</li> </ul>	Low	Clerk  RFO

	adequate budgetary process	Residents of Bulwick	<ul style="list-style-type: none"> <li>- Checks by Clerk/RFO and Internal Auditor.</li> <li>- Ensure forward planning of budget (taking into account rising costs) has been produced</li> </ul>			Chair
	Inadequate internal controls with regard to monitoring expenditure	Bulwick Parish Council Residents of Bulwick	<ul style="list-style-type: none"> <li>- Internal Audit checks are carried out every three months by a designated Councillor to ensure effective financial management by Clerk/RFO.</li> <li>- Clerk/RFO to attend CPD course's for financial guidance.</li> </ul>	- Identify councillor to spot check (Internal) accounts		Clerk Chair Bulwick Parish Councillors
	Election costs	Bulwick Parish Council Residents of Bulwick	<ul style="list-style-type: none"> <li>- In an election year, estimated costs obtained from the Electoral Officer at NNC</li> <li>- Include additional cost into the budget.</li> <li>- In other years the Council provides a sum within its working balance to meet possible by-election costs.</li> </ul>	- Adequate	Low	Clerk Chair RFO
	Reserves too high/low	Bulwick Parish Council Residents of Bulwick	<ul style="list-style-type: none"> <li>- Auditor advises reserve balance must not exceed twice the Precept.</li> </ul>	- This is the precept figure - it doesn't include all the accounts funds	Low	Clerk Chair Bulwick Parish Councillors
	Failure to ensure that all employees are paid in accordance with Council regulations and are adequately monitored	Bulwick Parish Council Residents of Bulwick	<ul style="list-style-type: none"> <li>- Parish Council employ external payroll service.</li> <li>- A Contract of Employment and Job Description is agreed for the Clerk.</li> <li>- Ensure employee regulations are available and understood by the Clerk.</li> <li>- No additional payment to the Clerk without</li> </ul>	<ul style="list-style-type: none"> <li>- Clerk is salaried</li> <li>- Signed contract of employment is held by the clerk</li> </ul>	Low	Clerk Chair Bulwick Parish Councillors



			Council approval.			
	Failure to ensure that year end accounts are correctly prepared	Bulwick Parish Council Residents of Bulwick	<ul style="list-style-type: none"> <li>- Include a timetable in Standing Orders / Financial Regulations.</li> <li>- Internal Audit checks.</li> <li>- Financial reports to all Parish Council meetings.</li> </ul>	<ul style="list-style-type: none"> <li>- Accounts checked by designated councillor</li> </ul>	Low	Clerk RFO  Chair  Bulwick Parish Councillors
	Failure to identify, value and maintain all assets of the Bulwick Parish Council, and ensure that asset and investment registers are complete.  Loss of damage to Assets Risk/damage to third party property	Bulwick Parish Council Residents of Bulwick	<ul style="list-style-type: none"> <li>- Record and maintain a record of all assets for which the Bulwick Parish Council are responsible for and include in yearend accounts.</li> <li>- Arrange for annual review of valuations and arrange for professional valuation where appropriate</li> <li>- Annual review of any assets will be undertaken for insurance purposes.</li> <li>- Regular risk checks around the Parish where the assets are kept</li> </ul>	<ul style="list-style-type: none"> <li>- adequate</li> <li>- Once register approve -diarise physical checking prior to annual Insurance renewal</li> </ul>	Low	Clerk RFO  Chair  Bulwick Parish Councillors
	Residents of Bulwick  Adoption and implementation of appropriate Government legislation	Bulwick Parish Council Residents of Bulwick	<ul style="list-style-type: none"> <li>- Clerk to have appropriate legislation available.</li> <li>- Review liabilities and responsibilities periodically at Bulwick Parish Council meetings.</li> <li>- Resident to access legislation on website and notice boards in the village</li> </ul>	<ul style="list-style-type: none"> <li>- Adequate</li> </ul>	Low	Clerk  Chair  Bulwick Parish Councillors
Health & Safety	Employment of Contractors	Bulwick Parish Council	<ul style="list-style-type: none"> <li>- Use approved contactors.</li> <li>- Ensure that all contractors hold sufficient public liability insurance</li> </ul> <p>Ensure that all contractors hold health and safety</p>	<ul style="list-style-type: none"> <li>- Adequate</li> </ul>	Low	Clerk  Chair

		Residents of Bulwick	certificates			Bulwick Parish Councillors
	Damage to Noticeboard	Bulwick Parish Council Residents of Bulwick	<ul style="list-style-type: none"> <li>- Regular painting require to maintain upkeep</li> <li>- Regular visual inspections are undertaken by the Clerk of the noticeboard in the parish</li> <li>- Residents encouraged to report any damage or faults to the clerk</li> </ul>	- Adequate	Low	Clerk Chair Bulwick Parish Councillors
	Adequacy of meeting locations	Bulwick Parish Council Residents of Bulwick	<ul style="list-style-type: none"> <li>- Parish Council meetings are held in a public venue</li> </ul>	- Adequate	Low	Clerk Chair Bulwick Parish Councillors
	Parish Council run village events	Bulwick Parish Council Residents of Bulwick	<ul style="list-style-type: none"> <li>- Ensure an appropriate individualised risk assessment of each event is carried out</li> <li>- Insurance cover adequate</li> </ul>	Adequate	Low	Clerk Chair Bulwick Parish Councillors

#### Policy Control Sheet

Version:	01
Approved by:	Bulwick Parish Council
Date Approved:	May 2025
Date of next review:	May 2026
Policy Owner:	Clerk - Helen Keech

Document History			
Version	Date of Review	Author	Note of revisions
01	May 2025	Clerk - HK	Adopted in Meeting .0??5.2025(0324.20)