TWYWELL PARISH COUNClL

RISK ASSESSMENT

Twywell Parish Council will take all practical and necessary steps to reduce or eliminate risks, in so far as is practically and reasonably possible. This document has been produced to enable Twywell Parish Council to assess the risks it faces and satisfy itself that it has taken adequate steps to minimize them.

Rating A = Satisfactory, Rating B = Review Proposed, Rating X = Unsatisfactory

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|  | Risks Identified | Management/Control | Rating | Review/Assess | Action By |
| **Financial** | Inadequate records Financial Irregularities | The Parish Council uses Model Financial Regulations which set out the requirements.  Reviewed Annually. | A | Existing procedure adequate. | Clerk /Council |
|  | Lack of commitment by Councillors to the budgetary process | Include regulations in Standing Orders issued to all Councillors. Place item on Agenda early in the year to remind Councillors of budget process and actions required. Involve all Councillors in budgetary process not solely the Clerk. | A | Existing procedure adequate. | Clerk /Council |
|  | Failure to ensure that the annual precept results from an adequate budgetary process | Start consideration of budgetary process at least four months prior to submission date of  Precept. Checks by Clerk/RFO and supervising Councillor | A | Existing procedure adequate | Clerk/ Council |
|  | Inadequate internal controls with regard to monitoring expenditure | Internal Audit checks are carried out every year by an independent assessor to ensure effective financial management by Clerk/RFO.  Quarterly Internal Control is performed, as per the Financial Regulations | A  B | Existing procedure adequate.  Begin in January | Clerk/ Council |
|  | Reserves too high/low | External Auditor advises reserve balance must not exceed the Precept. | A | Existing procedure adequate. | Council  External Auditor |
|  | Illegal activity or payments | All activity and payments within the powers of the Parish Council to be resolved at Council meetings, as per the Financial regulations | A | Existing procedure adequate. | Clerk/Council |

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|  | Risks Identified | Management/Control | Rating | Review/Assess | Action By |
|  | Fraud by Councillors | Ensure level of Fidelity Insurance is adequate and reviewed annually. | A | Existing procedures adequate | Clerk |
| **Business Continuity** | Incapacity/Absence of Clerk/ Resignation of Clerk | Designate a person to temporarily act as Clerk in an emergency. A Locum Service  is available through the SLCC. *Clerk should provide Chairman with a list of passwords to ensure business continuity* | B | Existing procedure adequate  Passwords to be provided- Nov 2020 | Council |
|  | Loss or damage to Council records through theft/fire/ damage  Inability to access records | Minutes and Agendas are held on the Council's website. Paper copies held in locked office at Clerks home. Data Back-up are on one USB stick and the cloud | A | Existing procedure adequate | Clerk |
|  | Security of data (IT systems and support) | Confidential documents are stored in a locked filing cabinet at the Clerk’s home.  Any confidential documents are securely shredded.  Laptop and Email accounts password protected | A | Existing procedure adequate. | Clerk |
|  | Failure to retain or secure the necessary number of members for the Council | Clerk to maintain an up to date Councillor Attendance Register. Advertise for an election immediately a vacancy exists. Co-opt Members where no election is held. | A | Existing procedure adequate | Clerk/Council |
|  | Election costs | In an election year, estimated costs obtained from the Electoral Officer at ENC and included in the budget if insufficient reserves in General Reserves. In other years the Council has a contingency in budget to meet possible by- election costs. | A | Existing procedure adequate | Clerk/Council |

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|  | Risks Identified | Management/Control | Rating | Review/Assess | Action By |
| **Legal** | Conflict of Interests  Members Register of Interests | Councillors are required to declare an interest in any item of business and this is recorded in the Minutes. Completed Register of Interests forms are submitted to the Monitoring Officer at ENC and regularly reviewed. Any change in a Councillors Register of Interests must be notified to the Clerk. | A | Existing procedure adequate | Clerk/Council |
|  | Freedom of Information Requests | The Council has not yet adopted the model publication scheme | B | Monitor any requests made under FOI.  Adopt Model Publication Scheme | Clerk |
|  | Governing Policies not up to date | All Polices are reviewed annually by the Council and a check list is retained by the Clerk. | A | Existing procedure adequate | Clerk/Council |
|  | Failure to ensure that all employees are paid in accordance with Council regulations and are adequately monitored. Failure to comply with Inland Revenue and HMRC  regulations | A Contract of Employment and Job Description is agreed for the Clerk. Clerk runs payroll using the HMRC BASIC PAYE tools. Ensure employee regulations are available and understood by the Clerk. No additional payment to the Clerk without Council approval. | A | Existing procedure adequate. | Clerk/Council Internal Auditor |
| **Governance & Management** | Lack of knowledge of regulations and codes | Ensure that a Code of Conduct, Standing Orders and Financial Regulations are in place and are reviewed annually. Highlight essential parts and provide training where relevant. | A | Existing procedure adequate. | Clerk/Council |

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|  | Risks Identified | Management/Control | Rating | Review/Assess | Action By |
|  | Action by the Parish Council outside its powers laid down by Parliament | Clerk to monitor relevant legislation and report to Council | A | Existing procedure adequate. | Clerk |
|  | Lack of commitment to regulations and procedures | Chairman and Clerk to review Council's meeting and operational procedures annually. | A | Existing procedure adequate. | Clerk/Chairman |
|  | Notice of meeting | The meeting Agenda is placed on village noticeboards and on the Council’s, website giving the required notice of each meeting.  Councillors to receive summons electronically | A | Existing procedure adequate. | Clerk |
|  | Approval of minutes | Minutes are approved at the next Meeting of the Council. Draft Minutes are forwarded to Councillors no later than two weeks after a meeting. Draft Minutes are displayed on the Council's website | A | Existing procedure adequate. | Clerk/Council |
|  | Written communication to third parties | All formal written communication/emails should be directed through the Clerk and may be signed by the Chairman or Vice-Chairman  when necessary. | A | Existing procedure adequate. | Clerk/Council |
|  | Engagement by Members in the operation and activities of the Parish Council | Take every opportunity to publicise the role of the Parish Council through village newsletter or website. Public Open Forum Sessions are held at each Council meeting. Effective use of village noticeboard. Use key issues to raise the profile of the Parish Council and to test parishioners’ views. Councillors contact details are available on the website and the Village noticeboard. | B | Existing procedure adequate.  Decide what details are to be made public | Council |

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|  | Risks Identified | Management/Control | Rating | Review/Assess | Action By |
|  | Impact of the need for prudence in public spending | All Councillors to be made aware that priorities must be set on the basis of the financial capacity of the Parish Council to deliver. Attend training where appropriate. | A | Existing procedure adequate. | Council |
|  | Lack of engagement by Councillors and Residents on major items of public interest | Ensure publicity through local village publications, village Facebook page, emails to residents, village noticeboard and/or Council website, as appropriate. | A | Existing procedure adequate. | Clerk/Council |
|  | Lack of knowledge by Councillors on their role, responsibility and accountability | Delegate responsibility to one or two experienced Councillors to assist new Members. Attend any training courses available. | A | Existing procedure adequate. | Clerk/Council |
|  | Inadequate insurance cover for the Council and for individual members and the Clerk | Review the scope and adequacy of the Council's insurances prior to renewal at a full Parish Council meeting. Ensure a risk assessment is carried out for all new activities undertaken and assets acquired and implement appropriate insurance  cover. | A | Existing procedure adequate | Clerk/Council |
|  | Failure to identify, value and maintain all assets of the Parish Council, and ensure that asset and investment registers are complete. | Record and maintain a record of all assets for which the Parish Council is responsible and include in the year end accounts. Arrange for annual review of valuations and arrange for professional valuation where appropriate. | B | Asset Register to be approved Nov 2020. | Clerk |
|  | Adoption and implementation of appropriate Government legislation | Clerk to have appropriate legislation available. Review liabilities and responsibilities periodically at Parish Council meetings. | A | Existing procedure adequate. | Clerk |
| **Assets and Property** | Loss of damage to Assets Risk/damage to third party property | An annual review of any assets will be undertaken for insurance purposes.  Regular risk checks around the Parish. | B | Once register approved. - diarise physical checking prior to annual Insurance renewal | Council/Clerk |

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|  | Risks Identified | Management/Control | Rating | Review/Assess | Action By |
| Health & Safety | Employment of Contractors | Use approved contactors. Ensure that all contractors hold sufficient public liability insurance and health and safety certificates. | A | Existing procedure adequate. | Council/Clerk |
|  | Damage to Noticeboard | The Parish Council have three noticeboard in the parish and regular visual inspections are undertaken by the Council. Any damage or faults to be reported to the Parish Council. | A | Existing procedure adequate. | Council/Clerk |
|  | Adequacy of meeting locations  Health & Safety | Parish Council meetings are held in Macqueen House which are considered to have all the appropriate facilities for the Clerk,  Councillors and the general public. | A | Existing procedure adequate. | Council/Clerk |
|  | Parish Council run village events | Ensure an appropriate individualised risk assessment of each event is carried out and insurance cover adequate | A | Existing procedure adequate | Council/Clerk |

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| **Approved by Twywell Parish Council:** | | |
| **Signature of Chairman** |  | **Date:** |
| **Signature of the Clerk** |  | **Date:** |

Adopted November 2020 To be reviewed in March 2021