

## Berkswell Parish Council

### Overall Risk Assessment (as at 1st March 2016)

High Level Risk Category	Specific Risk	Mitigation/Control(s)
<b>Assets</b>	Loss of assets (including inability to prove ownership)	Maintain and review Asset Register Obtain deeds and/or Land Registry confirmation
	Damage to assets	Obtain and regularly review appropriate insurance
	Assets deterioration	Regular inspection and appropriate maintenance programme including regular Tree surveys (annually for Village Green and tri-annually for Spinney and any other council owned trees)
	Liability from ownership	Obtain and regularly review appropriate insurance
<b>Systems</b>	Inappropriate access to systems/records	Establish, maintain and review an appropriate IT Policy
	Loss of use and/or access to records	Establish, maintain and review an appropriate IT Policy
<b>People</b>	Inadequate performance of Clerk	Performance appraisal and review Appropriate Staff Training
	Lack of knowledge of councillors	Appropriate Councillor Training

	Unplanned unavailability of Clerk	<b><i>ACTION - Finance Committee to consider</i></b>
<b>Finance</b>	Insufficient funds to carry out council objectives	Prepare and review Annual Budget and set precept Prepare and review 3 year forecast Maintain appropriate reserves ( <b><i>ACTION Finance Committee to define</i></b> ) Regularly monitor financial performance (see Finance Regs)
	Loss of funds Non-payment/inaccurate payment of suppliers, staff & others Fraud by suppliers, staff & others	Establish, maintain and review appropriate Finance Regulations Regular auditing by councillors Internal Audit External Audit
<b>Operations</b>	Contractors (or volunteers) on council activity act inappropriately	Material contracts subject to tender process Contractor performance monitored by Clerk Volunteer activity sourced through established local groups
	Failing to identify and report Risk events or "near misses"	<b><i>ACTION add "New Finance &amp; Risk events" to Council Admin section of PC Meeting Agenda</i></b>
<b>Compliance-General</b>	Non-compliance with Employment Law	WALC support where appropriate Agreed Staff Terms and Conditions Performance appraisal and review Staff committee review
	Non-compliance with HMRC requirements	External Payroll Service engaged Establish, maintain and review appropriate Finance Regulations

	Non-compliance with HSE requirements	Risks assessments for all assets completed tri-annually Risk assessments for activities completed as and when required Contractors required to complete and share risk assessments
<b>Compliance-Council</b>	Acting outside of powers	Training of Councillors and Clerk Membership of WALC and support Compliance with all relevant legislation with reference in the first instance to the publication 'Arnold Baker on Local Council Administration'
	Failing to report as required	as above
	Failing to disclose Conflicts of Interest	as above Standing PC Meeting Agenda item Maintenance of Register of Councillor Pecuniary Interests by SMBC
	Failing to maintain and disclose records	as above Appropriate record management process ( <b><i>ACTION Finance Committee to discuss</i></b> ) Freedom of Information policy established, maintained and reviewed.

### **Commentary**

- 1) Some of the mitigations and controls are still WIP.
- 2) Some of our existing mitigations and controls need to be revisited e.g. Tree surveys
- 3) Completely new activities are highlighted