

Parish Council of Berkswell
Risk Framework (updated as at 1st April 2019)

High Level Risk Category	Specific Risk	Mitigation/Control(s)	Current Status	Impact Unmitigated H/M/L	Likelihood Unmitigated H/M/L	RAG Rating after mitigation
Assets	Loss of assets (including inability to prove ownership)	Maintain and review Asset Register Obtain deeds and/or Land Registry confirmation of Title	In place Completed/Ongoing	M	L	Green
	Damage to assets	Obtain and regularly review appropriate insurance	Already an annual activity	M	M	Green
	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)	Takes place on a quarterly basis for general assets and on a rolling basis for trees	M	M	Amber
	Liability from ownership	Obtain and regularly review appropriate insurance	Already an annual activity	H	L	Green
Systems	Inappropriate access to systems/records	Establish, maintain and review an appropriate IT Policy	IT Policy is in place	M	L	Green
	Loss of use and/or access to records	Establish, maintain and review an appropriate IT Policy	IT Policy is in place	M	L	Green
People	Inadequate performance of Clerk	Performance appraisal and review Appropriate Staff Training	In place annually On-going as required	H	L	Green
	Lack of knowledge of councillors	Appropriate Councillor Training	All councillors have received induction training and are circulated with the WALC training programme each year.	M	M	Amber
	Unplanned unavailability of Clerk	Key processes documented together with ability to access appropriate records and systems	Procedure published but not yet fully tested.	H	L	Amber
	Personal safety of councillors, clerk, contractors & volunteers	Compliance with appropriate HSE requirements, including: Risk assessments for activities completed as and when required Contractors required to complete and share risk assessments Policy on 3rd party visits	As and when required Risk is factored in to agreed contracts Policy in place	H	L	Green
Finance	Insufficient funds to carry out council objectives	Prepare and review Annual Budget and set precept Prepare and review 3 year forecast Maintain appropriate reserves	This is done annually This is done annually Reserves are maintained in accordance with the agreed Reserves Policy (reviewed annually)	H	L	Green
	Loss of access to funds	Regularly monitor financial performance (see Finance Regs) Alternate bank account	Quarterly management accounts are presented to Council Not deemed a priority at this time	H	L	Amber

	Loss of funds	Establish, maintain and review appropriate Finance Regulations	An internal financial review is undertaken quarterly by councillors in turn and the accounts are subject to Internal and External Audit at the year end.	H	L	Green
	Non-payment/inaccurate payment of suppliers, staff & others	Regular auditing by councillors	An internal financial review is undertaken quarterly by councillors in turn and the accounts are subject to Internal and External Audit at the year	M	M	Green
	Fraud by suppliers, staff or others	Internal Audit External Audit		M	M	Green
Operations	Failing to deliver services or projects	Placing and monitoring contracts for regular services Maintaining and reviewing an Outstanding Actions Log	Ongoing Ongoing	M	M	Amber
	Contractors (or volunteers) on council activity act inappropriately	Material contracts subject to tender process Contractor performance monitored by Clerk	Contracts are let in accordance with Financial Regulations. Performance of contractor is monitored and invoices are not paid before the goods/services have been deemed to be satisfactory	M	L	Amber
	Failing to identify and report Risk events or "near misses"	Volunteer activity sourced through established local groups New Finance & Risk events part of standard PC Meeting Agenda	Wherever appropriate this is done This has been added to the standard Agenda	M	M	Amber
Compliance-General	Non-compliance with Employment Law	WALC support where appropriate Agreed Staff Terms and Conditions Performance appraisal and review Staff committee review	WALC advice is support whenever necessary In place Takes place annually Staff Committee is in place	M	L	Green
	Non-compliance with HMRC requirements	External Payroll Service engaged Establish, maintain and review appropriate Finance Regulations	External payroll has been engaged This is undertaken and approved by Council annually with reference to the latest NALC standard.	M	L	Green
	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	Takes place quarterly As and when required Risk is factored in to agreed contracts	M	M	Amber
	Non-compliance with new GDPR	Policy on 3rd party visits and meetings to be agreed New policies agreed.	Policy Agreed Ongoing	L	L	Green

Compliance-Council (including Reputational Risk)	Acting outside of powers	Training of Councillors and Clerk Membership of WALC and support Compliance with WALC/NALC Standing Orders/Financial Regulations	Clerk and Councillors receive appropriate training In place On-going	H	L	Green
	Failing to report as required	as above	All Council practices are subject to internal audit.	M	L	Green
	Failing to disclose Conflicts of Interest	as above Standing PC Meeting Agenda item Maintenance of Register of Councillor Pecuniary Interests by SMBC	Set out in Standing Orders In place In Place	M	L	Green
	Failing to be transparent	Parish Council Meetings held in public accesable locations Meetings with 3rd parties reported on at council meetings Policy on 3rd party visits and meetings	Monthly meetings held at locations in Balsall Common and Berkswell Ongoing Policy in place	M	L	Green
	Not acting in the best interest of the parish	Councillors Code of Conduct	In place	H	L	Amber
	Inappropriate behaviour by Council, Councillors, Council staff, volunteers or	Training of Councillors and Clerk Placing and monitoring contracts for regular services Volunteer activity sourced through established local groups Complaints procedure in place	See above See above See above In place	H	L	Amber
	Council mis-represented to 3rd Parties	Social Media Policy Policy on 3rd party visits Training of Councillors and Clerk Councillors review local publications, minutes/agenda on an ad-hoc basis	To be drafted See above See above Ongoing	M	M	Amber
	Failing to maintain and disclose records	as above Appropriate record management process	Records are managed in accordance with Standing Orders and Financial Regulations	M	L	Green
	Failing to meet FOI regulations	Freedom of Information policy established, maintained and reviewed.	Policy is on Council website	M	L	Green