Parish Council of Berkswell
Risk Framework (Reviewed and July 2025)

High Level Risk Category	Specific Risk	Mitigation/Control(s)	Current Status	Impact	Likelihood	RAG Rating after mitigation
				Unmitigated H/M/L		
Assets	Loss of assets	Maintain and review Asset Register	In place	M	L	Green
	Damage to assets	Obtain and regularly review appropriate insurance	An annual activity	M	M	Green
	Assets deterioration	Regular inspection and appropriate maintenance programme including 3 yearly Tree surveys for Village Green and Spinney and any other council owned trees	Takes place on a 6 monthly 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	Peformance 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 and reviewed.	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	As and when required Risk is factored in to agreed contracts	H	L	Amber
		Policy on 3rd party visits	Policy in place			

Finance	Insufficient funds to carrry out council objectives	Prepare and review Annual Budget and set precept	This is done annually	H	L	Green
		Maintain appropriate reserves	Reserves are maintained in accordance with the agreed Reserves Policy (reviewed annually)			
		Regularly monitor financial performance (see Finance Regs)	Quarterly management accounts are presented to Council			
	Loss of access to funds	Alternate bank account	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 bi-annually by councillors in turn and the accounts are subject to Internal and External Audit at year end.	H	L	Green
	Non-payment/inaccurate payment of suppliers, staff & others	Regular auditing by councillors	Bi-annual internal financial review is undertaken by councillors. Internal and External Audit of accounts takes place at year end	M	L	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	Ongoing	M	M	Amber
		Maintaining and reviewing an Outstanding Actions Log	Ongoing			
	Contractors (or volunteers) on council activity act inappropriately	Material contracts subject to tender process	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
		Contractor performance monitored by Clerk				
		Volunteer activity sourced through established local groups	Wherever appropriate this is done			
	Failing to identify and report Risk events or "near misses"	New Finance & Risk events part of standard PC Meeting Agenda	Standing Agenda item	M	M	Amber

Compliance-General	Non-compliance with Employment Law	WALC support where appropriate Agreed Staff Terms and Conditions Peformance appraisal and review Staff committee review	WALC advice is sought if necessary In place Takes place annually Committee in place if required	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 assessements for all assets completed regularly Risk assessments for activities completed as and when required Contractors required to complete and share risk assessments Policy on 3rd party visits and meetings	Takes place 6 monthly As and when required Risk is factored in to agreed contracts Policy in placce	M	M	Amber
	Non-compliance with new GDPR	New policies agreed.	Policies in place	L	L	Green

Compliance-Council (including Reputational Risk)	Acting outside of powers	Training of Councillors and Clerk	Clerk and Councillors receive appropriate training	H	L	Green
		Membership of WALC and support	In place			
		Compliance with WALC/NALC Standing Orders/Financial Regulations	On-going			
	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	Set out in Standing Orders	M	L	Green
		Standing PC Meeting Agenda item	In place			
		Maintenance of Register of Councillor Pecuniary Interests by SMBC	In Place			
	Failing to be transparent	Parish Council Meetings held in public accessible locations	Regular meetings held at locations in Balsall Common and Berkswell	M	L	Green
		Meetings with 3rd parties reported on at council meetings	Ongoing			
		Policy on 3rd party visits and meetings	Policy in place			
	Not acting in the best interest of the parish	Councillors Code of Conduct	In place	H	L	Green
	Inappropriate behaviour by Councillors, Council staff, volunteers or contractors	Training of Councillors and Clerk	See above	H	L	Amber
		Placing and monitoring contracts for regular services	See above			
		Volunteer activity sourced through established local groups	See above			
		Complaints procedure in place	In place			
	Council mis-represented to 3rd Parties	Social Media Policy	Still to be drafted	M	M	Amber
		Policy on 3rd party visits	See above			
		Training of Councillors and Clerk	See above			
		Councillors review local publications, minutes/agenda on an ad-hoc basis	Ongoing			
	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