

### SPIXWORTH PARISH COUNCIL RISK ASSESSMENT

| Regulatory                    | Risks   | Impact | Likelihood | Actions to mitigate risks   |
|-------------------------------|---|--------|------------|---|
| Functions within legal powers | Actions by Parish Council outside its powers laid down by Parliament                            | Medium | Low        | Ensure that Standing Orders are up to date, understood by Councillors and reviewed annually or as circumstances demand  |
| HMRC requirements             | Inaccurate HMRC payments  | Medium | Low        | RFO to ensure systems updates with current legislation. RFO to calculate amount due to HMRC.  |
| Councillor requirements       | Lack of knowledge of standards and codes. Possible breach of ethic.                             | Low    | Low        | Ensure Councillors sign code of conduct, and are given a copy of the standing orders for their records. To attend Councillor training as required.                |
| Customs & Excise requirements | Inaccurate VAT claims   | Medium | Low        | RFO to calculate VAT returns. RFO to attend training as required.   |
| Electors rights to inspect    | Misinforming electors of their rights. Receiving notification of an elector wanting to inspect. | Medium | Low        | Posting notice of audit and electors rights correctly. Maintaining a thorough audit trail.  |
| FOI requests                  | Receiving a Freedom of Information request  | Low    | Low        | Ensuring that all legislation is up to date and reflected in the Council's policy. Training as required. To maintain Spixworth Parish Council publication scheme. |
| Record of meetings            | Accurate of minutes from Ordinary meetings and Committee meetings.                              | Low    | Low        | Minutes properly numbered and accurate. Master copy kept in safe. Ratification of minutes at the following meeting.   |

| Financial                                | Risks  | Impact | Likelihood | Actions to mitigate risks  |
|--|--|--------|------------|--|
| Banking arrangements                     | Incorrect payments made. Councillors not following correct procedures in line with financial regulations.        | High   | Low        | Regular bank reconciliations reviewed by 2 Councillors. Bank statements received monthly and checked against payments and receipts.  |
| Internet banking                         | Unlawful payments made   | High   | Low        | RFO to make payment as per invoice, 2 Councillors to check payment has been made correctly, must sign the BACS receipt.  |
| Proper record keeping                    | In adequate audit trail. Incorrect payments made   | Medium | Low        | Regular scrutiny of financial records and arrangements for approval of expenditure. 2 Councillors required to check payments and sign accordingly. Payment schedule to provided monthly detailing all transactions. Ensure total payments are recorded in the minutes. |
| Security                                 | Lose all computersied financial records  | Medium | Low        | Back up taken monthly once payments have been made.  |
| Adequate Precept/ Budgeting arrangements | Inadequate funding to carry out Council functions  | High   | Low        | Budget Control reports to go to Council monthly. Forecasting to be used to determine precept by Finance & General Purposes Committee to be ratified at an Ordinary Meeting.  |
| Proper use of funds                      | Inadequate funding to carry out Council functions. Inadequate internal controls regarding monitoring expenditure | High   | Low        | Payment schedule to be provided to all Councillors. Budget Control Report to be regularly provided to all Councillors. Training as required.   |

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|-------------------|--|--------|-----|--|
| Year end accounts | Inaccuracies in the audit trail. Late or non submission of annual accounts | Medium | Low | Review internal controls regularly, Appoint Internal Auditor   |
| Fraud             | Clerk/ RFO dishonesty  | Medium | Low | Insurance provision of £100,000. Annually review insurance provision. Review Internal controls annually or as and when the need arises. Ensure internal checks are carried out monthly in line with Financial Regulations. |

| Assets                   | Risks  | Impact | Likelihood | Actions to mitigate risks   |
|--------------------------|--|--------|------------|---|
| Open Space/ Amenity land | Vandalism or Damage to open space. Anti social behaviour                         | Low    | Low        | Adequate Insurance cover in place, review insurance annually. Periodic Inspections by Clerk/ Councillors. Liaise with local enforcement agencies/ officers for regular patrols.   |
| Bus Shelters             | Vandalism or Damage to the bus shelter. Cost to replace                          | Low    | Low        | Adequate Insurance cover in place, review insurance annually. Periodic Inspections by Clerk/ Councillors.   |
| Village Hall             | Vandalism and Damage to building. Theft of furnishings/ equipment. Risk of fire. | Medium | Low        | Adequate Insurance cover in place, review insurance annually. Periodic Inspections by Clerk/ Councillors. CCTV in place. Training to be provided. Fire extinguishers checked annually, appropriate signing and lighting throughout Village Hall. Fire alarm to be tested weekly |
| Street Lighting          | Vandalism or damage, cost to replace   | Medium | Low        | Adequate Insurance cover in place, review insurance annually. Periodic Inspections by Clerk/ Councillors/Public and Contractors   |
| Playground Equipment     | Vandalism and or damage, cost to replace.  | Low    | Low        | Adequate Insurance cover in place, review insurance annually. Weekly written inspections by Clerk/ Councillors, annual ROSPA inspections.   |
| Street Signs             | Vandalism and or damage, cost to replace.  | Low    | Low        | Adequate Insurance cover in place, review insurance annually. Periodic Inspections by Clerk/ Councillors.   |

| Office             | Risks  | Impact | Likelihood | Actions to mitigate risks  |
|--------------------|--|--------|------------|--|
| Office Furnishings | Damage and or theft, cost to replace               | Medium | Low        | Adequate insurance cover to be reviewed annually. Asset register to be reviewed and updated.   |
| Office Equipment   | Damage and or theft, cost to replace               | Medium | Low        | Adequate insurance cover to be reviewed annually. Asset register to be reviewed and updated. Office to be locked internally and externally using secure locks.                                       |
| Health & Safety    | Injury to employee, visitor, volunteer, contractor | Medium | Low        | Ensure floor surface area is kept clear of wires, obstacles etc. Ensure wires are kept away. Equipment to be PAT tested annually. Liability insurance to be reviewed annually currently £10 million. |
| Office Exterior    | Vandalism or Damage                                | Low    | Low        | Periodic checks to be made, CCTV in place  |

|                         |  |        |     |   |
|-------------------------|--|--------|-----|---|
| Business Continuity     | Loss of premises and equipment as a result of fire, theft or damage. Unable to carry out Council functions | High   | Low | System to be backed up onto an external hard drive and remotely through a Cloud facility. External hard drive to be kept off site. Insurance cover reviewed annually. |
| Proper document control | Unnecessary paper storage, poor office management  | Low    | Low | Procedures in place for document receipt, circulation, response, handling and filing.   |
| IT security             | Files stolen   | Medium | Low | Computer system password encrypted to be changed periodically.  |

| Employees            | Risks  | Impact | Likelihood | Actions to mitigate risks  |
|----------------------|--|--------|------------|--|
| Employment Law       | Incorrect procedures followed for employees  | Medium | Low        | Keep up to date with legislation, attend training where required. Seek guidance from NPLaw/ ACAS where necessary. Membership of SLCC, NALC and Green Book. |
| Clerk Long term sick | No office cover, cost implications           | Medium | Low        | Contingency money placed in budget equal to 6 months salary. Correct procedures in place for sickness absence.   |
| Lone Working         | Accident or injury to employees lone working | Medium | Low        | Efficient policy in place. Health & Safety risk assessments to be completed regularly.   |

| Contractors/Visitors       | Risks   | Impact | Likelihood | Actions to mitigate risks  |
|----------------------------|---|--------|------------|--|
| Third Party damage/ Injury | Accidental injury to visitor or parishioner in the village.                 | Low    | Low        | Public liability insurance in place, £10 million. To be reviewed annually. Periodic inspections of open spaces and assets.   |
| Awarding of contracts      | Value for money and quality assurance not achieved. Insufficient budgeting. | Medium | Low        | To comply with financial regulations. Training where required. Annual review of internal controls.   |
| Performance management     | Insufficient service provided by contractors                                | Medium | Low        | Periodic review of work. Slips to evidence work has been done.   |
| Community engagement       | Lack of community engagement  | Low    | Low        | Quarterly newsletter to be delivered, website to be regularly updated. Notices to be placed on noticeboards. Regular inspection of notice boards to ensure proper maintenance. |
| Health & Safety            | Accidental injury to visitor or contractor                                  | Low    | Low        | Risk assessments for contractors and any additional events the Parish Council put on. Adequate insurance in place to be reviewed annually. Training as and when required.      |