

Berkswell Parish Council
Risk Framework (updated as at 1st December 2017)

High Level Risk Category	Specific Risk	Mitigation/Control(s)	Current Status
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
	Damage to assets	Obtain and regularly review appropriate insurance	Already an annual activity
	<i>NEW</i> 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) <i>Inspection by qualified professional</i>	Takes place on a quarterly basis for general assets and on a rolling basis for trees <i>Annual?</i>
	Liability from ownership	Obtain and regularly review appropriate insurance	Already an annual activity
Systems	Inappropriate access to systems/records	Establish, maintain and review an appropriate IT Policy	IT Policy is in place
	Loss of use and/or access to records	Establish, maintain and review an appropriate IT Policy	IT Policy is in place
People	Inadequate performance of Clerk	Performance appraisal and review Appropriate Staff Training	In place annually On-going as required
	Lack of knowledge of councillors	Appropriate Councillor Training	All councillors have received induction training and are circulated with the WALC training programme each year.
	Unplanned unavailability of Clerk	Key processes documented together with ability to access appropriate records and systems	<i>Paper to be discussed on 9 December 2017</i>
	<i>NEW</i> Personal safety of councillors, clerk, contractors & volunteers	<i>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 and meetings to be agreed</i>	<i>As and when required Risk is factored in to agreed contracts TBC</i>
Finance	Insufficient funds to carry out council	Prepare and review Annual Budget and set precept	This is done annually

	objectives	Prepare and review 3 year forecast Maintain appropriate reserves	This is done annually Reserves are maintained in accordance with the agreed Reserves Policy (reviewed annually) Quarterly management accounts are presented to Council TBC
	NEW Loss of access to funds	Regularly monitor financial performance (see Finance Regs) Alternate bank account	Quarterly management accounts are presented to Council TBC
	Loss of funds	Establish, maintain and review appropriate Finance Regulations NEW Funds held in more than one financial institution	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. TBC
	Non-payment/inaccurate payment of suppliers, staff & others Fraud by suppliers, staff or others	Regular auditing by councillors Internal Audit External Audit	An internal financial review is undertaken quarterly by councillors in turn and the accounts are subject to Internal and External Audit at the year
Operations	<i>Failing to deliver services or projects</i> NEW	<i>Placing and monitoring contracts for regular services</i> <i>Maintaining and reviewing an Outstanding Actions Log</i>	<i>Ongoing</i> <i>Ongoing</i>
	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
		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	This has been added to the standard Agenda

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
	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.
	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
		NEW Policy on 3rd party visits and meetings to be agreed	TBC
Compliance-Council (NEW - This includes 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
	Failing to report as required	as above	All Council practices are subject to internal audit.
	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
NEW	<i>Failing to be transparent</i>	<i>Parish Council Meetings held in public accesable locations</i> <i>Meetings with 3rd parties reported on at council meetings</i> <i>Policy on 3rd party visits and meetings to be agreed</i>	<i>Monthly meetings held at locations in Balsall Common and Berkswell</i> <i>Ongoing</i> <i>TBC</i>
NEW	<i>Not acting in the best interest of the parish</i>	<i>Councillors Code of Conduct</i>	?
NEW	<i>Inappropriate behaviour by Council, Councillors, Council staff, volunteers or</i>	<i>Training of Councillors and Clerk</i> <i>Placing and monitoring contracts for regular services</i> <i>Volunteer activity sourced through established local groups</i> <i>Complaints procedure in place</i>	<i>See above</i> <i>See above</i> <i>See above</i> <i>In place</i>

Failing to maintain and disclose records

as above

Appropriate record management process

Records are managed in accordance with Standing Orders and Financial Regulations

NEW Failing to meet FOI regulations

Freedom of Information policy established, maintained and reviewed.

Policy is on Council website