

Nash Mills Parish Council Risk Assessment : **Min Ref:
1408**

Feature	Perceived Risk	Risk level	Action	Review period	Comments
Insurance Public and Employers Liability Money and Fidelity Guarantee Personal Accident	Theft of funds	Low	Parish Council procedure – 2 Cllrs to sign/paperwork circulated to all Cllrs/bank statements signed by Finance Chairman monthly.	Monthly and annually. Comments minuted after the annual review of Risk Assessment.	Finance Committee aware of amount covered for the Fidelity Guarantee. Insurance LTA covered until June 2017. Fidelity Guarantee was increased to £150k
Playground and playground equipment. War Memorial/Notice Board/Boundary signs	Injury due to damaged equipment or hazardous waste broken glass etc	Medium	Annual inspection of playing field by qualified equipment inspector. Parish Warden checks area weekly and reports to the clerk.	Annually by Wicksteed.	Warden inspects playing field on a weekly basis for vandalism/litter he supplies written reports weekly to the clerk the reports are circulated.
Banking arrangements	Identity theft. Fraudulent use of account.	Low	Monthly statements. Bank calls the clerk advising interest status. Reserve letter sent to clerk with written confirmation of interest and amount.	Monthly	Reserve letter photocopied and circulated to Finance Chairman along with copies of bank statements monthly.
VAT Returns	Failure to complete and submit accurate returns.	Low	Diarised VAT submitted online printed circulated.	Quarterly	Every quarter VAT Return filed online. Pdf circulated to Cllrs.

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Salary Review/ Contracts of Employment	None	None	None	Annually	
By - elections	None	None	None	When applicable	
Excessive Claims Cost of use of Home as office	None	Low	Overseen by Finance Chairman and Councillors review annually within budget controls	Annually	
Legal Payments	None	Low	Two signatories plus Clerk advice from NALC/SLCC. Cheques made to organisations never one person for any funding or donations.	When required.	

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Internal Audit	Internal Audit <i>not</i> carried out	Low	Cllrs propose a suitable firm. Clerk to check with all Cllrs that firm recommended is not used by any of them. Finance Chairman/Cllrs holds an annual review for internal controls.	Annually	
External Audit	External Audit <i>not</i> carried out or audit not submitted within pre-arranged time scales	Low	Check External Auditors not used by Parish Cllrs. Clerk arranges app for audit.	Annually	

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Updating of Home Office Expenses and Chairman's Expenses.	None	None	Finance Chairman and Cllrs review during annual budget.	Annually	
Record keeping/ Minutes. Asset Register/ Updated/Data/Archived computer records/ Register of Interests/ Register of Gifts and Hospitality	Minutes not properly numbered or kept securely. Information not updated on a regular basis. Loss of data.	Low	Minutes signed by appropriate Chairman at meetings. Asset Register updated annually. Archived records on back up file with IT company who provides IT support and daily back up.	Ongoing	

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Financial Regulations/ Standing Orders/Code of Conduct/Declarations of Interest/Risk Assessment.	Not updated in line with local government legislation.	Low	Clerk is a member of SLCC. They regularly update and alert members of new legislation. Alerts from DBC.	All annually reviewed by full council. Minute reference retained and recorded on FR/SO and the RA.	On advice from BDO external auditors.
Internal Auditor Review of Effectiveness of Internal Auditor	Discovers fraudulent behaviour Not effective	Low Low	Auditor reports to Chairman, Finance Chairman, Full Council or Clerk Councillors review effectiveness	Internal Auditor reports to PC. Ongoing	

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Budget/Precept	<i>Not</i> carried out within timescales issued by local government	Low	Monitored by Clerk/local government officers/ Chairman of Finance/Cllrs. and Auditors	Annually	
Cancellation of meeting	Non-event	Low	Information can be posted on website or tweeted. Hard copy on notice board and advised on monthly agendas.	Reviewed monthly	
Website	Loss of data	Low	Website updated regularly data is backed up by a third party daily.	Reviewed by full council on a quarterly basis.	
Website	Collection of data	Low	Banner in place advising privacy and cookie policy	Reviewed by full council on a quarterly basis.	

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Written Agreements with Contractors (adverts etc.)	No written contract entered into.	Low	Written contract/invoice sent and filed. Any changes have to be notified to the clerk in writing. For example advertisers wishing to terminate their adverts in parish magazine.	Ongoing	
Data Protection/Freedom of Information	Data not protected	Low	Parish Council registered with ICO re no. ZA105644	Ongoing	Certificate from ICO held at Office.

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Bank Account Details	No information held securely	Low	The Chairman, Finance Chairman and the Clerk each hold copies of all parish council account details in a secure place. Signatories sign on natural rotation recorded in minutes by Parish Clerk.	Annually	
Legal Payments for Funding	Make payments to unauthorised individuals or groups	Low	NMPC have set up an application form identifying specific requirements	Annually	

FEATURE	PERCEIVED RISK	RISK LEVEL	ACTION	REVIEW PERIOD	COMMENTS
Value For Money (VFM).	Not considering cost implications going over projected budget forecast figures. Safeguarding the public purse.	Low	Budget meeting held annually and expenditure/ budget figures are looked at monthly by full council.	Ongoing	

