



Twywell Parish Council Risk Assessment

	Risks Identified	Who is at risk?	Management/Control	Review/Assess	Rating	Action By
Business Continuity	Incapacity or absence of the Clerk	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - Designate a person to temporarily act as Clerk in an emergency. - A Locum service is available through the Society of Local Council Clerks. http://consultancy.slcc.co.uk/register?type=locum - Clerk to provide Chairman with a list of passwords to ensure business continuity 	Regularly review passwords to check for updates	Low	Clerk Chair
	Resignation of the Clerk	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - Undertake succession planning. - Transition period / handover with existing clerk - Identify councillors to take on extra responsibility until new clerk is in place - New clerk to enrol on NCAL courses for 'New Clerk & Finance' 	Adequate	Low	Clerk Chair Twywell Parish Councillors
	Loss / theft off or inability to access records	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - All old copies prior to electronic use are deposited with the Northamptonshire County Records Office. - All Minutes since 2010 are held on the Council's website. - Data Back-up is in the Cloud and on an external hard drive which is kept by a councillor. 	Adequate	Low	Clerk Chair Twywell Parish Councillors

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	Failure to retain or secure the necessary number of members for a Council	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - Clerk to maintain an up to date Councillor Attendance Register. - Advertise for an election immediately a vacancy exists. - Co-opt Members where no election is held. 	<ul style="list-style-type: none"> - Adequate 	Low	Clerk Chair
Ensure compliance with an Act of Parliament, Council's financial regulations and code of conduct	Lack of knowledge of regulations and codes	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - Ensure that all Councillors have available relevant Acts. - That a Code of Conduct, Standing Orders and Financial Regulations are in place. - Highlight essential parts and provide training where relevant. 	<ul style="list-style-type: none"> - Clerk to provide act to councillors - Review policies annually - Chair / Clerk to provide training to councillors 	Low	Clerk Chairman Twywell Parish Councillors
	Absence of Standing Orders	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - Ensure that Standing Orders are produced - Ensure that Standing Orders are adopted by the Councillors - Ensure Standing Orders are understood by Councillors - Reviewed annually. 	<ul style="list-style-type: none"> - Clerk to provide Standing Orders to councillors - Agree review date for policy annually - Chairman / Clerk to provide training to councillors 	Low	Clerk Chair Twywell Parish Councillors
	Action by the Parish Council outside its powers laid down by Parliament	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - Clerk to monitor relevant legislation and report to Council 	<ul style="list-style-type: none"> - Clerk to monitor NCAL for updates - To maintain clerks continue with professional development 	Low	Clerk NCAL Website
	Lack of commitment to regulations and procedures	Twywell Parish Council	<ul style="list-style-type: none"> - Chair and clerk to review Council's meeting and operational procedures annually 	<ul style="list-style-type: none"> - Clerk to monitor NCAL for updates - Agree review date for policies annually 	Low	Clerk Chair

		Residents of Twywell		- To maintain clerks continued professional development		
	Items purchased without proper tendering procedures. Not providing value for money or resulting in accusations of commercial favouritism.	Twywell Parish Council	<ul style="list-style-type: none"> - Parish Council to obtain at least two quotations for key purchases. - All purchases are to be approved at a Twywell Parish Council Meeting - See Internal Financial Control System Policy. 	<ul style="list-style-type: none"> - All councillor to have copies of the Financial system policy - Financial system can be found on the Twywell parish council website 	Low	Clerk Chair RFO Twywell Parish Councillors
	Lack of control of signatories to cheques	Twywell Parish Council	<ul style="list-style-type: none"> - Two Councillors as authorised signatories approved by the Council. - Try to use online banking rise payments - See Internal Financial Control System Policy. 	<ul style="list-style-type: none"> - To have 3/4 signatories for online banking 	Low	Clerk Chair RFO Twywell Parish Councillors
	VAT not properly accounted for, resulting in over claims and large demands from HMRC.	Twywell Parish Council HMRC	<ul style="list-style-type: none"> - Ensure appropriate VAT publications are held - Clerk has good knowledge of the regulations. - See Internal Financial Control System Policy. 	<ul style="list-style-type: none"> - File VAT returns regularly (every 3/6 months) - Clerk to have VAT number - Clerk to have access to gateway information 	Low	Clerk Chair RFO
			<ul style="list-style-type: none"> - The meeting Agenda is placed on the three 	Adequate	Low	Clerk

Notice of a parish meeting	Twywell Parish Council Residents of Twywell	village noticeboards - The meeting Agenda is upload onto Twywell Parish Council's website - The Agenda is available to Twywell Residents before the given required notice of each meeting.			Chair
Written communication / Emails	Twywell Parish Council Residents of Twywell	- All formal written communication / emails should be directed through the Clerk. - All formal written communication / emails may be signed by the Chair / Vice-Chair when necessary. - All councillors to use parish email addresses for communication - All councillors to have signed email policy - Use BCC when emailing to multiple parties	Adequate	Low	Clerk Chair Twywell Parish Councillors
Approval of minutes	Twywell Parish Council Residents of Twywell	- Minutes are approved at the next Meeting of the Council. - Draft Minutes are approved by the chair before being circulated - Draft Minutes are forwarded to Councillors - Draft Minutes are displayed on the Twywell Parish Council's website no later than two weeks after a meeting.	Adequate	Low	Clerk Chair
Register of interests	Twywell Parish Council	- Councillors are required to declare an interest in any item of business on the Agenda - Councillor's interests are recorded in the Minutes. - Completed Register of Interests forms are submitted to the Monitoring Officer and regularly reviewed.	Adequate	Low	Clerk Chair Twywell Parish Councillors

	Security of data (IT systems and support)	Twywell Parish Council	<ul style="list-style-type: none"> - Confidential documents are stored in a locked filing cabinet. - Laptop's require an access code 	<ul style="list-style-type: none"> - Acquire fireproof locked filing cabinet for confidential 	Low	Clerk Chair
	Freedom of Information (FOI)	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - <i>The Council has not yet adopted the model scheme.</i> - Monitor any requests made under FOI. 	<ul style="list-style-type: none"> - <i>Adopt Model Publication Scheme for TPC</i> - Refer any FOI to NCAL for advice 	Low	Clerk Chair
	Payments made without prior approval and adequate control	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - Ensure that all payments are approved in Council meetings and recorded in Minutes. - Where prior payment is required this is approved by the Chairman and a designated Councillor - See Internal Financial Control System Policy 	<ul style="list-style-type: none"> - Adequate 	Low	Clerk Chair RFO
Governance and Management	Engagement by Members in the operation and activities of the Parish Council	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - Take every opportunity to publicise the role of the Parish Council through the village newsletter and website. - Effective use of village noticeboards. - Use key issues to raise profile of Parish Council and to test parishioner's views. - Publish Councillors contact details on the Website and Village noticeboards 	<ul style="list-style-type: none"> - Adequate - Make use of social media in promoting Twywell Parish Council 	Low	Clerk Chair Twywell Parish Councillors
	Impact of Public spending cuts	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - All Councillors to be made aware that priorities must be set on the basis of the financial capacity of the Parish Council to deliver. - Attend training where appropriate. 	<ul style="list-style-type: none"> - Clerk / RFO to explain / plain budget successfully 	Low	Clerk Chair Twywell Parish Councillors

Lack of engagement by councillors and residents on major items of public interest	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - Ensure publicity through local village newsletter, village noticeboards and website. - Public Open Forum Sessions are held before each Council meeting. 	<ul style="list-style-type: none"> - Ensure successful selection of proactive councillors onto council - Make use of social media in promoting Twywell Parish Council 	Low	Clerk Chair Twywell Parish Councillors
Lack of knowledge by councillors on their role, responsibility and accountability	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - Delegate responsibility to one or two experienced councillors to assist new Members. - Ensure all councillors have signed required documents on joining council - Attend any training courses available. 	<ul style="list-style-type: none"> - Adequate 	Low	Clerk Chair Twywell Parish Councillors
Inadequate insurance cover for members and clerk	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - Regularly Review Risk Assessments by clerk - Include risk assessment and insurance cover on Agenda of Twywell Parish Council meetings at least annually. - Ensure a Risk Assessment is carried out for all new assets and appropriate insurance cover implemented - Ensure Risk Assessment is in place and followed for each activity and event that is held by TPC 	<ul style="list-style-type: none"> - Adequate - Refer to NCAL for advice on risk assessments 	Low	Clerk Chair Twywell Parish Councillors
Lack of appropriate financial controls and reporting	Twywell Parish Council	<ul style="list-style-type: none"> - The Parish Council have adopted a separate Internal Financial Control System Policy. - Clerk to ensure that Receipts and Payments are promptly and accurately recorded. 	<ul style="list-style-type: none"> - Identify councillor to spot check (Internal) accounts 	Low	Clerk Chair

		Residents of Twywell	<ul style="list-style-type: none"> - All invoices to be checked and reported to next Parish Council meeting. - Clerk to balance accounts against bank statements monthly. - Clerk to produce up to date reports at all meetings. - Internal Audit checks by designated Councillor. - Internal and External Audit reports to be made available to all Councillors and any recommendations acted upon promptly. 			Twywell Parish Councillors
	Use of funds not in accordance with residents wishes	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - Effective Budget Planning Process. - Annual Plan reviewed annually. - All spending to be approved in meetings - Listen to residents request and add to the agenda for consideration at meetings 	<ul style="list-style-type: none"> - Adequate - Ensure residents wishes are passed to clerk for agenda 	Low	Clerk Chair Twywell Parish Councillors
	Lack of commitment by Members to the budgetary process	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - Include regulations in Standing Orders issued to all Councillors. - Place item on Agenda early in the year to remind Councillors of budget process and actions required. - Involve all Councillors in budgetary process not solely the Clerk. 	<ul style="list-style-type: none"> - Adequate 	Low	Clerk Chair Twywell Parish Councillors
	Failure to ensure that the annual precept results from an adequate budgetary process	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - Start consideration of budgetary process at least four months prior to submission date of Precept. - Checks by Clerk/RFO and Internal Auditor. - Ensure forward planning of budget (taking into account rising costs) has been produced 	<ul style="list-style-type: none"> - Adequate 	Low	Clerk RFO Chair

	Inadequate internal controls with regard to monitoring expenditure	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - Internal Audit checks are carried out every three months by a designated Councillor to ensure effective financial management by Clerk/RFO. - Clerk/RFO to attend CPD course's for financial guidance. 	- Identify councillor to spot check (Internal) accounts		Clerk Chair Twywell Parish Councillors
	Election costs	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - In an election year, estimated costs obtained from the Electoral Officer at NNC - Include additional cost into the budget. - In other years the Council provides a sum within its working balance to meet possible by-election costs. 	- Adequate	Low	Clerk Chair RFO
	Reserves too high/low	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - Auditor advises reserve balance must not exceed twice the Precept. 	- This is the precept figure - it doesn't include all the accounts funds	Low	Clerk Chair Twywell Parish Councillors
	Failure to ensure that all employees are paid in accordance with Council regulations and are adequately monitored	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - Parish Council employ external payroll service. - A Contract of Employment and Job Description is agreed for the Clerk. - Terms and conditions are agreed in the Minutes. - Ensure employee regulations are available and understood by the Clerk. - No additional payment to the Clerk without Council approval. 	<ul style="list-style-type: none"> - Clerk to provide a timesheet - Signed contract of employment is held by the clerk 	Low	Clerk Chair Twywell Parish Councillors
			<ul style="list-style-type: none"> - Include a timetable in Standing Orders / 		Low	Clerk

	Failure to ensure that year end accounts are correctly prepared	Twywell Parish Council Residents of Twywell	Financial Regulations. - Internal Audit checks. - Financial reports to all Parish Council meetings.	- Accounts checked by designated councillor		RFO Chair Twywell Parish Councillors
	Failure to identify, value and maintain all assets of the Twywell Parish Council, and ensure that asset and investment registers are complete. Loss of damage to Assets Risk/damage to third party property	Twywell Parish Council Residents of Twywell	- Record and maintain a record of all assets for which the Twywell Parish Council are responsible for and include in yearend accounts. - Arrange for annual review of valuations and arrange for professional valuation where appropriate - Annual review of any assets will be undertaken for insurance purposes. - Regular risk checks around the Parish where the assets are kept	- adequate - Once register approve -diarise physical checking prior to annual Insurance renewal (May)	Low	Clerk RFO Chair Twywell Parish Councillors
	Residents of Twywell Adoption and implementation of appropriate Government legislation	Twywell Parish Council Residents of Twywell	- Clerk to have appropriate legislation available. - Review liabilities and responsibilities periodically at Parish Council meetings. - Resident to access to legislation on website and notice boards in the village	- Adequate	Low	Clerk Chair Twywell Parish Councillors
Health & Safety	Employment of Contractors	Twywell Parish Council Residents of Twywell	- Use approved contactors. - Ensure that all contractors hold sufficient public liability insurance - Ensure that all contractors hold health and safety certificates	- Adequate	Low	Clerk Chair Twywell Parish Councillors

	Damage to Noticeboard	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - Regular painting require to maintain upkeep - Regular visual inspections are undertaken by the Clerk of the three noticeboard in the parish - Residents encouraged to report any damage or faults to the clerk 	- Adequate	Low	Clerk Chair Twywell Parish Councillors
	Adequacy of meeting locations	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - Parish Council meetings are held in Macqueen House - Current McQueen House risk assessment is held by the clerk 	- Adequate	Low	Clerk Chair Twywell Parish Councillors
	Parish Council run village events	Twywell Parish Council Residents of Twywell	<ul style="list-style-type: none"> - Ensure an appropriate individualised risk assessment of each event is carried out - Insurance cover adequate 	Adequate	Low	Clerk Chair Twywell Parish Councillors

Policy Control Sheet

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