

Compton Martin Parish Council

Risk Assessment Schedule

Description of the Risk	Impact	Control	Risk Level
Finance and Budget Risks			
Council fails to ensure Finance Regulations are current and updated	PC not legally compliant	Finance regulations regularly reviewed. Chair of Finance group, Clerk as RFO and Chairs on FAG to agree any necessary revisions at April FWG, for May Council meeting	Low
Loss of Council funds though theft or dishonesty	Reputational damage and inability to discharge PC responsibilities	Financial systems controlled under Financial Regulations that are reviewed annually by Council and administered by Clerk as RFO. Quarterly reconciliation by Councillor independent of RFO and Finance AG Fidelity guarantee - assessed annually. This will be reviewed regularly by RFO to ensure it is in line with increased income	Low
Extra expenditure incurred through unnecessary deterioration due to neglect of physical assets owned by council	Reputational damage Injuries to residents	Regular and responsible maintenance of assets to be carried out whenever inspection reveals it is necessary. Respond to any resident sightings of damage	Medium
Council sued or surcharged because of improper or illegal use funds and/or failing to keep financial records in accordance with statutory requirements	Reputational damage and inability to discharge PC responsibilities	All expenditure itemised for review by Councillors in Parish Council meeting and through bank account reconciliation and monitored by Clerk. Clerk/RFO is qualified & has updated training by ALCA, SLCC, Scribe and refers to them for guidance as necessary. Expenditure permitted by S137 of LGA1972 is listed separately	Low
Critical omissions from Financial Risk Management Procedures	Reputational damage and inability to discharge PC responsibilities	RFO and Chair of Finance working group to review annually. Review and authorisation of payments monthly at full Council meeting	Low
Failure to spend CIL payments from District Council in accordance with legislative	Principal Authority requires CMPC to return CIL funds spent in contravention of	RFO to ensure that Councillors are made aware of national rules and requirements for spending and reporting on use of CIL	Low

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requirements and within the powers of CMPC	statutory requirements		
Budget pressure through inadequate insurance cover	Reputational damage and inability to discharge PC responsibilities	Ensure Asset Register updated, and level of insurance cover reviewed whenever Council makes a purchase. Review Council Assets Register yearly	Low
Compliance Risks			
Council fails to ensure Standing Orders are current and updated	PC not legally compliant	Standing Orders revised fully in 2021 and delegated authority given to Clerk to incorporate updates.	Medium
Failure to meet requirements under: - Employment Law - HMRC tax/NI regulations - VAT regulations	PC is non-compliant Reputational damage	All employees to have written contracts of employment; Statutory requirements for employer's NI and pension contributions to be monitored and met. Regular returns to Inland Revenue. VAT return made annually. Internal and External audit of accounts to be carried out annually	Medium
Failure to provide the required proper, timely and accurate reporting of Council business in the Minutes of the meetings	PC is non-compliant Reputational damage	Council minutes to be prepared by Clerk and, after being checked for correctness and approved by Councillors at a subsequent ordinary meeting they are to be signed by the Chairman and published on website within one month	Low
Failure to ensure proper document provision and control including loss of documents	PC is non-compliant Reputational damage	Signed minutes of meetings to be continuously page numbered and retained within parish by Clerk for period advised by NALC. Document retention policy adopted. Cloud back-up used for all current documentation from July 2021. Meeting agendas and minutes are added to PC website and backup maintained by website provider	Low
Failure to meet the requirements of best practice for a Parish Council to ensure the confidence and trust of the electorate	Inability to improve and develop using the framework of the Local Council Award Scheme Reputational Damage	Parish Council accounts subject to both internal and external annual audit A minimum of 10 ordinary meetings are held each year. Agenda to be published on notice boards and website. Minutes available on website. Chairman to present a report of the Council's activities to the Annual Parish Meeting. Elections held when required under the direction of the B&NES Returning Officer. If elections are not required, after consultation with B&NES, the documented process for co-opting to be complied with.	Low

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Failure to meet the timetable when responding to Consultations	PC is non-compliant Reputational damage	Clerk to ensure that the Council does not miss deadlines and ask for extension if required.	Low
Failure to respond to Electors wishing to exercise their rights of inspection	PC is not legally compliant Reputational damage	Council to comply with the Freedom of Information Act 2000 and UK Data Protection Act and Regulations. Clerk ensures that all Minutes/Agendas and any required financial audit papers are available on website with the exclusion of personal data Clerk to provide facility for Electors to inspect all of the Council's Public documents by request.	Low
Failure to meet the requirements of the Principal Authority's Code of Conduct and Nolan Principles	Inability to improve and develop using the framework of the Local Council Award Scheme Reputational Damage	Register of Councillors Interests to be kept by Clerk and copied to B&NES Monitoring Officer and placed on the website. All new Councillors to sign Declaration of Acceptance of Office which requires Councillors to undertake to observe the Code of Conduct and complete Register of Members Interests. Code of Conduct to be reviewed annually and all councillors to check their returns. Ensure all Councillors are aware of the Code of Conduct and need to complete Registers of Interest. NB – This is the responsibility of individual Councillors.	Low
Data Risks			
Breach of Confidentiality	PC is not legally compliant Reputational damage	PC put in place policies and procedures to ensure they are compliant with the Data Protection legislation UK GDPR. PC registered under Data Protection Act. Procedures for dealing with confidential data. Passwords on computer systems	Medium
Cyber attacks, failure of Computer system, hardware or software	PC is not legally compliant Reputational damage	The PC fully understand cyber risks and put in place sufficient safeguards. Regular updates of virus protection. Regular computer backups are made on One Drive and a hard drive. Provision reviewed annually by Clerk (RFO) and insured	Medium
Systems for approval of bank payments are secure and data compliant	PC is not legally compliant Reputational damage	Copies of PINS and Passwords to be held in hard copy by Chairman. Sealed details – tamper evident	Low

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Health and Safety and Safeguarding Risks			
Liability for injury or disease to Council employee(s) arising from their employment	PC is not legally compliant Reputational damage	Risk assessments in place for hazardous activities – link to tools that employees are permitted to use. Ensure Employer's Liability Insurance cover of £10,000,000 is maintained Recorded training for job role. Include in Annual Plan Follow national guidance on working practices when available	Medium
Damage to third party property or individuals Risk to third party as a consequence of providing a service	PC is not legally compliant Reputational damage	Public Liability Insurance & Property Owner's Insurance Ongoing maintenance to seats, notice boards and fencing etc., Clerk and as many Councillors as possible defibrillator supplier trained Annual check on level of cover in place Clerk (RFO) Logged system of complaints received and action taken. Agreed delegated expenditure to Clerk (RFO) to commission emergency equipment repairs	Medium
Damage to physical assets owned by the Council such as: - Street furniture - Defibrillator	Financial loss Injury to residents	Ensure all assets are covered by insurance for damage Defibrillators at Ring O Bells and Village Hall checked monthly location logged with Ambulance Service and Circuit, checks logged with Circuit Street furniture asset problems reported to Clerk	Medium
Reputational Risks			
Relationships with local organisations are damaged through lack of or inaccurate communication	Reputational damage	All key organisations are listed, and lead contacts identified. Relevant communication agreed Formal meetings with organisations held if required	Low
Residents are concerned that they are not being fully kept informed	Reputational damage	Respond in a timely and considered way to all communication	Low

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Use of social media and digital communication to promote or share PC business leads to info being shared inappropriately	PC is not legally compliant Reputational damage	Clear guidelines given to Councillors on posting and responding to digital communication in line with the Code of Conduct.	Medium
Operating Risk /Business Continuity Risks			
Disruptive incidents or situations occur Residents seek guidance from PC without receiving help they want or need	Normal council business unable to continue and/or council response not seen to be effective Reputational damage Not legally complaint Financial loss	Follow national and local guidance Respond appropriately and constructively to residents' concerns	Medium