

Nash Mills Parish Council Risk Assessment : **Min Ref:**  
**1443**

| <b>Feature</b>   | <b>Perceived Risk</b>   | <b>Risk level</b> | <b>Action</b>   | <b>Review period</b>  | <b>Comments</b>  |
|--|---|-------------------|---|---|--|
| Insurance<br><br>Public and Employers Liability<br>Money and Fidelity Guarantee<br>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.<br>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.<br>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.<br>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/<br>Contracts of<br>Employment         | None           | None       | None   | Annually        |          |
| By - elections                                       | None           | None       | None   | When applicable |          |
| Excessive Claims<br>Cost of use of Home as<br>office | None           | Low        | Overseen by Finance<br>Chairman and<br>Councillors review<br>annually within<br>budget controls  | Annually        |          |
| Legal Payments                                       | None           | Low        | Two signatories plus<br>Clerk advice from<br>NALC/SLCC.<br>Cheques made to<br>organisations never<br>one person for any<br>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/<br>Minutes.<br><br>Fixed Asset Register/<br><br>Updated/Data/Archived<br>computer records/<br><br>Register of Interests/<br>Register of Gifts and<br>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.<br><br>Fixed Asset Register updated annually.<br><br>Archived records on back up file with ICT company who provides IT support and daily back up. | Ongoing       |          |

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|---|--|----------------|--|--|---------------------------------------|
| Financial Regulations/<br><br>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.<br><br>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<br><br>Review of Effectiveness of Internal Auditor                                     | Discovers fraudulent behaviour<br><br>Not effective    | Low<br><br>Low | Auditor reports to Chairman, Finance Chairman, Full Council or Clerk<br><br>Councillors review effectiveness   | Internal Auditor reports to PC.<br><br>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       |          |
|                        |  |            |   |               |          |

