

Twywell Parish Council

Risk Register

Website: [www.twywellparishcouncil.gov.uk

Email: [clerk@twywellparishcouncil.gov.uk

Risk 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 Parish Council]	- Designate a person to temporarily act as Clerk in an emergency. - A Locum service is available through the Society of Local Council Clerks (SLCC): http://consultancy.slcc.co.uk/register?type=locum - Clerk to provide the Chair 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 Parish Council	- Undertake succession planning. - Transition period / handover with existing Clerk. - Identify councillors to take on extra responsibility until a new Clerk is in place. - New Clerk to enrol on NALC courses for 'New Clerk & Finance'.	Adequate	Low	- Clerk - Chair - Councillors
Loss / theft of, or inability to access, records	- Twywell Parish Council - Residents of Twywell Parish Council	- Old paper copies prior to electronic use are deposited with the County Records Office. - Minutes are held on the Council's website from an agreed retention date. - Data back-up is maintained via cloud storage and an external hard drive held by the Clerk.	Adequate	Low	- Clerk - Chair - Councillors
Failure to retain or secure the necessary number of members for the Council	- Twywell Parish Council - Residents of Twywell Parish Council	- 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.	Adequate	Low	- Clerk - Chair
Ensure Compliance with Acts of Parliament, Financial Regulations and Code of Conduct					
Lack of knowledge of regulations and codes	Twywell Parish Council	Ensure all Councillors have access to relevant Acts.	Clerk to provide	Low	Clerk

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	Residents of Twywell Parish Council	- A Code of Conduct, Standing Orders and Financial Regulations are in place. - Highlight essential parts and provide training where relevant.	- relevant Acts to Councillors. - Review policies annually. - Chair / Clerk to provide training to Councillors.		- Chair - Councillors
Absence of Standing Orders	- Twywell Parish Council - Residents of Twywell Parish Council	- Ensure Standing Orders are produced and adopted by the Council. - Ensure Standing Orders are understood by Councillors. - Reviewed annually.	- Clerk to provide Standing Orders to Councillors. - Agree review date for the policy annually. - Chair / Clerk to provide training to Councillors.	Low	- Clerk - Chair - Councillors
Action by the Council outside its powers laid down by Parliament	- Twywell Parish Council - Residents of Twywell Parish Council	- Clerk to monitor relevant legislation and report to Council. - Chair and Clerk to review the Council's meeting and operational procedures annually.	- Clerk to monitor NALC for updates. - Maintain the Clerk's continued professional development.	Low	- Clerk - Chair - NALC / Website
Lack of commitment to regulations and procedures	- Twywell Parish Council - Residents of Twywell Parish Council	- Agree review date for policies annually. - Maintain the Clerk's continued professional development.	Ongoing	Low	- Clerk - Chair
Financial Management					

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Items purchased without proper tendering procedures, not providing value for money or resulting in accusations of commercial favouritism	Twywell Parish Council	• Council to obtain at least two quotations for key purchases. • All purchases to be approved at a Council meeting. • See Internal Financial Control System Policy.	All Councillors to have copies of the Financial System Policy, available on the Council's website.	Low	• Clerk • Chair • RFO • Councillors
Lack of control of signatories to cheques / payments	Twywell Parish Council	• Two Councillors as authorised signatories, approved by the Council. • Primarily use online banking to raise payments. • See Internal Financial Control System Policy.	To have 3–4 signatories set up for online banking.	Low	• Clerk • Chair • RFO • Councillors
VAT not properly accounted for, resulting in over-claims and demands from HMRC	• Council • HMRC	• Ensure appropriate VAT publications are held. • Clerk has good knowledge of the regulations. • See Internal Financial Control System Policy.	• File VAT returns regularly (every 3–6 months). • Clerk to hold the Council's VAT number. • Clerk to have access to gateway information.	Low	• Clerk • Chair • RFO
Payments made without prior approval and adequate control	• Twywell Parish Council • Residents of Twywell Parish Council	• Ensure 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.	Adequate	Low	• Clerk • Chair • RFO
Lack of appropriate financial controls and reporting	• Twywell Parish Council • Residents of Twywell Parish Council	• Council has adopted a separate Internal Financial Control System Policy. • Clerk to ensure receipts and payments are promptly and accurately recorded. • All invoices checked and reported to the next Council meeting. • Clerk to balance accounts against bank statements monthly. • Clerk to produce up-to-date reports at all meetings. • Internal audit checks by a designated Councillor.	Identify a Councillor to spot-check internal accounts.	Low	• Clerk • Chair • Councillors

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		Internal and external audit reports made available to all Councillors, with recommendations acted upon promptly.			
Use of funds not in accordance with residents' wishes	- Twywell Parish Council - Residents of Twywell Parish Council	- Effective budget-planning process. - Annual plan reviewed annually. - All spending approved in meetings. - Resident requests added to the agenda for consideration at meetings.	- Adequate - Ensure residents' wishes are passed to the Clerk for the agenda.	Low	- Clerk - Chair - Councillors
Lack of commitment by Members to the budgetary process	- Twywell Parish Council - Residents of Twywell Parish Council	- 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 the budgetary process, not solely the Clerk.	Adequate	Low	- Clerk - Chair - Councillors
Failure to ensure that the annual precept results from an adequate budgetary process	- Twywell Parish Council - Residents of Twywell Parish Council	- Start budgetary process at least four months prior to the precept submission date. - Checks by Clerk / RFO and Internal Auditor. - Ensure forward planning of the budget accounts for rising costs.	Adequate	Low	- Clerk - RFO - Chair
Inadequate internal controls with regard to monitoring expenditure	- Twywell Parish Council - Residents of Twywell Parish Council	- Internal audit checks carried out every three months by a designated Councillor to ensure effective financial management by the Clerk / RFO. - Clerk / RFO to attend CPD courses for financial guidance.	Identify a Councillor to spot-check internal accounts.	Low	- Clerk - Chair - Councillors
Election costs	- Twywell Parish Council - Residents of Twywell Parish Council]	- In an election year, obtain estimated costs from the Electoral Officer. - Include additional cost in 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 / too low	- Twywell Parish Council - Residents of Twywell Parish Council	Auditor advises reserve balance must not exceed twice the precept.	Note: this refers to the precept figure and does not include all account funds.	Low	- Clerk - Chair - Councillors

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Failure to ensure that all employees are paid in accordance with Council regulations and are adequately monitored	• Twywell Parish Council • Residents of Twywell Parish Council	• Council employs an external payroll service. • A Contract of Employment and Job Description is in place 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.	• Clerk is salaried. • Signed contract of employment held by the Clerk. • Timesheet provided by the Clerk for any additional hours.	Low	• Clerk • Chair • Councillors
Failure to ensure that year-end accounts are correctly prepared	• Twywell Parish Council • Residents of Twywell Parish Council	• Include a timetable in Standing Orders / Financial Regulations. • Internal audit checks. • Financial reports presented at all Council meetings.	Accounts checked by a designated Councillor.	Low	• Clerk • RFO • Chair • Councillors
Governance and Management					
Notice of a parish / council meeting	• Twywell Parish Council • Residents of Twywell Parish Council	• Meeting agenda placed on village noticeboards. • Meeting agenda uploaded to the Council's website. • Agenda available to residents before the required notice period for each meeting.	Adequate	Low	• Clerk • Chair
Written communication / emails	• Twywell Parish Council • Residents of Twywell Parish Council	• All formal written communication / emails directed through the Clerk. • Formal communication may be signed by the Chair / Vice-Chair when necessary. • All Councillors to use parish email addresses for communication. • All Councillors to have signed the email policy. • Use BCC when emailing multiple parties.	Adequate	Low	• Clerk • Chair • Councillors
Approval of Minutes	• Twywell Parish Council • Residents of Twywell Parish Council	• Minutes approved at the next Council meeting. • Draft Minutes approved by the Chair before circulation. • Draft Minutes forwarded to Councillors. • Draft Minutes displayed on the Council's website no later than one month after a meeting.	Adequate	Low	• Clerk • Chair

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Register of interests	Twywell Parish Council	- Councillors required to declare an interest in any item of business on the agenda. - Councillors' interests recorded in the Minutes. - Completed Register of Interests forms submitted to the Monitoring Officer and regularly reviewed.	Adequate	Low	- Clerk - Chair - Councillors
Security of data (IT systems and support)	Twywell Parish Council	- Confidential documents stored in a fireproof safe. - Laptops and email accounts require an access code.	Use a fireproof safe for confidential information.	Low	- Clerk - Chair
Freedom of Information (FOI)	- Twywell Parish Council - Residents of Twywell Parish Council	Monitor any requests made under the Freedom of Information Act.	- Adopt the Model Publication Scheme. - Refer any FOI request to NALC for advice.	Low	- Clerk - Chair
Engagement by Members in the operation and activities of the Council	- Twywell Parish Council - Residents of Twywell Parish Council	- Publicise the role of the Council through the website. - Effective use of village noticeboards. - Use key issues to raise the profile of the Council and test residents' views. - Publish Councillors' contact details on the website and noticeboards.	- Adequate - Make use of social media to promote the Council.	Low	- Clerk - Chair - Councillors
Impact of public spending cuts	- Twywell Parish Council - Residents of Twywell Parish Council - Councillors	- All Councillors made aware that priorities must be set based on the Council's financial capacity to deliver. - Attend training where appropriate.	Clerk / RFO to explain the budget clearly and effectively.	Low	- Clerk - Chair
Lack of engagement by councillors and residents on major items of public interest	- Twywell Parish Council - Residents of Twywell Parish Council	- Ensure publicity through noticeboards and website. - Public open-forum sessions held before each Council meeting.	Ensure successful selection of proactive Councillors onto the Council.	Low	- Clerk - Chair - Councillors

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			Make use of social media to promote the Council.		
Lack of knowledge by councillors of their role, responsibility and accountability	- Twywell Parish Council - Residents of Twywell Parish Council	- Delegate responsibility to one or two experienced Councillors to assist new Members. - Ensure all Councillors have signed required documents on joining the Council. - Attend available training courses.	Adequate	Low	- Clerk - Chair - Councillors
Inadequate insurance cover for members and Clerk	- Twywell Parish Council - Residents of Twywell Parish Council	- Regularly review risk assessments. - Include risk assessment and insurance cover on the agenda at least annually. - Ensure a risk assessment is carried out for all new assets, with appropriate insurance cover implemented. - Ensure a risk assessment is in place and followed for each activity and event held by the Council.	- Adequate - Refer to NALC for advice on risk assessments.	Low	- Clerk - Chair - Councillors
Assets					
Failure to identify, value and maintain all Council assets, and ensure asset and investment registers are complete; loss of or damage to assets; risk/damage to third-party property	- Twywell Parish Council - Residents of Twywell Parish Council	- Record and maintain a register of all assets the Council is responsible for and include in year-end accounts. - Arrange annual review of valuations and professional valuation where appropriate. - Annual review of assets undertaken for insurance purposes. - Regular risk checks around the parish where assets are kept.	- Adequate - Once the register is approved, diarise physical checking prior to annual insurance renewal.	Low	- Clerk - RFO - Chair - Councillors
Adoption and implementation of appropriate Government legislation	- Twywell Parish Council - Residents of Twywell Parish Council	- Clerk to have appropriate legislation available. - Review liabilities and responsibilities periodically at Council meetings. - Residents to have access to legislation on the website and noticeboards.	Adequate	Low	- Clerk - Chair - Councillors
Health & Safety					

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Employment of contractors	• Twywell Parish Council • Residents of Twywell Parish Council]	• Use approved contractors. • Ensure all contractors hold sufficient public liability insurance. • Ensure all contractors hold relevant health and safety certificates.	Adequate	Low	• Clerk • Chair
Damage to noticeboards	• Twywell Parish Council • Residents of Twywell Parish Council	• Regular painting/maintenance to maintain upkeep. • Regular visual inspections undertaken by the Clerk of noticeboards in the parish. • Residents encouraged to report any damage or faults to the Clerk.	• Adequate • Apply for grants to replace noticeboards where needed.	Low	• Clerk • Chair • Councillors
Adequacy of meeting locations	• Twywell Parish Council • Residents of Twywell Parish Council	• Council meetings held at [Meeting Venue Name]. • Current venue risk assessment held by the Clerk.	Adequate	Low	• Clerk • Chair • Councillors
Council-run village/parish events	• Twywell Parish Council • Residents of Twywell Parish Council	• Ensure an appropriate individualised risk assessment is carried out for each event. • Ensure adequate insurance cover.	Adequate	Low	• Clerk • Chair • Councillors

Policy Control Sheet

Version: 01

Approved by: [Parish Council Name]

Date Approved: [Month Year]

Date of Next Review: [Month Year]

Policy Owner: Clerk – J Totten (unpaid)

Document History

Version	Date of Review	Author	Note of Revisions
01	[Month Year]	Clerk – [Initials]	Adopted at meeting [meeting reference]