

Newton on the Moor and Swarland Parish Council: Risk Assessment and Policy, 2020

Risk	Risk Level/Impact	Actions and Management	Responsibility	Further Actions & Timeframe
Organisation and governance				
Temporary inability of clerk to carry out duties	Low Risk of occurrence/High impact if occurs	Chairman to organise temporary cover for minute taking at meetings. Clerk's spouse to forward incoming post to the Chairman and check incoming emails and forward them to the Chairman for dealing with in an appropriate manner. In the event that the Clerk and spouse are incapacitated or unavailable, the Parish Council to seek access to the Clerk's residence to retrieve paperwork, and PC laptop by arrangement with relative. Working Instructions compiled to provide step by step instructions for key actions in case of Clerks absence.	Chairman	
Resignation, or long-term unavailability, of clerk	Low Risk of occurrence/High impact if occurs	Ensure adequate procedure in place to undertake recruitment of temporary replacement or successor. Working Instructions compiled to provide step by step instructions for key actions in case of Clerks absence.	Chairman and all council	
Failure of PC to comply with statutory requirements	Low Risk of occurrence/High impact if occurs	Continued membership of NALC. Ensure clerk and councillors receive periodic training. Circulation and digestion of updates, briefings etc	Clerk and Chairman	NALC membership discussed/renewed annually on receipt of membership invoice. NALC updates &

				briefings circulated by clerk within 7 days of receipt.
Loss of digital information	Low Risk of occurrence/High impact if occurs	Back up all computer records on a monthly basis on external hard drive. Security software to be installed on computer with regular live updates featured as part of subscription to protect against threats. Copies of information put on website retained.	Clerk	Back ups carried out monthly. Security software installed annually.
Failure of PC to remain quorate, as an organisation, and at meetings	Normally low, but high at election time	Promote public's interest to stand for election/co-option. Proper 'urgent matters' procedure in place Adequate prior notice of meetings and 'apologies for absence' Record of attendance maintained by Clerk to flag up potential issues such as self disqualification due to poor attendance.	All PC members	Review system annually. Attendance record updated monthly by Clerk.
Loss of confidence in PC by wider community	Low probability, but high impact	Communication and consultation using: 'Public Questions' slot at PC meetings; articles in The Column newsletter; PC website; occasional public meetings, face-to-face meetings and questionnaires	Clerk, Chairman and all PC members	
Finance and financial assets				
Poor financial management leading to poor value for money or inadequacy of resources	Low Risk of occurrence/High impact if occurs	Monitoring and review of budgets and prospects several times per year. Ensure financial controls and procedures are appropriate Detailed reports on income and	PC's Finance Group	Need to review PC's Standing Orders and Finance Regs urgently in 2019.

		expenditure provided to each PC meeting.		
Loss of funds due to Clerk's unauthorized removal / mismanagement	Low Risk of occurrence/High impact if occurs	Fidelity Guarantee Insurance up to £250,000. Detailed reports on income and expenditure provided to each PC meeting. Expenditure to be approved at council meetings, in accordance with PC's Financial Regulations. Cheques to be signed by two councillors.	Chairman, PC's Finance Group and Internal Auditor	Monthly reports.
Internal audit effectiveness	Low Risk of occurrence/High impact if occurs	An annual review of the appointment of the Parish Council's internal audit procedures to be undertaken in March/April to ensure the appointed internal auditor is eligible and competent to undertake the internal audit.	PC's Finance Group	
Inadequate insurance	Low Risk of occurrence/High impact if occurs	Detailed valuation carried out in 2018. Annual review, prior to renewal.	Finance Group and full PC meeting	Annual review prior to renewal.
PC land property and events				
Swarland Square and bus shelter	Low Risk of occurrence/High impact if occurs	Periodic check of safety, public use, car parking etc Prompt reporting to NCC, and ensure adequate procedure for PC to address any urgent repairs, remedies etc re its own liabilities	Clerk	The Square is Adopted by NCC as Highway, and the bus shelter is on highway verge, so few liabilities on PC. PC still liable for its property thereon, eg flag pole, seats, planter and bus shelter.
Vyner Park	Low Risk of	Ensure Vyner Park Committee and	Regular	Note that the VPC is

	occurrence/High impact if occurs	its licensees are operating appropriate risk management systems	feedback to full PC meetings	part of the PC's sub-structure, and so the risks are not strictly 'externalised'
Swarland Village Hall	Low Risk of occurrence/High impact if occurs	Ensure Swarland Village Hall Cttee operating appropriate risk management systems	Periodic feedback to full PC meetings	
Felton cemetery and Davidson's obelisk	Low Risk of occurrence/High impact if occurs	Ensure Felton as lead-PC are operating appropriate risk-management system	Periodic feedback to full PC meetings	Risks largely carried by Felton PC, but our PC retains a degree of liability
Newton on the Moor Remembrance Day at NotM and Felton Memorials.	Low Risk of occurrence/High impact if occurs	Undertake plan at PC's September meeting, and brief/communicate with key participants in accordance with checklist of actions held by Clerk.	PC meeting	Not a high 'physical' risk, but main risk is PC's reputation if event does not run smoothly.