

## BURTON GREEN PARISH COUNCIL RISK MANAGEMENT POLICY

No. Description of risk

Numerical assessment pre-  
mitigation

Likelihood Impact Score Colour

Mitigation or control

### Business Continuity

1	Incapacity/absence of the Clerk	2	5	10	G	Designate a person to temporarily act as Clerk in an emergency.
2	Resignation of the Clerk	2	5	10	G	Undertake succession planning.
3	Loss or theft of/inability to access records	2	5	10	G	All old copies prior to electronic use are deposited with the Warwickshire County Records Office. All electronic minutes are held on the Council's website. Data is backed-up on the Cloud and an external hard drive.
4	Security breach of home office	2	5	10	G	Office equipment: insured. Anti-virus software installed, password protected. Digital back up of data – data backed up onto hard-drive and cloud on a monthly basis. Personal data stores in locked filing cabinet.
5	Failure to retain or secure the necessary number of members for a Council	2	4	8	G	Clerk to maintain a Councillor Attendance Register. Advertise for an election immediately a vacancy exists. Co-opt Members where no election is held.

### Ensure compliance with an Act of Parliament, Financial Regulations and Code of Conduct

6	Lack of knowledge of regulations and codes	2	5	10	G	Ensure that all Councillors are provided with relevant information. Code of Conduct, Standing Orders and Financial Regulations are in place and renewed when new versions issued by NALC. Clerk to highlight essential parts and arrange training where relevant.
7	Absence of Standing Orders	2	5	10	G	Ensure that Standing Orders are adopted by the Council, understood by Councillors and reviewed annually.
8	Action by the Parish Council outside its powers laid down by Parliament	2	4	8	G	Clerk to monitor relevant legislation and report to Council
9	Lack of commitment to regulations and procedures	2	5	10	G	Clerk/RFO is CiLCA qualified. Cllrs attend recommended training.
10	Items purchased without proper tendering procedures, not providing value for money or resulting in accusations of commercial favouritism	2	3	6	G	Parish Council to follow procedures defined in Financial Regulations
11	Lack of control of signatories to cheques	2	5	10	G	Two Councillors as authorised signatories
12	VAT not properly accounted for, resulting in overclaims and large demands from HMRC.	2	4	8	G	VAT paid recorded in Accounts. Ensure appropriate VAT publications are held and that Clerk has good knowledge of the regulations. VAT126 claims submitted annually.
13	Notice of meeting	2	4	8	G	Dates of the year's meetings are permanently displayed on the Council's website and noticeboards. Meeting Agendas are displayed on the noticeboards and on the Council's website giving the required notice of each meeting.
14	Approval of minutes	2	4	8	G	Minutes are approved at the next meetings of the Council and Committees. Draft minutes are shared with Councillors and displayed on the Council's website and noticeboards no later than two weeks after a meeting.

15	Register of interests	2	5	10	G
16	Security of data (IT systems and support)	2	5	10	G
17	Freedom of information	2	5	10	G
18	Payments made without prior approval and adequate control	2	4	8	G

#### Governance and Management

19	Engagement by Members in the operation and activities of the Parish Council	2	5	10	G
20	Impact of Public spending cuts	3	5	15	A
21	Lack of engagement by Councillors and Residents on major items of public interest	2	5	10	G
22	Lack of knowledge by Councillors on their role, responsibility and accountability	3	5	15	A
23	Indaequate insurance cover for members and Clerk	2	4	8	G
24	Lack of appropriate financial controls and reporting	2	5	10	G
25	Lack of engagement/knowledge of residents concerns and views	3	5	15	A
26	Use of funds not in accordance with residents wishes	2	5	10	G
27	Lack of commitment by Members to the budgetary process	2	4	8	G

Councillors are required to declare an interest in any item of business and this is recorded in the Minutes. Completed Register of Interests forms are submitted to the Monitoring Officer.
Confidential documents are stored in a locked filing cabinet, at a private property.
The Council has adopted the ICO model scheme.
Ensure that all payments are approved in Council meetings and recorded in Minutes. Prior payments are made in accordance with Financial Regulations and approved by the Chairman and Vice-Chairman.

Take every opportunity to publicise the role of the Parish Council through the village newsletter, noticeboards and Council website. Use key issues to raise profile of Parish Council and to test parishioners views. Publish Councillors contact details on the Website
All Councillors to be made aware that priorities must be set on the basis of the financial capacity of the Parish Council to deliver. Parish Council to maintain sufficient General Reserves.
Ensure publicity through The Bugle newsletter, Council noticeboards and website.
Councillors attend recommended training courses.
Review Risk Assessment by including on Agenda of Parish Council meetings at least annually. Ensure a Risk Assessment is carried out for all new assets and appropriate insurance cover implemented.
As defined in the Council's Financial Regulations and System of Internal Control Policy. Clerk to ensure that receipts and payments are promptly and accurately recorded. All invoices to be checked and reported to next Finance and General Purposes Committee meeting. Clerk to balance accounts against bank statements monthly. Clerk to produce up to date reports at all Finance and General Purposes Committee meetings. Internal Control checks carried out by designated Councillor and recorded in the minutes. Internal and External Audit reports to be made available to all Councillors and any
Public Participation sessions are held during each Council meeting. Use is made of the village newsletter, Council website and noticeboards.
All financial decisions listed on Agendas and decisions minuted. Residents views on key spending decisions recorded during Annual Parish Meetings and via surveys
Include regulations in Standing Orders issued to all Councillors. Finance & General Purposes Committee prepared draft budget during Nov/Dec/Jan for recommendation to the Full Council in the January meeting. All Councillors are involved in the budgetary process, not solely the Clerk. The approved Budget for Expenditure is published in the minutes

28	Failure to ensure that the annual precept results from an adequate budgetary process.	3	4	12	A
29	Inadequate internal controls with regard to monitoring expenditure	2	4	8	G
30	Election costs	2	3	6	G
31	Reserves too high/low	2	2	4	G
32	Failure to ensure that all employees are paid in accordance with Council regulations and are adequately monitored	2	4	8	G
33	Failure to ensure that year end accounts are correctly prepared	2	4	8	G
34	Failure to identify, value and maintain all assets of the Parish Council, and ensure that asset and investment registers are complete	2	5	10	G
35	Adoption and implementation of appropriate Government legislation	2	5	10	G

Start consideration of budgetary process at least two months prior to submission date of Precept. Draft budget prepared by Clerk/RFO for consideration by the Finance and General Purposes Committee. prior to approval by the Full Council.
Internal Control Checks are carried out every three months by a designated Councillor to ensure effective financial management by Clerk/RFO.
In an election year, estimated costs obtained from the Electoral Officer and included in the budget. In other years the Council provides a sum within its working balance to meet possible by-election costs.
Council adheres to Financial Reserves Policy.
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.
Internal Control checks and Financial Reports are considered in monthly Finance and General Purposes Committee meetings.
The Clerk maintains a record of all assets for which the Parish Council is responsible and include in year end accounts. Arrange for professional valuation where appropriate.
Clerk to provide details of the appropriate legislation. Councillors review liabilities and responsibilities periodically at Parish Council meetings.

#### Physical Asset Management

1	Loss or theft of assets	2	5	10	G
2	Failure to maintain assets	2	5	10	G

All assets are covered by insurance policy and Public Liability insurance cover. An asset register is maintained by the Clerk and updated at the time assets are added or removed.
Public Liability insurance held. Professional inspections carried out on mature trees bi-annually or more frequently if issues identified. Bus shelters: cleaned quarterly, repaired as required. Notice boards: checked regularly, repaired as required. Red Lane playground - weekly visual inspections, quarterly Operational Inspections and Annual Safety Inspections maintenance carried out when required. Health & Safety visual inspections carried out on all physical assets annually.

#### Size of risk

Descriptor	Likelihood	Impact
1	2% likely to happen	Very low
2	5% likely to happen	Low
3	10% likely to happen	Moderate
4	20% likely to happen	High

**Signed** Cllr Marshall

**Date** 16th March 2026

**Review** Mar-27

|5 |50% likely to happen |Very high |

**Risk score**

0 - 10	Low
11 - 15	Medium
>15	High