

Trimley St Martin Parish Council

Risk Assessment

Topic	Risk Identified	High/Medium /Low	Management of Risk	Review/Assess/Revise
Precept	Not submitted	L	RFO to follow up if confirmation email of receipt is not forthcoming from East Suffolk Council. If no form is submitted, the previous year's precept will be rolled over.	Reviewed Annually.
	Not paid by District Council	L	RFO to monitor accounts and follow up with DC if required.	Reviewed Annually.
	Adequacy of precept	L	Budget and precept prepared and agreed at full Council. Monthly review of outturn are received by full council. Regular budget monitoring reports provided to full council.	Outturn report received monthly. Regular budget monitoring reports issued throughout the year.
Salaries	Wrong salary paid	M	Check contract and hours worked. Check with SALC.	Salary payments processed by SALC using their paid service. Payslips presented to full council monthly. Queries taken up with SALC.
	Wrong hours paid	M	Confirm hours worked and query with SALC.	Salary payments processed by SALC using their paid service. Payslips presented to full council monthly. Queries taken up with SALC.
	Wrong rate paid	M	Verify salary scale and agreed pay-rate information given to SALC for processing.	Salary payments processed by SALC using their paid service. Payslips presented to full council monthly. Queries taken up with SALC.

	PAYE administered wrongly	M	Confirm pay-codes with SALC	Salary payments processed by SALC using their paid service. Payslips presented to full council monthly. Queries taken up with SALC.
Payments for goods/services	Goods not supplied	L	System in place to check delivery/service. Full audit trail followed.	Checks on service delivery carried out as required.
	Invoice incorrectly calculated	L	Check calculations	Check calculations
	Cheque/Invoice payable incorrect	L	Signatory, initial etc – invoice/stub	Invoices checked against bank statements and cheque payments monthly. Invoices and stubs initialled.
Election Costs	Invoice at agreed rate	L	RFO check	RFO to verify when circumstances arises.
Reserves	Adequacy	L	General and earmarked reserves considered at budget setting.	Annual Check. Reserves check throughout the year.
Assets	Loss or damage	L	Insurance and Asset Register updated annually.	Annual checks
	Third party risk	L	Review adequacy of Public Liability Insurance	Annual checks.
Staff	Loss of Clerk	M	Reserve fund held to cover cost of appointment and cover	Annual review
	Fraud by staff	L	Fidelity guarantee value reviewed annually	Annual review
Maintenance of Assets	Poor maintenance of assets	L	Condition of noticeboards checked monthly on posting of notices. Risk of vandalism to the two bus shelters owned by the Council – cleaner of shelter asked to report any damage	As required. Shelters checked monthly or more frequently.

Legal Powers	Illegal activity or payment	L	Councillors trained in relation to their legal powers. Legal authority under which payments are made recorded in the meeting minutes.	Training – on appointment of new councillor, and refresher courses offered. Legal authority of payments recorded monthly.
Financial Records	Inadequate Records	L	Internal controls in place and reviewed separately.	Records of all payments for financial year to date of meeting available for inspection at each monthly meeting.
	Loss of Records	L	Back-ups taken on a monthly basis	
	Access to bank records	L	Online access allows for viewing of account only	Password to be changed at regular intervals. Password to be kept securely.
Council Records	Unauthorised access to records held on council's laptop.	L	Password renewals to be undertaken at regular intervals and/or if any concerns of breach of information.	At regular intervals or as/when required.
	Loss of records	L	Back up hard disk held securely in Clerk's home	Back up monthly.
Minutes	Failure to ensure records are accurate and legal	L	Reviewed at next meeting and signed by Chairman.	Monthly (or at next meeting)
Meetings	Failure to post notices 3 clear days prior to meeting	M	All notices posted 3 clear working days before meeting on noticeboards and website.	Monthly. Chairman will make enquiries if documents are not received.
	Risk of personal injury	M	Ensure that standards are being maintained at the Memorial Hall, and that the council has appropriate insurance cover.	Clerk to ensure no slip or trip hazards before admitting members and the public to the Hall. Insurance cover reviewed annually.
Members Interests	Conflict of Interest	L	Opportunity to declare interest in item on the agenda offered at each meeting. Councillors asked to update entries on the East Suffolk	Changes to be recorded within 28 days of change.

			Council site when a change takes place and to conduct a routine check on an annual basis.	
Investment	Loss of invested funds	L	No invested funds aside from those held in bank accounts	
Website/Social Media	Placing of information online that may place people at risk	L	Clerk to ensure that no personal details other than those of the councillors and clerks are placed on the website without the permission of the individuals concerned. Information relating to persons no longer living and offered for inclusion in the context of local history, to be considered carefully by the Clerk on an individual basis.	As required – website and social media kept under scrutiny and comply with relevant policies.
GDPR	Failure to observe the requirements of GDPR	M	Evaluate the requirements in line with the GDPR toolkit provided by NALC and adopt procedures as recommended. Data Protection Officer to be appointed and advice and guidance to be followed.	To be determined when information to hand. Checks to be made in line with the recommendations of the Data Protection Policy.