FRAMWELLGATE MOOR PARISH COUNCIL – CORPORATE RISK ASSESSMENT

Review June 2026

Details

Policy	Adopted	Author
Corporate Risk Assessment	February 2024	Clerk

Version

Date	Ref	History	Revised by
20/02/25	V1		John Turnock
18/03/25	V2	Update for financial year end	John Turnock
27/05/2026	V3	Update for start of new financial year	Craig Eddon

Review

Review	Last Review	Next Review	Principal Reviewer
Annually	June 2026	March 2027	Clerk

Mission Statement of Framwellgate Moor Parish Council:
To provide services for and manage and maintain the assets of the villages Framwellgate Moor, Pity Me and Brasside provided by the annual precept and other incomes; to involve local people in shaping the future of their community to ensure a better quality of life for everyone now, and in generations to come; taking into account the wishes of the residents and obtaining value for money.

Preliminary Notes

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the employer to identify all potential risks inherent in the place or practices. The employer should then take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible. This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimize them. In conducting this exercise, the following plan was followed:

- Identify the areas to be reviewed.
- Identify what the risk may be.
- Evaluate the management and control of the risk and record all findings.
- Review, assess and revise if required.

The Corporate Risk Register shall be reviewed annually by Full Council and the review recorded in the Council minutes.

The Parish Council Resolved to accept this Risk Assessment and the resultant actions, at the meeting held on the 3rd June 2026.

Aim	Risk	Method used to Minimise Risk	Person(s) Responsible
1. Business Continuity	1. Incapacity of Clerk	Designate a person to temporarily act as Clerk in an emergency.	All Members

	2. Loss or theft of records **3.** Failure to retain or secure the necessary number of Members to for Council	All old copies of Minutes prior to electronic use are deposited with the County Records. All minutes from Jan 2014 are held on the Council's website. All records are backed up weekly to a suitable electronic devise. This device to kept remote from main device. A current project is underway with Netpower internet provider that documents will be backed up to iCloud storage Maintain an up-to-date attendance register. Advertise for an election immediately a vacancy exists. Co-opt Members where no election held	Clerk Clerk Clerk Clerk/ Councillors All Members
2. To ensure compliance with the Acts of Parliament, Council's financial regulations and code of conduct.	1. Lack of knowledge of regulations and codes. 2. Absence of standing orders 3. Actions by the Parish Council outside its powers laid down by Parliament.	Ensure that all Councillors have available relative Acts. That a Code of Conduct, Standing Orders and Financial Regulations are in place. Highlight essential parts and provide training where relevant. All councillors following May 2025 elections will be issued with their own copies of the above documents Ensure that Standing Orders are produced, adopted by Council, understood by Councillors, and reviewed annually. As at 2.1 above but ensure that powers	Clerk Chair Clerk Chair

	4. Lack of commitment to regulations and procedures.	are highlighted or extracted into effective summary. Regular reference to appropriate regulations in agenda items. Delegation of responsibilities to individual councillors.	Clerk Chair
	5. Items purchased without proper tendering procedures not providing value for money or resulting in accusations of commercial favouritism.	Ensure that all councillors are aware of regulations re budgetary control and tender procedures. Introduce practice of estimates for all purchases over a figure agreed in the financial regulations.	Clerk Chair All Members
	6. Payments made without prior approval and adequate control.	Ensure all payments are approved in Council meetings and recorded in minutes. Where prior payment is required, this is approved by the Chair or Vice Chair. Keep cash payments to a minimum and avoid if possible.	Clerk Chair
	7. Lack of control of signatories to cheques and approval of Internet Banking transactions.	No payments are made by council cheques. The Clerk to arrange the payments via online banking and one Councillor to authorise BACS payments.	Clerk
	8. VAT not properly accounted for, resulting in overclaims and large demands from C&E.	Ensure appropriate publications held and that Clerk has good knowledge of regulations. VAT return to be produced	Clerk

		on a quarterly basis.	
	9. Notice of meeting	A notice of meeting, including the agenda are placed on the notice boards around the parish area, and on the Council's, website giving the required notice for each meeting.	Clerk
	10. Approval of minutes	Minutes are approved at the next meeting of the Council. A copy of the minutes is displayed on the Council's website by no later than one month from the meeting.	All Members Clerk
	11. Register of Interests	Members are required to declare an interest in any item of business, and this is recorded in the minutes. Completed 'Register of Financial & Other Interest' Forms are submitted to the Monitoring Officer and regularly reviewed. Confidential documents are held in a locked cupboard. The use of secure storage is currently being explored with Internet provider. The Council has adopted the model scheme and registered this with the Information Commissioner.	All Members Clerk All Members Clerk Clerk

3. To identify and regularly review the Council's priorities.	1. Lack of knowledge of how to set objectives, set priorities, and identify risks to their achievement. 2. Lack of commitment by Council Members 3. No risk analysis carried out. 4. No steps taken to combat identified risks.	All councillors to be made aware of need for objectives and identification of risk. Attend training sessions if practicable. Add risk assessment to agenda at least annually, reviewing items, and results against those items. As at 3.1 above. Ensure that completion of the risk assessment is given high priority, as a requirement of the Audit Commission As at 3.2 above.	Clerk All Members Clerk Chair Clerk Chair All Members
4. To influence Government and other organisations to fulfil the requirements of the Parish population.	1. Lack of effective lines of communication with other organisations. 2. Lack of effective lines of communication with parishioners. 3. Lack of preparation on	Note all communication lines that are essential or beneficial and make information available to Councillors. Establish contacts by name and where possible face-to-face. Take every opportunity to publicise role of Parish Council through Parish newsletters. Effective use of Notice Boards and "fliers". Effective use of Webpage – work currently ongoing to develop a more professional website where updates are automatic. Create Parish plan using parishioners'	Clerk Clerk All Members Chair All Members

	subjects requiring influence. 4. Lack of confidence by Parish Councillors.	views from detailed questionnaires and public meetings. New plan to be produced once new council sworn in after May elections. Use key issues to raise profile of Parish Council and to test parishioners' views. Ensure that all Councillors are aware of need for careful research and are guided as to where to obtain relevant information on issues under discussion. As at 4.1 above. Experienced councillors to assist newcomers and provide relevant training where necessary.	Chair Chair/Clerk Councillors
5. To ensure that all councillors are aware of their responsibilities, and possible liabilities, and to provide adequate insurance cover for all possible risks.	1. Lack of knowledge of possible culpability of Councillors. 2. Lack of education of Councillors regarding culpability. 3. Adequate insurance cover taken out – property, personal liability, employer's liability.	Creation of standing orders and familiarisation with those where greatest risk occurs. As at 5.1 above. Delegate responsibility to one or two experienced Councillors to assist newcomers to understand culpability. Attend any training courses available. 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 considered.	Clerk Chair All Members All Members All Members
6. To keep appropriate books of account	1. Lack of knowledge of accounting requirements	Ensure that all Councillors are familiar with current financial regulations and	All Members

accurately and up to date throughout the financial year.		include them in standing orders. Regularly review standing orders.	
	2. Lack of commitment to accounting requirements.	As at 6.1 above. Clerk to produce up to date financial reports quarterly. Internal and External audit reports to be made available to all Councillors and any recommendations to be acted upon promptly.	All Members Clerk Clerk
	3. Bank charges unnecessarily incurred.	Clerk to reconcile accounts against bank statements monthly	Clerk
	4. Inaccuracies in recording amounts, totals in books of account, and bank reconciliations.	Clerk to ensure that books of account are formatted in such a way that internal controls are included and activated. Council member to assist Clerk to ensure complete transparency, for both clerk and council.	Clerk Internal Auditor Clerk
	5. Banking	Annual internal audits to advise on internal controls required. All banking's and drawing of cheques to be in accordance with Section 5 of Financial Regulations	Clerk Clerk
	6. Inaccuracies and interest losses caused by account transfers.	Keep number of accounts to a minimum but ensure that any large credit balances are deposited in an interest-bearing account.	Clerk
	7. The most beneficial		Clerk

	interest terms not being employed.	Ensure that favourable interest rate is obtained in deposit accounts and review against alternatives but bearing in mind the risks in changing accounts.	
	8. Inadequate control of cash receipts and payments.	Avoid cash payments and receipts if possible. Where cash payments and receipts are unavoidable use a properly controlled Debit Card linked to cash account with a set maximum balance. Clerk has designated approval up to £1000	Clerk
	9. Books of account not kept up to date/ invoices not posted promptly.	Regular weekly/monthly update of accounts by Clerk. Financial reports at quarterly Parish Council meetings.	Clerk
	10. Internal controls not in place or not operated.	As at 6.8 above.	Clerk
	11. Payments missed or delayed due to inadequate filing of invoices.	As at 6.8 above. All invoices to be checked and filed as pending on receipt and reported to next Parish Council meeting.	Clerk
7. To ensure that payments made from council funds and the use of assets, represent value for money, are adequately managed, and comply generally with the wishes of the residents	1. Lack of knowledge of wishes of residents.	As at **3.**2	All Members
	2. Use of funds not giving value for money.	Effective budget planning processes.	All Members
	3. Use of funds not in accordance with the wishes of the residents	Creation of annual plan from parish plan and any consultation process. Creation of outline 2/3-year plan.	All Members

	4. Charges for use of facilities inadequate.	As at 7.2 above	All Members
	5. Fund raising not properly controlled or not in accordance with regulations.	Appointment of RFO (Clerk) to create effective financial management. Effective financial management and prompt collection by RFO. Internal audit checks.	All Members
		All Councillors to be aware of need to check regulations before commencing fund-raising activities.	All Members
		Effective financial management by RFO.	Internal Auditor All Members Clerk
8. To ensure that the annual precept requirement results from an adequate budgetary process; progress against the budget is regularly monitored; and reserves are appropriate.	1. Lack of knowledge of budgetary process, and Council regulations.	Include regulations in Standing Orders issued to all Councillors.	All Members
		Place item on agenda early in year to remind councillors of budget process and actions required.	Clerk
		Delegate responsibility for managing budgetary process to a Finance Working Party (Finance & Governance working group) appointed by the Council.	All Members
	2. Lack of commitment to budgetary process.	As at 8.1 above	All Members
		Involve all Councillors in budgetary process not solely the Clerk.	All Members
	3. Inadequate consideration of	As at 8.1 above	All Members

	requirements for annual precept.	Start consideration of calculation at least 4 months prior to submission date. Create annual and 2/3-year plans to assist in process.	All Members All Members
	4. Calculation not in accordance with Council regulations.	Checks by RFO and Internal Auditor.	Clerk
	5. Inadequate internal controls regarding monitoring expenditure.	Checks by RFO and Internal Auditor. Financial and budget progress reports to all Parish Council meetings.	Clerk Clerk
	6. Election Costs	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 possibly by-election costs.	Clerk/All Members All Members
	7. 7. Reserves too low.	If necessary, arrange instalment payment plan with Principal Authority As at 8.5 above.	Clerk All Members
9. To explore all possible sources of income, and to ensure that expected income is fully received.	1. Lack of knowledge of possible sources of income e.g., grants, funding streams.	Work closely with local association and residents' groups to gain experience of all grants/funds available and application procedures.	Clerk All Members
	2. Lack of commitment to pursue possible sources of income.	As at 9.1.	Clerk All Members

	3. Non receipt of sums claimed.	All applications and approvals reported through minutes to create an audit trail.	Clerk
	4. Receipts not banked or not banked promptly.	Financial and budget progress reports to all Parish Council meetings.	Clerk
		Internal audit checks.	Internal Auditor
	5. Debts not pursued promptly.	As at 9.3 above.	Clerk
	6. VAT claims not made promptly or made incorrectly.	Ensure Clerk has appropriate and up-to-date VAT official publications.	Clerk
		Financial and budget progress reports to all Parish Council meetings.	Clerk
		Internal audit checks.	Internal Auditor
10. To ensure that salaries paid to employees and amounts paid to contractors are paid in accordance with Council regulations, and adequately monitored.	1. Inappropriate rate of pay to employees.	A contract of employment and job description and person specification is agreed for the Clerk and all employees.	All Members
		Ensure employee regulations are available and understood by Clerk.	Clerk/Chair
		Financial and budget progress reports to all Parish Council meetings.	Clerk
		Terms and conditions are agreed in the minutes.	All Members
		No additional payment without Council approval	All Members
	2. Tax and NI arrangements not in	Liability reported through Council Minutes.	Clerk

	accordance with regulations.	Internal audit checks	Clerk Internal Auditor
	3. Amounts paid to contractors not in accordance with contract and inadequately monitored.	As at 10.1 above. Financial and budget progress reports to all Parish Council meetings. Appoint Councillor to monitor contract work carried out. Internal audit checks	Clerk All Members Internal Auditor
11. To ensure that year end accounts are prepared on the correct accounting basis, on time, and supported by an adequate audit trail.	1. Lack of knowledge of Council regulations and procedures.	Include financial regulations in Standing Orders. Attend training seminars where available.	All Members Clerk
	2. Late or non- submission of annual accounts.	Include a timetable in Standing Orders/Financial Regulations. Financial and budget progress reports to all Parish Council meetings.	Clerk
	3. Yearend accounts not prepared, inaccurate, or not in accordance with Council requirements.	Financial and budget progress reports to all Parish Council meetings. Internal audit checks	Clerk
	4. Inadequate audit trail from records to final accounts.	As at 11.3 above.	Internal Auditor
	5. Failure to comply with	Annual AGAR timetable. Internal audit	Clerk

	AGAR/public rights statutory requirements	review. Publication checklist. Statutory date monitoring. Website publication evidence retained.	Internal Auditor
12. To identify, value, and maintain all the assets of the Parish Council, and ensure that asset and investment registers are complete, accurate and properly maintained.	1. Lack of knowledge of assets of Parish Council.	Ascertain and record all assets for which Parish Council is responsible. Create permanent asset register and include in final accounts.	All Members Clerk
	2. Assets lost or misappropriated.	Establish who is responsible for security and maintenance of each asset. Appoint Councillor responsible for regular monitoring of location and use of assets.	All Members All Members
	3. Inadequate or inaccurate valuation of the Council's assets.	Arrange for periodic review of valuations and arrange for professional valuation where necessary. Internal audit checks.	Clerk Internal Auditor
	4. Asset register not established or inadequately maintained.	Create asset register in accordance with Audit Commission requirements.	Clerk
13. To comply with appropriate Government legislation regarding disability, racial equality, safeguarding children etc.	1. Lack of knowledge of applicable legislation	Clerk to have all appropriate legislation available. Review liabilities and responsibilities periodically at Parish Council meetings.	Clerk All Members
	2. Lack of public awareness of applicable legislation.	Include, as appropriate, in any public consultations.	All Members

	3. Failure to comply with applicable legislation.	As at 13.1 above	Clerk All Members
14. To carry out adequate safety checks on all buildings, properties, and equipment for which the council is responsible.	1. Lack of information on properties, buildings, and equipment. 2. Lack of knowledge of safety requirements or commitment to carrying out safety checks. 3. Vandalism 4. Public injury	Ensure that all current legislation and advice is held by Clerk. Include in asset register all properties and assets for which Parish Council is responsible. Ensure all assets and details of all risks are adequately detailed with insurance company. Ensure that all current legislation and advice is held by Clerk. Weekly inspections Annual inspections Maintenance records SLAs in place and renewed annually Insurance cover	Clerk Clerk Clerk Clerk Groundsmen Clerk All members
15. To ensure business at meetings is conducted in accordance with Standing Orders and decisions of the Council implemented.	1. Meeting efficiency 2. Council decisions not implemented.	Chair to manage according to Standing Orders. Ensure Chair has been provided with training & guidance. Members to adhere to Code of Conduct Review minutes for confirmation of actions at Council meetings	Clerk All Members Chair All Members

16. Information Technology, Data and Cyber Security	1. Cyber attack/phising 2. Loss of electronic records 3. GDPR breach 4. Loss of Clerk access 5. Website non-compliance 6. User of personal emails 7. Website accessibility non-compliance 8. Transparency publication failures 9. Outdated statutory information 10. Failure to respond to FOI/SAR requestions 11. Over retention of personal data 12. Insecure storage	IT policy, awareness iCloud back up via Net Power creative Policies/training Shared credentials continuity Annual review Encourage use of council emails Annual website review Annual website review Annual website review Retention policy Clerk oversight Secure storage	Clerk, All members Clerk Clerk, All members Clerk Clerk All members Clerk Clerk Clerk Clerk Clerk Clerk
17. Reputational Risks	1. Councillor conduct 2. Transparency and	Councilors must comply with the Code of Conduct Complaints handled through appropriate procedures Register of Interests maintained and updated Agendas and minutes published	Clerk, all members Clerk, all

	Publication	monthly. Policies and statutory documents available on the website Public rights and AGAR documents published on time	members
	3. Professional Communications and Complaints Handling	Clerk manages official communications on behalf of the council Complaints dealt with through adopted procedures Clerk records complaints and responses Escalation to Council where appropriate IT/Email policy in place Social media and correspondence handled professionally	Clerk, all members
	4. Financial Governance	Internal and external audit Financial Regulations followed Payments approved and minuted Regular bank reconciliations and budget monitoring	Clerk All members Internal auditor External auditor
	5. Training and Advice	Clerk and councilors access NALC/CDALC guidance Training undertaken where appropriate Professional advice sought when required	Clerk All members
	6. Safeguarding and Public behaviour	Risk assessments completed Insurance maintained Incident reporting procedures followed Health & Safety inspections undertaken and acted upon GDPR policies in place	Clerk All members

	7. Data Protection and GDPR	Secure handling of personal information Secure storage and password controls Data breaches reported appropriately	Clerk All members

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