

Fenton & Torksey Lock Parish Council - Risk Management - February 2026

Review 3 - June 2026

RISK ASSESSMENT

Aim	Risk	Actions to Minimise Risk	Person(s) Responsible	Risk Level pre Action	Risk Level post Action	Current Level
1. COUNCIL PROCEDURES						
To ensure compliance with the law and the Parish Council Code of Conduct, Financial Regulations and Standing Orders	1.1 Ignorance of requirements	Ensure that all Councillors are kept aware of legislative requirements, and are provided with copies of the Code of Conduct, Financial Regulations and Standing Orders	Clerk to the Council	7 - High	2- Low	2- Low
	1.2. Out of date Standing Orders, Code of Conduct and Financial Regulations/Policy	Ensure that Standing Orders, Code of Conduct and Financial Regulations are reviewed annually	Clerk to the Council and Councillors	7 - High	2- Low	2- Low
	1.3. Ultra vires action	Ensure that the Clerk has access to relevant publications & is suitably trained	Clerk to the Council and Councillors	7 - High	2- Low	4 - Medium
		All actions minuted & approved monthly.	(As above)			
	1.4. Lack of commitment to procedures and legal requirements	Ensure Councillors each have a copy of Standing Orders, Code of Conduct and Financial Regulations and that they are understood by all.	Clerk to the Council and Councillors	9 - High	2- Low	2- Low
	1.5. Payments made without proper authority	Ensure all payments comply with Standing Orders and Financial Regulations	Clerk to the Council/RFO, Councillors & Internal Auditor	7 - High	2- Low	2- Low
		Ensure all payments receive proper approval and appear on schedules. All payments recorded in the minute book. All invoices certified by 2 councillors	(As above)			
1.6. VAT procedures not complied with	Ensure that the Clerk/RFO and at least one Councillor are fully-aware of VAT requirements. VAT returns submitted annually.	Clerk to the Council/RFO and Councillors	4 - Medium	1- Low	4 - Medium	
1.7. Fraud	Ensure an adequate system of internal audit, both within the Council and by employment an independent internal auditor. Ensure Banking procedures are in place to prevent unauthorised activities.	Clerk to the Council/RFO, Councillors & Internal Auditor	9 - High	2- Low	4 - Medium	
2. ACHIEVE OBJECTIVES						
To identify and regularly review the Council's priorities and associated risks	2.1. Lack of knowledge of how to set objectives and identify risks to their achievement	All Councillors to be made aware of the need for objectives and identification of risk. Councillors & Clerk attend relevant training courses	Clerk to the Council and Councillors	4- Medium	2- Low	4- Medium
	2.2. Unsatisfactory reporting mechanism to Council	Ensure that progress against objectives and issues are regularly reviewed through inclusion on agendas	Clerk to the Council and Councillors	4- Medium	2- Low	4- Medium
	2.3. Inadequate review of risk	Ensure that the risk assessment policy document (this	Clerk to the Council and Councillors	7 -High	1- Low	4- Medium

	2.4. Steps not taken to combat identified risks	document) is reviewed annually As 2.3	Clerk to the Council and Councillors	7 -High	2- Low	4- Medium
	2.5. Evaluation of specific risks not properly recorded for future reference	Ensure that evaluation documentation is attached to the risk assessment policy document	Clerk to the Council and Councillors	7 -High	2- Low	4- Medium
3. COMMUNICATIONS						
To carry influence with other organisations in achieving the requirements of the Parish & Communicating with Parishoners	3.1. Lack of effective lines of communication with other organisations	Establish a relationship and dialogue with relevant organisations. Invite relevant organisations to present reports to Annual Parish Meeting	Clerk to the Council and Councillors (As above)	5- Medium	2- Low	2- Low
	3.2. Lack of effective lines of communication with Parishoners	Publicise Agendas & Minutes, and communicate initiatives and matters of importance in Newsletters, on Facebook, on the Parish Website and on Parish Noticeboards.	Clerk to the Council and Councillors	5- Medium	2- Low	4- Medium
		Publicise Annual Parish Meeting across all communication platforms.	(As above)			
	3.3. Lack of preparation on subject matters.	Ensure Councillors are aware of the importance of research and where to look for information	Clerk to the Council and Councillors	5- Medium	2- Low	5- Medium
	3.4. Lack of confidence in Councillors	Establish a relationship and dialogue with relevant organisations.	Clerk to the Council and Councillors	5- Medium	2- Low	5- Medium
		Experienced Councillors to assist newcomers to establish contacts	Councillors	5- Medium	2- Low	5- Medium
	3.5 Inappropriate communication	Ongoing training for new and existing Councillors	Councillors	5- Medium	2- Low	5- Medium
Ensure Clerk/RFO and all Councillors are aware of Code of Conduct & Communication Policy, and are in receipt of copies and how they apply to themselves.		Clerk to the Council and Councillors	6- Medium	2- Low	4- Medium	
3.6 Website management	Ensure Clerk plus at least one Councillor is trained in the basics of the Website administration	Clerk to the Council and Councillors	7 - High	2- Low	7 - High	
4. INSURANCE						
To ensure that all Councillors are aware of their responsibilities and possible liabilities, and to provide adequate insurance cover for all possible risks	4.1. Lack of knowledge of possible culpability of Councillors	All Councillors to be made aware of the need to read and understand Standing Orders and Financial Regulations.	Clerk to the Council and Councillors	5- Medium	2- Low	5- Medium
		Attend relevant training courses	(as above)	5- Medium	2- Low	5- Medium
	4.2. Inadequate insurance cover	Review risk on a annual basis. Public liability to £12m Employers £10m Ensure all assets are listed	Clerk to the Council/RFO/ Councillors Internal Auditor annually	7 - High	1- Low	1 -Low
5. ACCOUNTS						
To keep appropriate books of account accurately and up-to-date throughout the financial year	5.1. Lack of knowledge of accounting requirements	Ensure that the Clerk/RFO is properly trained and all Councillors are made aware of the need to read and understand Standing Orders and Financial Regulations	Clerk to the Council/RFO and Councillors	8- High	2- Low	2- Low

Financial year		understand Standing Orders and Financial Regulations.				
	5.2. Lack of commitment to accounting requirements	As at 5.1 Schedules of payments and bank reconciliation statements to be submitted to every ordinary meeting.	Clerk to the Council/RFO and Councillors	8 - High	2- Low	2- Low
		Internal Audit reports to be reported to Council and acted on.	Councillors and Internal Auditor (as above)	8- High	1 Low	5 - Medium
	5.3. Bank charges unnecessarily incurred	Bank reconciliation to be carried out monthly. Periodic internal audit by Councillors	Clerk to the Council/RFO and Councillors	5 - Medium	1- Low	1- Low
	5.4. Failure to attract Bank Interest	As at 5.3. Monies to be held in Savings account with minimal held in Current Account	Clerk to the Council/RFO and Councillors	7- High	2 - Low	2 - Low
	5.5. Failure to attract best interest rates	Review banking arrangements periodically	Clerk to the Council/RFO and Councillors	3- Low	1- Low	1- Low
	5.6. Inadequate control of cash receipts and payments	Avoid cash as far as possible, but, where cash is received, ensure that a receipt is issued, that it is counted and signed for as per Financial Regulations, and the cash is banked at the earliest opportunity	Clerk to the Council/RFO, Councillors & Internal Auditor	8- High	2- Low	2- Low
	5.7. Out of date books of account	As at 5.3 Computerised up to date cash book to be maintained	Clerk to the Council/RFO, Councillors & Internal Auditor	9- High	1- Low	1- Low
	5.8. Delay to banking of receipts and payments .	As at 5.3 Income summary provided monthly to Council members Payments to be made within one week of agreement by Council or by Finance Committee.	Clerk to the Council/RFO, Councillors & Internal Auditor Clerk/RFO	9- High	1- Low	1- Low
	5.9. Clerk taken ill or departs suddenly	Contact the SLCC or relevant bodies to request a locum Clerk Contact LALC for any advise Ensure at least one Councillor can cover key functions of Clerk in short term Advertise position through LALC, on Parish Website and Parish Noticeboards	Chairman (as above) Chairman/Councillors Chairman/Councillors	9- High	2-Medium	9- High
6. EXPENDITURE 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 Parishoners	6.1. Lack of knowledge of, and failure to meet, the wishes of residents	As at 3.1 and 3.2. Ensure public consultation on major expenditure	Clerk to the Council/RFO and Councillors (as above)	9 - High	2- Low	7 - High

	6.2. Value for money not being obtained	Ensure effective budget planning process. . Annual budget meeting and monthly monitoring	Clerk to the Council/RFO and Councillors	9 - High	2- Low	7 - High
		Ensure Standing Orders and Financial Regulations regarding contracts to be complied with.	Clerk to the Council/RFO and Councillors			
		Obtain at least three quotes where possible	Clerk/RFO	5- Medium	2- Low	5- Medium
	6.3. Inadequate charges	Effective budget planning process.	Clerk to the Council/RFO and Councillors	7 - High	2- Low	5- Medium
7. BUDGETING To ensure that the annual precept requirements results from an adequate budgetary process, progress against the budget is regularly monitored, and reserves are appropriate.	7.1. Lack of knowledge of budgetary process	Ensure Councillors have access to relevant training Ensure members of the Finance Committee are fully briefed and have knowledge of budgetary process	Clerk to the Council/RFO, Councillors & Internal Auditor	7 - High	2- Low	7 - High
	7.2. Lack of commitment to budgetary process	All Councillors to receive a set or budget working figures and be involved in final sign off of budget.	Clerk to the Council/RFO and Councillors	5- Medium	2- Low	5- Medium
	7.3. Inadequate internal controls with regard to monitoring expenditure	As at 5.2	Clerk to the Council/RFO and Councillors	9 - High	1- Low	1- Low
	7.4. Inadequate reserves	As at 5.3	Clerk to the Council/RFO and Councillors	9 - High	3- Low	7 - High
8. INCOME To explore all possible sources of income and to ensure that expected income is fully received	8.1. Lack of knowledge of possible sources of income, e.g. grants	Ensure that the Clerk and Councillors attend training courses on grant-availability when required Follow up on any communications with potential grant awards Investigate sources of Grant funding	Clerk to the Council/RFO and Councillors (as above) (as above)	4- Medium	2- Low	2- Low
	8.2. Lack of commitment to pursuing grant availability	As at 8.1	Clerk to the Council/RFO and Councillors	6- Medium	3- Low	3- Low
	8.3. Debts not promptly pursued	Periodic checks by Councillors & Internal Auditor	Councillors & Internal Auditor	7 - High	2- Low	2- Low
	8.4. VAT claims not made correctly or promptly	Ensure Clerk is up-to-date with requirements & at least one Councillor is knowledgeable about VAT claims	Clerk, Councillors & Internal Auditor	7 - High	1 Low	5- Medium
	8.5. Bank account not checked regularly	Ensure bank balance is reported monthly and any outstanding income is identified. Bank reconciliation to be done monthly and published.	Clerk to the Council/RFO	7-High	1- Low	1- Low
9. PAYROLL To ensure that salaries paid to staff and monies paid to contractors are paid in accordance with Financial Regulations, are adequately monitored and are made in a timely manner.	9.1. Lack of knowledge of payroll	Ensure Clerk and at least one Councillor is fully trained on Payroll	Clerk & Councillors	9 - High	1- Low	1- Low
	9.2. Incorrect rate of pay to staff	Ensure correct rates applied when setting budget	Clerk to the Council/RFO, Councillors & Internal Auditor	9 - High		1- Low
	9.3. Late payment of salaries	Ensure Bank Standing Orders are in place for regular salary payments.	Clerk & Councillors	9 - High		1- Low

	9.4. Pensions. Tax and NI deductions incorrect	Ensure Clerk to the Council/RFO and at least one Councillor is familiar with requirements.	(as above)	9 - High	1- Low	1- Low
	9.5. Non compliance with tax regulations	Ensure year End annual return filed - HMRC		9 - High	1 - Low	1- Low
	9.6. Incorrect payments to contractors	Periodic review of contractual obligations	Clerk to the Council/RFO and Councillors	9 - High	1- Low	1- Low
10. ANNUAL RETURN To have an understanding of the requirements to complete the Annual Governance and Accountability Return. Ensure required audits are completed and recommendations from previous audits are reviewed. Ensure The Exercise of Public Rights is correctly published with correct timescales.	10.1. Lack of knowledge of Accounts and Audit Regulations	Clerk/RFO and Councillors to attend training courses where appropriate.	Clerk to the Council/RFO and Councillors	9 - High	1- Low	4- Medium
	10.2. Inadequate audit trail from records to final accounts	Ensure that the Clerk/RFO and at least one Councillor is properly trained and understands the Accounts and Audit Regulations	Clerk to the Council/RFO, Councillors & Internal Auditor	9 - High	1- Low	4- Medium
	10.3. Ensure the provision for the Exercise of Public Rights is understood and observed.	Ensure public notices are displayed & accounts available for inspection and on the website	Clerk to the Council/RFO and Councillors	9 - High	1- Low	1- Low
	10.3 Loss of paper records through fire	Ensure all relevant records are kept in firebag	Clerk to Council	9 - High	2 - Low	2 - Low
	10.4 Loss of digital records	Ensure files are regularly backed up onto external storage	Clerk to Council	9 - High	2 - Low	2 - Low
11. ASSETS To identify, value and maintain all the assets of the Council, and ensure that asset and investment registers are complete, accurate and properly maintained	11.1. Lack of knowledge of assets and investments of Council	Ensure that records in existence are maintained and kept up-to-date	Clerk to the Council/RFO, Councillors & Internal Auditor	9- High	2- Low	2 - Low
	11.2. Assets and investments lost or misappropriated	Clerk to monitor any assets, their whereabouts, and report any issues to Council	Clerk to the Council/RFO and Nominated Councillor	9- High	2- Low	2 - Low
		Whereabouts/location of assets to be recorded on Asset Register	Clerk to the Council/RFO	7- High	2- Low	2 - Low
	11.3 Inaccurate valuation of assets and investments	Ensure that annual insurance valuations are reviewed	Clerk to the Council/RFO, Councillors & Internal Auditor	9- High	2- Low	2 - Low
	11.4 Inadequate reserves	Bank reconciliation to be carried out monthly Budget to be evaluated quarterly	Clerk to the Council/RFO and Councillors	7- High	2- Low	7- High
	11.5 Information on land holdings lost or inaccurate	Ensure all records relating to land holdings are safely stored. Where possible in a firebag.	Clerk to the Council/RFO and Councillors	9- High	2- Low	9- High
12. EQUAL OPPORTUNITIES ETC To comply with legislation regarding disability, racial equality, safeguarding children, etc.	12.1. Lack of knowledge of legislation and other requirements	Ensure that relevant legislation, requirements, etc. are known and understood & relevant policies are up to date. Review responsibilities & policies annually	Clerk to the Council and Councillors (as above)	9- High	2- Low	2 - Low
	12.2. Lack of public awareness of requirements	Use Website/newsletter /publications as and when necessary to inform public	Clerk to the Council and Councillors	6 - Medium	2- Low	6 - Medium

<p>13. OPEN SPACES To ensure that the open spaces within the Parish are safe and properly maintained.</p>	<p>13.1. Failure to regularly inspect</p>	<p>Ensure regular inspections of all open spaces are undertaken and findings reported</p> <p>Urgent work to be reported immediately to Clerk (or Chairman in absence of a Clerk)</p>	<p>Clerk to the Council, Burial Clerk and Councillors</p> <p>(as above)</p>	<p>7 - High</p>	<p>3 - Low</p>	<p>6- Medium</p>
<p>14. EQUIPMENT To ensure that Council-owned equipment is in good working order & that it's whereabouts is known.</p>	<p>14.1. Unknown whereabouts of Council-owned equipment.</p> <p>14.2. Failure to regularly inspect for routine maintenance purposes</p> <p>14.3. Failure to carry out any major annual inspections required</p> <p>14.4 Failure to maintain Council-owned equipment</p> <p>14.5. Failure to maintain Parish Defibrillators</p>	<p>Keep record of whereabouts of Parish-owned equipment (Asset register)</p> <p>Ensure regular inspections of all Council-owned equipment is undertaken and findings reported</p> <p>Qualified Company/persons to carry out any annual inspections required</p> <p>Ensure regular servicing and maintenance is undertaken. If appropriate ensure service contracts are in place.</p> <p>Ensure regular inspection of units and ensure maintenance contracts are in place and are undertaken.</p>	<p>Clerk & Councillors</p> <p>Clerk & Councillors</p> <p>Clerk & Councillors</p> <p>Clerk to the Council and handyman</p> <p>Clerk & Councillors</p>	<p>9- Medium</p> <p>7 - High</p> <p>6- Medium</p> <p>6- Medium</p> <p>7 - High</p>	<p>3- Low</p> <p>2- Low</p> <p>2- Low</p> <p>3- Low</p> <p>2 - Low</p>	<p>3- Low</p> <p>2- Low</p> <p>6- Medium</p> <p>6- Medium</p> <p>2- Low</p>
<p>15. STAFF To ensure that staff are employed according to proper recruitment, conditions of service and health and safety requirements</p>	<p>15.1. Failure to ensure that staff are recruited in accordance with correct, fair and unbiased procedures</p> <p>15.2. Failure to ensure that staff are correctly paid and enjoy proper conditions of employment</p> <p>15.3 Failure to address any staffing issues or complaints</p>	<p>Ensure that vacancies are widely advertised with full job descriptions and person specifications.</p> <p>Ensure that staff are paid in accordance with nationally-agreed pay scales (NALC), & are given appropriate contracts of employment based on national models</p> <p>Review contracts of employment periodically</p> <p>Put in place staffing committee to oversee any staffing issues.</p>	<p>Clerk to the Council and Councillors</p> <p>Clerk to the Council/RFO, Councillors and Internal Auditor</p> <p>Councillors</p>	<p>4- Medium</p> <p>4- Medium</p> <p>7 - High</p>	<p>2- Low</p> <p>1- Low</p> <p>2 - Low</p>	<p>2- Low</p> <p>1- Low</p> <p>6- Medium</p>
<p>16. HEATH AND SAFETY</p>	<p>16.1. Failure to ensure proper health and safety provision</p>	<p>Carry out risk assessments for duties to be performed by employees, Councillors and Contractors or events held by the Council.</p> <p>Ensure that staff receive training and instruction in relation to special risk situations.</p> <p>Ensure that staff who use plant and equipment are provided with adequate training to competently use such plant and equipment and any relevant PPE.</p> <p>Ensure that staff are instructed to report accidents.</p> <p>Ensure that staff working from home are working in safe and appropriate conditions.</p>	<p>Clerk to the Council and Councillors & Internal auditor</p> <p>Clerk to the Council and Councillors</p>	<p>7 - High</p>	<p>2- Low</p>	<p>6- Medium</p>

		Ensure staff Health and safety of staff workstation & PC equipment undertaken	(all as above)			
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Fenton & Torksey Lock Parish Council Risk Assessment

Reviewed - February 2026

Next Review: Ongoing

RISK SCALE

1-3 Low Risk

4-6 Medium Risk

7-9 High Risk