

## **Awsworth Parish Council**

### **Risk Management Policy**

The Parish Council is responsible for putting in place arrangements for the management of risk. The Clerk shall prepare, for approval by the council, risk management policy and assessment in respect of all activities of the council. Risk policy statements and consequential risk management arrangements shall be reviewed by the Council at least every three years.

#### **Major Threat**

The greatest risk facing the council is not being able to deliver the activity or services expected by village residents. Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that enable the Parish Council to identify any and all potential risks inherent in the place or practices. Based on a recorded assessment the Council should then take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible, making sure that all employees are made aware of the results of the risk assessment. 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 minimise them. In conducting this exercise, the following main points have been followed and the register constructed accordingly.

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.

Points and areas identified are dealt with in the tables that follow and assessed and recorded accordingly:

**This procedure was adopted by Awsworth Parish Council  
at its meeting held on 5<sup>TH</sup> May 2026**

## Financial & General Management

TOPIC	RISK	H/ M /L	MANAGEMENT/ CONTROL OF RISK	REVIEW/ASSESS/ REVISE
Business Continuity	Risk of Council not being able to continue its business due to an unexpected event or tragic circumstance	L	Powers are delegated to the Clerk and are within the Financial Regulations. All signatories will remain on the bank mandate after an election until new Councillor can be added	Annually
Precept Determination	Fit for purpose	L	Councillors receive regular financial updates, and a budget which is used to set the precept. Statements of how the accounts are performing against the budget.	Process used has been established for some time and operates effectively
Precept Income	Income not reviewed from Broxtowe Borough Council or reduced from projected amounts	L	Aim for reserves value to be at 50% of annual precept	Procedure set to mitigate the risk
Cash	Loss through theft or dishonesty	L	Council requirements are set out in the Financial Regulations. Minimal Petty cash float held in lock tin stored in locked cupboard. All invoices to be paid electronically to eliminate cash. Cash donations received to be banked within 7 banking days if possible	Existing procedures are adequate and Financial Regulations are reviewed regularly
Reporting Records	Auditing and Governance	M	Council undertakes internal and external independent audits	Council appoints an independent Auditor annually
Cost Overheads	Services not supplied but invoiced	L	Council approves invoices for payment and only approves when goods supplied or work complete	Procedures proven to be satisfactory

**This procedure was adopted by Awsorth Parish Council  
at its meeting held on 5<sup>TH</sup> May 2026**

Financial Records	Financial irregularities	L	The Council has Financial Regulations, which set out requirements for banking	Review Financial Regulations regularly
	Bank errors or Bank losses	L	Two signatories required. Council has four Councillors and the Clerk listed as signatories on the bank mandate. RFO checks bank statements monthly against expenditure for internet banking purposes. The internal auditor does the same check annually and reports any anomalies.	
	Internet Fraud	L		
Payment Approval	Payments authorized by Full Council	L	All payment transactions made following the Financial Regulations process and are presented monthly at Council meetings for review in an accounts for payment list.	Procedures proven to be satisfactory over many years. Financial Regulations reviewed regularly.
Bad Debt	Incorrect invoicing	L	List of invoices prepared for approval by Councillors every month	Procedures proven to be satisfactory over many years. Financial Regulations checked regularly.
	Payment incorrect	L	Clerk checks each invoice against the BACS payment	
	Loss of stock	L	Minimum stock held	
	Unpaid invoices	L	Unpaid Council invoices are pursued and if practical, payment obtained in advance	
Grants (submitted by Parish Council)	Grants are applied for against specified projects	L	The resolution to apply for a grant is made at a meeting. Applications are prepared by the RFO. The RFO checks progress and reports back when the application result is determined. Grants normally have conditions of use attached, these being checked and monitored by the Clerk	The application process determines the procedure to be followed if a variance from the Financial Regulations
Grants (submitted to)	Funding misused	M	General Grant Policy & Annual Grants Policy in place. Stipulations dictate	The General Grants policy and the Annual Grants

**This procedure was adopted by Awsorth Parish Council  
at its meeting held on 5<sup>TH</sup> May 2026**

the Parish Council)			the need for receipts/estimates/ quotes, bank accounts details and overview of accounts for general grants, and Committee contact details, bank balance, and year end accounts for Annual grants	policy allow for follow up with applicant
Rental Income / Sports Pavilion Income	Rental received from Slaney Brothers Pavilion, Bowls Pavilion and Youth Club building / Sports Pavilion hire	L	Rent is invoiced annually and must be paid by BACS from the tenant to the Parish Council / Sports pavilion hire is invoiced when booked and must be paid by BACS from the hirer to the Parish Council	Each tenant has a lease. Each regular hirer signs a hirer agreement.
Achieving Best Value	Multiple quotes for larger projects	L	The Finance Regulations dictate when multiple quotes are required. Professional Contractors used to Project Manage the Contractor. Project specification produced for significant tenders as part of the tender process.	Exiting procedures checked regularly
	Project overspend	M	The Clerk checks the delivery against specification and reports shortfalls to the Council.	
Salaries and Expenses	Salaries incorrect, wrong hourly rate or hours worked	L	Salaries are assessed annually by the HR Committee and recommendations made to the Full Council. Figures incorporated in budget calculations. Hours are set within the contract Salary payments reported to the Council monthly.	Existing procedures checked regularly
	Fraud or incorrect	L	Expenses must be approved. Claims paid on completion of claim form and receipts provided.	

**This procedure was adopted by Awsworth Parish Council  
at its meeting held on 5<sup>TH</sup> May 2026**

	Wrong deductions of NI or Tax, unpaid Tax & NI Contributions to Inland Revenue	L	Use Pells Accounting for accurate information	
Employees	Loss of key staff or long-term illness, resignation or misconduct. Health & Safety training requirements	M	Clerk considered the only critical staff member. Temporary replacements for sickness can be sought using NALC	NALC advice and recommendation sought. HR Committee to interview candidates. Recommended candidates approved by Full Council.
	Task specific training needed	L	Training sources and budget available	
Election Costs	Risk of unexpected election	L	Council precepts for election costs each year.	Reserves used to meet election costs if necessary
VAT	Re-claiming	L	Requirements set out in Financial Regulations	Existing procedures checked regularly
Annual Return	Completed and submitted in the time limits	L	Annual Return is completed and submitted to the Internal Auditor for checking. Approved by Council and signed before sending to the External Auditor within time limit	Existing procedures adequate
Legal Powers	Illegal activity or decision making	L	All activity and payments within the powers of the Parish Council to be resolved and minuted at the Full Parish Council meetings, Clerk to ensure appropriate powers are available	Decision make form part of the minutes. Council currently holds the General Power of Competence
Agenda's Minutes & significant reports	Accuracy and legal	L	Minutes and agenda are produced by the Clerk to defined standards and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Agreed minutes and agenda are displayed accordingly to	Standing Orders followed and adequate

**This procedure was adopted by Awsorth Parish Council  
at its meeting held on 5<sup>TH</sup> May 2026**

			the legal requirements as a minimum on the website. Council meetings managed by a Chair.	
Members Interests	Conflict of Interests and register of Interests	L	Standing Orders require declaration of interests at each Parish Council meeting by members. Register of Members interests in the public domain and should be reviewed regularly by Councillors.	Existing procedures are adequate. Members reminded to review their entry. Clerk responsible for ensuring new Councillors register their interests.
Insurance	Meets needs and competitive	L	Reviewed annually prior to policy renewal. All associated liability covered. Policy updated as new assets added. Employee cover adequate and accurate	
Assets	Loss or Damage	L	Annual review of assets undertaken	Adequate inspections undertaken
	Risk of damage or injury to third parties			
Asset Management	Premises or other assets being closed or unavailable for use by the Council or community due to poor or dangerous condition	L	An Asset register produced and reserves in place such that assets can be replaced at the end of their natural life. Insurance in place for criminal damage. Annual Building Inspections are also undertaken	Asset Management inventory and plan. Adequate inspections undertaken
Recreation and Amenities areas	The Lane Recreation Ground and Shilo Recreation Ground	L	Areas are regularly inspected by the Groundsman and Broxtowe Borough Council, also members of the public who report to the Clerk. The Parish Council also invests in a full RoSPA playground inspection annually and takes actions on notable items	Adequate inspections undertaken

**This procedure was adopted by Awsworth Parish Council  
at its meeting held on 5<sup>TH</sup> May 2026**

Noticeboards	Loss through fire or theft	L	All covered by insurance policy and inspected regularly.	Adequate inspection undertaken
Slips, trips and falls	Member of the public is injured on Council owned land or equipment	L	Adequate public liability insurance renewed annually	Adequate inspections undertaken of all equipment
Benches and Seating	In poor condition or unsafe to sit on	L	Area regularly inspected by the Groundsman and members of the public who report their concerns to the Clerk	Adequate inspections undertaken
Trees	Poor state, damage or over-grown	L	Three-yearly professional inspection and register of trees	Review regularly by the Groundsman and members of the public

**This document shall be reviewed at least once every three years.**

**This procedure was adopted by Awsworth Parish Council  
at its meeting held on 5<sup>TH</sup> May 2026**