Subject	Risks Identified	Level	Likelihood	Total	Management / Control of Risk	Actions Needed	Last Reviewed	Update on last required action
MANAGEMENT								
Business Continuity	Risk of Council not being able to continue its business due to an unexpected or tragic loss of staff	H	L	M	Membership of external training organisations to provide locum cover/advice. Clerk has passwords available and Chair and Vice aware of how to access. Clerk handbook to be maintained for institutional memory & administrative continuity Chair & Vice Chair have laptop password (sealed)	Update Clerk's Handbook (rolling project)	05/05/2026	
Business Continuity	Risk of Council not being able to continue its business due to the breakdown of facilities	H	L	M	Computer Maintenance and IT support in place (including file back up) ad it security usage policy apprived by ICO and cyber insurance. Assertion 10 complied with	No further actions	05/05/2026	
Meeting Location	Adequacy Health & Safety SO compliance	L	L	L	Meetings are held in Ripper Hall. The premises and facilities are considered to be adequate for the Clerk, Councillors and any Public who attend from a health, safety and comfort aspect. Alternative meeting venues available: the Church and the Pavillion – the Pavillion being most suitable from a comfort point of view. The church from a cost perspective. Following government consultation, it may be possible to have remote meetings also	No further actions	05/05/2026	
Council Records/Documents (paper_	Loss through theft, fire, damage	L	L	L	Current papers will be stored securely at Clerk's home. Archived papers will be stored securely NCC / NALC recommended archive solution (TBC at the point of needing to be stored) Council will take every opportunity to move paperless/ digital to reduce risk and financial burden	Action: Collect papers from Pound, digitalise and archive as appropriate. Periodically, Clerk will archive paper records at NCC / NALC recommended archive solution	05/05/2026	

FOI / Data Protection	FOI policy available Civil action against Council	H	L	L	Council is registered with ICO. Clerk has undergone training. Ongoing destruction of older items to ensure compliance. FoI policy current and on website. Staff aware of relevant timescales	No further actions	05/05/2026
Computer Records/Documents	Loss through damage, fire corruption, malice	M	L	M/L	The Parish Council's electronic records are stored on the 'OneDrive' . Password is available through Chair and Vice chair and IT support. The most recent and up-to date policies, finances and documents are on SharePoint (excepting sensitive info) and can be accessed by all councillors. Files are backed up by IT support Financial data is also stored on AdvantEdge	No further actions	19/05/2025
Data security	Unauthorised access of council data via Tablets	H	L	L	ICO and Coalition approved Data and IT security and Usage policy in place. No Data sensitive information to be downloaded to tablets. Unnecessary and sensitive information mails to be deleted as soon as not needed. Emergency plan in place approved by ICO and Coalition Cyber Security.	No Further Actions	05/05/2026
Website / Social media	lack of legal compliance risk of misuse and abuse	M	L	L	Policy in place meeting requirements reviewed annually	No further actions	05/05/2026
Policies and procedures	Lack or legal compliance Contradictory policies leading to inability to operate	M	M	M	Review all key policies annual and additional polices biannually or sooner if required.	No further actions	05/05/2026
Civil Emergency etc	Inability of council to function	H	M	M	Experience of Covid pandemic is the basis of Emergency plans. Home working and virtual meetings where possible.	No Further Actions	05/05/2026
FINANCE							

Precept	Adequacy of precept. Requirements not submitted to Borough Council. Amount not received from Borough Council	H	L	M	Sound budgeting to underlie annual precept. Financial accounts are presented to council quarterly to track spending against targets The budget is an agenda item at November meeting ad approved at December The precept an agenda item at the December meeting and is approved at the January meeting. The Clerk informs the Council when monies are received in April.	Existing procedure adequate	05/05/2026
Budget	Not set	L	L	L	Agenda item at December meeting, approved January by Docking Parish Council	Existing procedure adequate	05/05/2026
Insurance	Adequacy Cost Compliance	L	L	L	An annual review is undertaken of all insurance arrangements in place. Employers Liability and Public Liability are a requisite as is Cyber Insurance. Quotes are obtained to insure best value.	Existing procedure adequate	05/05/2026
Banking	Inadequate checks Bank mistakes Loss/Charges	H	L	M	Monthly bank reconciliations are completed by RFO, checking bank statements with cheques and BACS payments and income banked. Banking process requires RFO to set up and 2 signatories.	No Further Actiosn required	05/05/2026
Cash	Loss through theft or dishonesty	L	L	L	The Council has no petty cash or float. Any cash transactions are made by the Clerk, and fully receipted and then reimbursed monthly. Unless otherwise resolved / delegated. Any financial obligation must be approved and clearly minuted before any commitment.	Existing procedure adequate	05/05/2026

Financial Controls and records	Inadequate checks, Corruption, Misuse of public funds Financial irregularities.	H	L	M	The Council has Financial Regulations, which set out requirements for banking, cheques and reconciliation of accounts. I internet banking permitted with notification to all signatories. Two signatories on cheques and payments Internal and External Audits annually Any financial obligation must be approved and clearly minuted before any commitment. All payments must be approved / noted and clearly minuted. Any s137 payments must be recorded at the time of approval. Quarterly financial report to track spending Financial regulations reviewed annually Code of Conduct and standing orders reviewed annually. All councillors aware of Nolan principles as per CoC and principles of good financial conduct.	Existing procedure adequate	05/05/2026
Reporting and Auditing	Information Communication Compliance Information communicated	M	L	M/L	Bank reconciliations completed and breakdown of receipts and payments kept Use of AdvantEdge (or other accounting system) Internal and External Audits Annually Budget and Income and Expenditure info given at every meeting. Meeting pack includes these at time of agenda. Information available publicly in meeting packs and minutes.	Existing procedure adequate	05/05/2026
Grants - receivable	Receipts of grant / anti corruption.	L	L	L	The Parish Council does not regularly receive grants. One-off grants would come with terms and conditions to be satisfied. All income received as grant / donation to e handled unfit der relevant legislation. Policy presnet June 2026		05/05/2026

Suggest - resolution to defer application of GPC until 5 years clear audit check and no substantial change to membership - agreed - commence 09/12/24

Payments	Service invoiced but not supplied Services supplied and invoiced but not paid	H	L	L	Council approves all invoices for payment and only approves when goods supplied or work completed; except that provision made in Financial Regs for occasional payment outside meeting, and these reported to Council. Payments made as above, with notice to all signatories. Clerk to investigate issues as required and report to council always and to auditor as needed. All work to be invoiced and placed on authorisation run. At least 2 signatories available to run banking processes. AdvantEdge able to give access to additional person if required. Contact details available online.	No further actions	05/05/2026
Charges - rentals receivable	Receipt of rent	L	L	L	Allotment Rent paid annually, new leases issued and returned Grazing agreements - Ts and Cs assumed agreed on receipt of payment. Review agreements and fees Tri annually (or as required)		05/05/2026
Contracts	Lack of clarity over who does what and how charged, leading to over charges, work missed and difficult business continuity	M	M	M	General Contract in place Annual review of contracts Clerk to maintain living register of contract for clerk handbook. - done		05/05/2026
Best Value Accountability	Work awarded incorrectly Financial loss	L	L	L	To seek quotes (number stated in SO) for any substantial work required to be undertaken. If a problem is encountered with a contract the Clerk would investigate and if necessary, report to Council.	Existing procedure adequate	05/05/2026
Salaries and associated costs	Salary paid incorrectly Wrong hours/rate paid Wrong deductions of tax Unpaid tax contributions to HMRC	L	L	L	The Parish Council authorises the appointment of all employees. Payslips are produced monthly by the Clerk together with HMRC payments, and in monthly payments for approval. All tax payments are submitted to HMRC in the annual return. NALC payroll services engaged.	Existing appointment and payment system adequate	05/05/2026

Clerk and other employees	Loss of clerk / RFO Fraud	H	L	M	A contingency fund should be established to enable training for the CiLCA qualification in the event of the Clerk resigning. Clerk should be provided with relevant training, reference books, access to assistance and legal advice Clerk should be paid in accordance with LGA / SLC / NALC pay point and standard conditions Ensure Good Employer Recommendations are followed Ensure a clear line manager for employment matters. Ensure clear understanding of role of clerk to support council (as opposed to individual councillors / public demands) Provide SLCC recommended training for clerks / RFO. nclude in financial statement when setting precept - included 30/04/25 Review Clerks / RFO role and description against SLCC advice at annual appraisal - reviewed - do annually Membership of SLCC - completed Monitor working conditions Consider necessity of a member - officer protocol Member -officer protocol not cirrently needed. Clerks jobe vealuated June 2025 and leveled to SCP 26 accuaretly.		05/05/2026	
Election costs	Risk of election cost	L	M	M/L	A contingency fund should be established to meet financial obligations in case of an election. Ensure good open transparent council behaviour and councillor conduct. Include in financial statement when setting precept Councillors to read guides on councillor behaviour, to undertake training and to follow Code of conduct - completed.		05/05/2026	
VAT	Reclaiming/Charging	L	L	L	VAT claim a minimum of once an annum, VAT shown in the cashbook	Existing procedure adequate	05/05/2026	
Annual Return (AGAR)	Not submitted within time limits	L	L	L	Annual return is completed and signed by the Council, submitted to the Internal Auditor for completion and signing. Finally sent on to the External Auditor within the time limit	Existing procedure adequate	05/05/2026	

ASSETS							
Infrastructure Assets	Protection of physical assets	M	L	L	All assets insured and reviewed periodically. Maintained on an ad hoc basis. Asset list maintained on AdvantEdge and published annually on the website.		05/05/2026
Street Furniture	Theft/Loss, damage etc	L	L	L	Street furniture inspected periodically. An asset register is kept up to date and insurance is held at an appropriate level. Inspecions are held twice a year.		05/05/2026
Office equipment	Loss	L	L	L	Laptop and Printer (or alternative printing method) provided to Clerk by Council to perform other Clerk/RFO role. A contingency fund should be established for replacing items Include in financial statement when setting precept - done	Existing procedure adequate	05/05/2026
Trees	Trees or branches posing a safety problem to public where unrestricted right of way is available	H	L	L	List all trees for which DPC is responsible. Check and maintain. Any TPOs listed Tree audit undertaken 2025 and works under way.		05/05/2026
Ponds - stanhoe road	risk of public / pets accessing pond and having an accident - injury / death	H	L	L	although worst case outcome is high - drowning / death, liklihood is low - public would need to deliberately attempt to access by climbing over or around fencing, pond is shallow - waist depth at max and access is slope. signage resolved as unnecssary by Council at May 2026 agm - as fence is clear and onvious with no 'acciednetalacces' possible		05/05/2026
Pond - Bell pond	risk of public / pets accessing pond and having an accident - injury / death	H	L	L	although worst case outcome is high - drowning / death, liklihood is low - public would need to deliberately attempt to access by climbing over or around fencing, pond is shallow - waist depth at max and access is sloped signage resolved as unnecssary by Council at May 2026 agm - as fence is clear and onvious with no 'acciednetalacces' possible.		05/05/2026
Pond - Sedgeford Road	risk of public / pets accessing pond and having an accident - injury / death	H	L	L	although worst case outcome is high - drowning / death, liklihood is low - public would need to deliberately attempt to access by climbing over or around fencing, pond is shallow - waist depth at max and access is sloped		05/05/2026
ORG	damage to ORG by fire . Misues. Travellers / vehicles	L	L	L	Signs are up with rules for access including no fires. Vehicle gate is locked. Access is daylight hours only		05/05/2026

ORG	risk of trips and falls	L	L	L	ORG is use at own risk. Council mainatins benches and furniture a nnually and cehcks twice a year. Paths are mown when required		
Pond - Clay pits / fishing pond	risk of public / pets accessing pond and having an accident - injury / death Fishing pond - risk to fishing folk is managed by te anglicng club who have insurance.	H	L	M	although worst case outcome is high - drowning / death, liklihood is low - public would need to deliberately attempt to access wateEntraec is controlled by lock gate. Signage is mainetaned along with floats and swims by Angling club.		05/05/2026
Open Areas	Risk of damage or injury to third parties	H	M	M	Ensure asset list shows all land accurately and is on insurance	Undertake risk assessment for each area of PC land	05/05/2026
LIABILITY							
Legal powers	Illegal activity or payments	H	L	L	All activity and payments made with the powers of the Parish Council to be resolved and clearly minuted.	Existing procedure adequate	05/05/2026
Minutes/Agendas/Statutory documents	Accuracy and Legality Non-compliance with statutory requirements	L	L	L	Minutes and agendas are produced in the prescribed method (as per SO) and adhere to legal requirements. Minutes are approved and signed at the next meeting Minutes and agendas are displayed according to legal requirements Business conducted at Council meetings should be managed in accordance with SOs	Existing procedure adequate Undertake adequate training	05/05/2026
Employer Liability	Comply with employment Law Comply with HMCR requirements	H	L	L	Membership on NALC, regular updates from HMRC. PAYE completed monthly and at year end. Internal and External auditor carries out annual checks	Existing procedure adequate	05/05/2026
Parish Ponds	Risk to individuals	H	L	M	Fences along footpaths and highways, insurance in place. Council agree dMay 2026 that pond signage unnecssary.	Existing procedure adequate	05/05/2026
Public Liability	Risk to third party, property or individuals	H	L	M	Insurance is in place	Existing procedure adequate	05/05/2026
COUNCILLORS PROPRIETY							
Members Interests	Conflict of Interest / Register of Members Interests	M	L	M	Councillors have the duty to declare any pecuniary interest at the start of the meeting if it is on the agenda and to declare it at any point should a subject come up. Register of Member's interests form to be reviewed on an annual basis (May meeting - after election)	Members take responsibility to declare interests	05/05/2026