



Small Grants Policy and Guidance for Applicants

Claygate Parish Council (“the Council”) recognises and supports the valuable contribution made by the voluntary sector to the wellbeing of the community. The aim of the Council’s Small Grants Policy is to promote and encourage an active and thriving community in Claygate.

Who can apply for a Small Grant

The Council will consider applications from not-for-profit community groups or charitable organisations.

Organisations applying for a grant must be able to demonstrate that the funding will benefit the Parish and / or the residents of Claygate. Applications from membership organisations must be able to demonstrate a wider community benefit.

Who is not eligible?

- Individuals
- Organisations which aim to distribute a profit
- Political Parties or organisations which support a Political Party
- National / regional organisations except where it can be demonstrated that the funding will substantially benefit residents of Claygate
- Organisations / groups without a management committee and a bank account requiring two signatories for payments

What is not eligible?

- Retrospective applications for expenditure that has already occurred
- Ongoing revenue costs for a project
- Annual maintenance or repair
- Projects promoting a political party
- Projects promoting religious beliefs
- Projects that conflict with Parish Council policies
- Projects for activities that are the responsibility of a Statutory Authority
- VAT that an organisation can recover

Small Grant Application Guidance

1. The maximum award for a small grant is **£2,000** but most grants awarded will typically be between **£500** and **£1,000**.
2. Applications for funding must be made using the Small Grants Application Form available on the Council's website or from the Parish Clerk.
3. For applications over £500, three estimates are required unless the goods or services that are only available from one supplier or are sold at a fixed price. The estimates might include evidence of online prices, or recent prices from regular suppliers. For applications under £500 at least one estimate is required. Applicants should seek to achieve value for money.
4. A copy of the organisation's latest Accounts must be provided. For newly established organisations, a financial plan will be required.
5. The Council will take into consideration the income and reserves of the organisation applying.
6. The organisation's Constitution and Financial Regulations and other policies where appropriate (eg safeguarding) should be made available on request.
7. If the grant is to be 'seed funding' for a project, the organisation should be able to show other sources of funding that will contribute once the initial amount is raised.
8. The grant should be match funded – this can include resources such as volunteer labour and payments in kind.
9. If you have applied for a grant or for CIL funding within the past year, whatever the project and whether or not your application was successful, the Council will take this into account.
10. The grant must be spent within 12 months of receipt.

Submitting your application

Completed application forms should be submitted with the supporting documents to the Parish Clerk (clerk@claygateparishcouncil.gov.uk). The Clerk will confirm receipt of your application and may request further information if needed.

Applications will be considered at the next appropriate Full Council or Finance & General Purposes Committee Meeting. Applications should be sent to the Clerk at least **two weeks prior to the meeting**. You will be invited to speak at the meeting in support of your application and to answer any questions from Councillors.

Payment of Funding

Successful applicants will be required to sign a Grant Acceptance Form with the following terms and conditions:

- The grant must be used only for the project or activity described
- Any significant changes to the project, budget, or timeline must be notified to the Council in writing
- All receipts and invoices for the expenditure of the grant must be submitted to the Parish Clerk when the project is completed.
- A written report on how the grant was used, what the project delivered and the community benefits achieved may be required when the project is completed
- The recipient should acknowledge Claygate Parish Council as a funder in publicity or project materials.
- Any unspent grant money must be returned if the project does not take place, costs are lower than expected or funds were used for purposes other than those agreed

The Council reserves the right to reject any application for any reason and to make exceptions to the policy at its discretion.

If you have any queries relating to your application, please contact the Parish Clerk (clerk@claygateparishcouncil.gov.uk).



Small Grant Application Form

Please read the Claygate Parish Council Grants Policy and Guidance for Applicants before completing this form.

Grant applications will be considered at the next appropriate Finance & General Purposes Committee or full Parish Council meeting (apart from the Annual Council Meeting that is held in May). The dates of meetings are available on the Claygate Parish Council website – www.claygateparishcouncil.gov.uk and on the noticeboards at the Village Hall, Church Road and by the shops on Hare Lane.

Please return completed application forms and all supporting information to the Parish Clerk clerk@claygateparishcouncil.gov.uk at least two weeks prior to the meeting.

1. Name of Organisation	
2. Name and position of main contact	
3. Contact details - phone no and email. (Please indicate if these should not be made publicly available)	
4. Type of organisation If a charity, please provide registration number	
5. Name and Location of Project / Activity	
6. Description of what the grant will be used for	
7. How will this benefit the community?	

8. Total cost of project	
9. Amount requested from the Parish Council	
10. Please provide a brief breakdown of costs including details of match funding	
11. Have you applied for or received funding from other sources? If yes, please give details.	
12. Have you applied for or received a grant from the Parish Council in the past 12 months? If yes, please give details.	

Supporting Information – document checklist	
Quotes / estimates for the project	
Latest accounts (or financial plan for newly established organisations)	

Declaration

When you have completed the application, please sign this declaration and submit the application form as directed.

To the best of my knowledge the information I have provided on this application form is correct.

If Claygate Parish Council agrees to release funds for the specified project, these funds will be used exclusively for the purposes described in this application form.

I agree to inform Claygate Parish Council of any material changes to the proposals set out above. When requested, I agree to provide Claygate Parish Council with all necessary information required for the purposes of reporting on the progress or otherwise of the identified project. I recognise the Parish Council's right to reclaim unspent or misappropriated funds.

Privacy Notice: By signing this form, the applicant agrees to Claygate Parish Council checking all supplied information for the purposes of informing decision making. The information on this form will be stored in the Parish Council's filing system and summarised in the Council's accounting system for the sole purpose of fund processing, analysis and accounting. Information about the project may be publicised on Claygate Parish Council's website and in public material for publicity purposes. Personal data will not be disclosed without any prior agreement of those concerned, unless required by law. For further information on the Council's privacy policy, please see the website.

Signed:

Organisation:

Date:

For Office Use Only:

Date received:

Amount awarded:

Date of decision:

Legal power used:

Date of payment:

All invoices received:

Grant report requested:

Grant report received:



CIL Funding: Guidance Note for Applicants

Introduction

This guidance aims to assist those completing the Community Infrastructure Levy (CIL) Application Form. To discuss a potential project or for further guidance, please contact the Parish Clerk clerk@claygateparishcouncil.gov.uk.

What is CIL and how is it allocated?

The Community Infrastructure Levy is a charge collected by Elmbridge Borough Council on some forms of new development and the funds raised are made available to be spent on infrastructure projects. The funds are used either for local infrastructure or for infrastructure with a broader strategic advantage to the borough.

Each year, an initial 5% of CIL funds collected are retained for administration purposes. The council then allocates 15% of the funds to the local communities where the development took place, to be spent on smaller infrastructure schemes. For Claygate, the local portion of CIL funds is passed directly to the Parish Council to be allocated in accordance with the CIL regulations.

The remaining 80% of CIL funds are allocated towards strategic borough-wide infrastructure in conjunction with infrastructure providers to deliver improvements and enable growth.

Funding Criteria

The regulations that govern how CIL is spent require that this local CIL spending be allocated towards:

- **funding the provision, improvement, replacement, operation, or maintenance of infrastructure to support the development of its area.**

These definitions allow the Parish Council to consider quite broadly what is needed to help mitigate the impacts of development in Claygate.

The definition of infrastructure as per the regulations is broad and includes roads and other transport infrastructure, flood defences, schools and other educational facilities, medical facilities, sporting and recreational facilities and open spaces.

What type of projects have been funded?

Examples of successful local CIL applications include: • Improvements to state schools and education facilities • Improvement to public and community spaces • Footpath and countryside access • Medical and sporting facilities

Claygate Parish Council will work closely with the local community and infrastructure providers to identify potential improvement schemes, encouraging and, if applicable, supporting applications put forward.

Claygate Parish Council has a five-year period in which to spend CIL monies from the date received, thus funds may be accumulated to provide for major projects.

Who can apply?

Applications may be made by:

- Claygate Parish Council Committees
- Not-for-profit organisations including statutory infrastructure providers, state schools, community groups and registered charities.

Applications by membership organisations must be able to demonstrate a wider community benefit. Given that CIL is public funding, any new or improved facilities should be accessible to a range of people within the community. Applications must be received from the delivery organisation, rather than an individual.

Please note previous applications for a Parish Council grant or for CIL funding within the past twelve months, will be taken into account, regardless of the project and whether or not the application was successful.

What is not eligible?

- Retrospective applications
- Ongoing revenue costs for a project
- Annual maintenance or repair
- Projects promoting a political party
- Projects promoting a religious belief
- Projects that conflict with existing Parish Council policies
- VAT that you can recover
- External costs such as planning application, architect, project manager, employee, fees / costs related to the project

Please note it may be determined that some projects are better funded through other funding sources.

What does a project need to demonstrate?

In addition to meeting the Government criteria for spend, the project should be able to show evidence of the following:

- Addressing impacts created by new development
- Wider community benefit: beyond just the benefits to the organisation submitting the application
- Deliverability: a clear delivery plan in place
- Evidence of additional resources (people or money) available from partners to complement funding

How much can I apply for?

Applications can be made for full or part funding of a project. It is in the interests of Claygate Parish Council to make CIL monies collected go further by availing of opportunities such as match funding. **Applications for 100% funding are less likely to be supported.** When making an application, applicants should take into consideration the amount available in the CIL funding pot. Details are published on the Parish Council's website.

Evidence may be requested that other sources of funding have been sought including those that were unsuccessful.

When to apply?

CIL applications will be considered at full meetings of Claygate Parish Council (apart from the Annual Council meeting in May). The dates of meetings are available on the Claygate Parish Council website www.claygateparishcouncil.gov.uk and on the noticeboards at the Village Hall, Church Road and by the shops in Hare Lane.

Completed applications forms and all supporting information must be submitted **at least three weeks** prior to a meeting of the full Claygate Parish Council.

Completed application forms and supporting details should be emailed to the Parish Clerk clerk@claygateparishcouncil.gov.uk. If you wish to provide an application form and supporting evidence that is not electronic, please send to: Parish Clerk, Claygate Parish Council, Claygate Village Hall, Church Road, Claygate KT10 0JP.

Completing the form

The following provides further guidance when answering the questions in the application form.

Questions 1-3

A named contact from the organisation/s involved will need to sign the declaration at the end of the form. We will send all correspondence about this application to the main contact listed on the form.

Question 4

Please provide information on the legal status of your organisation. The type of organisations that might be applying include:

- Community or voluntary groups
- Charities or Trusts
- Community Interest Companies
- Public sector organisations

Questions 5 & 6

Please indicate the name of the project as well as the address where the infrastructure is located (including postcode)

Question 7

Please provide a full description of the project, including why you are seeking the funding and details on how it would be used and the benefits it will bring.

Questions 8 & 9

Please highlight the pressures that the project is addressing and the benefits it will provide for the community. Please provide evidence of community support for the project.

Question 10

Please set out, if required, that you have secured consent from the landowner or landlord for the project to be undertaken.

Question 11

It is the applicant's responsibility to determine if planning permission is required for their project. It is recommended that permission is obtained before applying for funding. If planning permission is required, please provide details on what stage of the process you have reached. Please note that planning permission costs should not be included within the costing of the project to be funded through CIL.

Questions 12 - 14

Please provide details of the total cost of your project and the amount of money you would like to apply for. Please provide a detailed breakdown of what the amount requested will fund. If there are multiple elements within an application, or if it can be broken down into components, please prioritise these within your form.

Funding will only cover the physical implementation of the scheme and should not be used to cover any external costs such as planning application, architect, building control, project manager, employee, fees / costs etc. Any funding will be conditional on the submission of **three competitive quotes** for the work that you are applying for. The quotes must be submitted with the application form. If the project requires specialist or bespoke work, and three providers in the area do not exist, please state this on the application form and provide the quotes that you have.

Questions 15 - 16

Let us know if there are any contributions from third parties - i.e. other organisations or grant schemes. Please show what contribution your organisation is putting into the project. You need to let us know if you are applying for funding from any other body and you must inform us if any applications are successful whilst this bid is being considered.

Please provide details of any CIL or other grants your organisation has previously received from Claygate Parish Council.

Question 17

You must let us know if you are able to reclaim VAT as the Council will not cover the costs for VAT if they can be claimed back by your organisation. Failing to declare the ability to re-claim VAT will void the application at any stage. The organisation must already have a bank account in place under the name of the organisation.

Questions 18-19

You must demonstrate that the project is deliverable and is able to be started within a year of the funding decision. You must also explain how long-term revenue commitments will be met in order to show that the project is sustainable in the long term.

Supporting Documents

If the organisation is not in the public sector, please provide a copy of the organisation's most recent audited accounts. The Council will take into consideration the income and unrestricted reserves of the organisation applying. If the application is from a newly formed organisation, a three-year financial plan should be provided. A copy of the organisation's Financial Policy and Procedures is required.

The organisation's Constitution and other relevant policies may also be requested.

Declaration

Please make sure you read the declaration carefully and sign the form. Any other organisation that will be involved with delivery should also sign the declaration.

Completed application forms and supporting details should be emailed to the Parish Clerk clerk@claygateparishcouncil.gov.uk. If you wish to provide an application form and

supporting evidence that is not electronic, please send it to: Parish Clerk, Claygate Parish Council, Claygate Village Hall, Church Road, Claygate KT10 0JP.

What happens after submitting an application?

The Parish Clerk will confirm receipt of your application and whether all the required information has been received. We may ask you to provide further information, if necessary, to validate your application.

Applicants may be invited to give a 3-minute oral presentation at the Parish Council meeting to introduce their project. Following the presentation, Councillors may ask questions or seek clarifications from the applicant regarding the project. The final decision to fund, partially fund or refuse the project, subject to sufficient funds in the CIL pot, will be taken during the meeting. Not all applications will be funded. There is no right of appeal against the decision. The applicant will be formally notified of the decision in writing after the meeting.

Payment of CIL funding

Successful projects must be able to commence within the twelve months following the award. Full terms and conditions will be sent along with the award letter to successful applicants.

Where relevant, the CIL funding will be conditional upon the applicant obtaining any necessary building regulations and/or planning permission and any other consents or permissions as may be required.

Payment will be made on submission of verifiable invoices.

Publicity

The applicant will need to agree to publicise the support of Claygate Parish Council and the Council reserves the right to use images of the project resulting from the award of the CIL funding as part of any publicity material that it may wish. A copy of the logo will be supplied by the Parish Clerk for publicity purposes.



CIL Funding Application Form

Please read the Claygate Parish Council CIL Funding: Guidance Notes for Applicants before completing this form.

CIL applications will be considered at a full meeting of the Parish Council meeting (apart from the Annual Meeting that is held in May). Meetings are normally held every two months. The dates of meetings are available on the Claygate Parish Council website – www.claygateparishcouncil.gov.uk and on the noticeboards at the Village Hall, Church Road and by the shops on Hare Lane.

Please return completed application forms and all supporting information to the Parish Clerk clerk@claygateparishcouncil.gov.uk at least three weeks prior to the Parish Council meeting.

1. Name of Organisation	
2. Name and position of main contact	
3. Contact details - phone no and email (Please indicate if these should not be made publicly available)	
4. Type of organisation If a charity, please provide registration number	
5. Project Name	
6. Location of Project	
7. Full Description of the Project	

<p>8. How does the project help address the demands of development in Claygate? Please include details of how the project will benefit the community?</p>	
<p>9. What evidence is there of support for the project from the community?</p>	
<p>10. Please provide evidence of any landowner / landlord consent required.</p>	
<p>11. Is planning permission to carry out the works? If applicable, please provide the application number or the stage the project is in within the planning process.</p>	
<p>12. What is the estimated total cost of the project?</p>	
<p>13. How much CIL funding is being sought?</p>	
<p>14. Please provide full details of what the funding requested will cover.</p>	
<p>15. Please provide details of other funding already secured or being sought.</p>	
<p>16. Has the organisation previously received CIL funding. If yes, provide details with the amount and date(s).</p>	
<p>17. Is the organisation able to reclaim VAT for this project?</p>	
<p>18. Please provide a clear delivery plan for the project with proposed timescales. Are there any factors that may affect deliverability?</p>	
<p>19. Is there a related revenue spend (i.e. day-to- day running costs) associated with the project? Please explain how this will be funded.</p>	

Contribution Type	Amount	Detail
CIL funding sought		
Organisation's contribution		
Other funding sources		
Total cost of project		

CIL Application Form requirements – document checklist	✓
Three quotes for work	
Latest Accounts (or a three-year Financial Plan for newly formed organisations)	
Financial Policy and Regulations	

Declaration
<p>When you have completed the application, please sign this declaration and submit the application form as directed.</p> <p>To the best of my knowledge the information I have provided on this application form is correct.</p> <p>If Claygate Parish Council agrees to release funds for the specified project, these funds will be used exclusively for the purposes described in this application form and agreed in the Minutes of the Parish Council Meeting which approved the application.</p> <p>I agree to inform Claygate Parish Council via the Parish Clerk of any material changes to the proposals set out above. When requested, I agree to provide Claygate Parish Council with all necessary information required for the purposes of reporting on the progress or otherwise of the identified project. I recognise the Parish Council's statutory rights as the designated provider of these CIL funds, which includes provisions to reclaim unspent or misappropriated funds.</p> <p>Privacy Notice: By signing this form, the applicant agrees to Claygate Parish Council checking all supplied information for the purposes of informing decision making. The information on this form will be stored in the Parish Council's filing system and summarised in the Council's accounting system for the sole purpose of fund processing, analysis and accounting. Information about the project may be publicised on Claygate Parish Council's website and in public material for publicity purposes. Personal data will not be disclosed without any prior agreement of those concerned, unless required by law. For further information on the Council's privacy policy, please see the website.</p> <p>Signed:</p> <p>Organisation:</p> <p>Date:</p>

For CPC Office Use Only:

Applicant Organisation:

Project Name:

Date recieved:

Amount awarded:

Date of decision:

Legal power used:

Date of payment:

All invoices received:

Grant report requested:

Grant report received:

RISK MANAGEMENT POLICY

1. Introduction

1.1 The council recognises that it has a responsibility to take all reasonable and practical measures to safeguard its employees, the people it works with and provides services for, and to protect the natural and built environments for which it is responsible.

1.2 The council is aware that some risks cannot be eliminated fully and has in place a strategy that provides a structured, systematic and focused approach to managing risk

2. Objectives

2.1 The objectives of the risk management policy are to:

- Integrate risk management into the culture of the council
- Manage risk in accordance with best practice and legislative requirements
- Minimise loss, disruption, injury and damages
- Inform policy and operational decisions by identifying risks and their likely impact
- Raise awareness of the need for risk management

2.2 These objectives will be achieved by:

- Identification of risk and level of risk.
- Undertaking risk assessments and reviewing them annually
- Managing the risk and recording controls and mitigating actions
- Incorporating risk management considerations into council processes
- Providing appropriate training
- Establishing clear roles, responsibilities and reporting lines
- Effective communication with, and active involvement of, employees

CLAYGATE PARISH COUNCIL

RISK REGISTER (ASSESSMENT AND MANAGEMENT)

BACKGROUND

Risk management is making sure informed decisions are made based upon facts and the risks identified, which typically might be those of finance and safety. The majority of risk can be eliminated if the Parish Council ensures that it operates according to all relevant rules, legislation, procedures and codes of conduct appertaining to its functioning. Strict adherence to financial disciplines and controls is of paramount importance at all times.

A risk assessment is nothing more than a careful examination of all aspects concerning a particular event/action so that an informed decision can be made knowing that unnecessary risk has been eliminated and any remaining risk together with its possible impact has been identified.

For the ease of implementation and control of a risk management process there are a number of individual activities/responsibilities that can be grouped together under the following headings: -

Physical assets - buildings, furniture, equipment, machinery etc.

Financial - budgeting, financial accounting, fraud control, petty cash, supporting documentation etc.

General Liability - injury to individuals and third parties, failure to observe legal obligations of Parish Councils.

Employer Liability - the rights of any employee are upheld.

~~Legal liability – duties of the Parish Council are executed in accordance with legal requirements~~

Councillor propriety - adherence to code of conduct, declaration of interests etc.

Legislative/Regulatory Risk, arising from actions by central Government or the Principal Authority.

~~Image/attitudes – maintaining positive image and attitudes towards the Parish Council.~~

The risk scoring method, risk assessment and management controls procedures for Claygate Parish Council are outlined in Annex A below. ~~overleaf with risk factors of high (H), medium (M), low (L) being allocated accordingly.~~

[See new spreadsheet for:-
Annex A1 – Scoring Method
Annex A2 – Risk Register.]

RISK REGISTER ASSESSMENT AND MANAGEMENT
[Superseded by Spreadsheet]

The levels of risk have been rated, low, medium or high, having been arrived at by assessing both the ~~probability~~ of an event happening and the ~~impact~~ of such an event.

AREA	RISK	IMPACT	LEVEL	CONTROL (agreed action)	REVIEW FREQUENCY
Assets	Protection of Physical assets	Financial loss	M	Assets insured. Value reviewed annually.	Annual
	Security of assets	Financial loss	M	Up to date assets register maintained. Annual physical check.	Annual
	Maintenance of assets	Financial loss compensation claims & reputation damage	M	Regular annual physical review & repair as necessary. Public liability insurance in place	Annual
Financial	Banking	Accounting errors.	M	Banking carried out with recognised mainstream organisation.	Ongoing
	Cash	Loss of cash through theft /dishonesty	M	Insurance in place. Petty cash restricted to only £100. Transactions scrutinised by Int Audit	Annual
	Fraud	Misappropriation of funds. Reputation-al damage	M	Insurance in place.	Annual
	Financial controls and records	Incorrect payments and accounting errors.	M	i. Monthly bank reconciliation prepared by Clerk & checked by Chairman. ii. Internal & external audit.	Monthly

				<p>iii. Two signatories required on cheques</p> <p>iv. Two-monthly analysis of receipts & payments for Parish Council meeting</p> <p>v. Budget updated every three months for Parish Council meeting</p> <p>vi. Use of customised computer system.</p> <p>vii. Invoices signed off as payable by relevant Councillor.</p> <p>viii. One-off non-budgeted payments approved by Council.</p> <p>ix. Clerk checks for receipt of payments from EBC</p> <p>x. Contracts for work reviewed in accordance with Standing Orders.</p>	
	Precept Budget.	Inadequate cash flow. Reputational damage	M	Annual budget reviewed and agreed by full Parish Council.	Annual
	Reserves	Unable to meet financial commitments	M	Maintain general reserve for emergencies reviewed at Council meetings. Build up a fund that will help finance major projects in the future. Provision is made annually for election costs over the course of 4 years.	Bi-monthly Annual
	HMRC	Fine. Reputational damage.	L	VAT return automatically prepared by accountancy software. NICs are prepared automatically by a reputable payroll software company and provided within deadlines	At least six monthly. Monthly
	Grants	Improper use of funds	L	All Councillors made aware of potential s137	On-going

				<p>payments. Follow-up checks carried out when funds allocated.</p> <p>Procedure for dealing with grants in place.</p>	
	Projects	Inadequate cash flow and/or income	M	Project appraisal must be completed & approved by Cllrs.	As required
	Payroll	Incorrect payments Fraud	M	Recognised reputable payroll software is used. Salary payments authorised & checked by 2 signatories. Pay levels are those agreed by NALC and reviewed annually.	Monthly Annual
	Annual Return	Fine. Reputational damage	M	Annual Return figures are agreed at Council meeting and examined by Internal and External Audit and submitted within deadline.	Annual
	Injury/Damage.	Compensation claims	M	Insurance in place. Risk Assessments for Council activities carried out and implemented and review annually	Annual
General Liability	Legal liability as consequence of asset ownership.	Reputational damage	M	Insurance in place. Physical assets checked on regular basis.	Annual
	Comply with Regulations	Fine. Reputational damage	M	Policies and procedures in place. Reviewed annually	Annual
Employer liability	Employment Law	Fine. Reputational damage	M	Membership of NALC and SLCC. Employer liability insurance in place.	On-going
	HMRC	Fine.	M		On-going

Legal Liability		Reputational damage.		Regular advice available from Inland Revenue. Internal & external audit. NICs are prepared automatically by a reputable payroll software company and provided within deadlines	
	Safety of staff and visitors	Compensation claims	L	Annual inspection of office.	Annual
	Remuneration and benefits	Underpayments and fraud	L	Pay levels as those agreed by NALC. Reviewed annually. Allowance for working from home as recommended by HMRC and agreed by Council.	Annual
	Professionalism and competence of staff	Errors and reputational damage	L	Staff training undertaken. Clerk identifies training areas/needs.	
	Ensuring activities are within legal powers	Fine and reputational damage	H	Clerk consults reference books on legal matters. Advice sought from SSCAL, EBC legal dept. or other sources where necessary	
	Proper and timely reporting via the Minutes	Reputational damage	M	Council meets every one - two months and receives & approves minutes of meetings held in interim. Minutes promptly put on website and sent to Parish Council members/co-opted members.	Bimonthly
Proper document control	Loss of information	M	Documents kept in office in system of filing. Back-up of electronic data is by online back-up. Kept within a locked cupboard and locked storeroom.		
Statutory reporting requirements.	Contravening Standing	M			

		Orders and statutory requirements		Clerk adheres to Standing Orders, Financial Regulations as updated by NALC and reference books on legal matters. Advice sought from SALC or other sources where necessary	
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Councillor propriety	GDPR	Fine and reputational damage	L	Appointed DPO Policies in place
	Declarations	Reputational Damage.	H	All Councillors aware of Annual Model Code & Hospitality Register. Register of Interests reviewed annually
Image/ Attitudes	Code of conduct	Reputational damage	H	Councillors aware of the need to always declare interests at every meeting.
	Conduct	Reputational damage	H	Councillors aware of public image
	Filing	Loss of important documents	H	Locked cabinet used to store some documents. Back-up of electronic data is now by on-line back-up.
	Communications.	Libel and slander claims Reputational damage	H	Libel & slander insurance in place Opinion of Head of Legal Services sought if necessary. Councillors aware all letters and emails should be channelled through the Clerk or Chairman before being sent, unless an acknowledgment of receipt of a communication, an action specifically tasked at a Committee or Council meeting, or of an on-going nature.
	Social Media	Libel and slander claims Reputational Damage	M	Social Media Policy In place. Annual

Reviewed and adopted 17/09/2020

Web Accessibility check 17/09/2020

Reviewed and adopted 29/03/2024

Web Accessibility check 15/04/24

ANNEX A2
RISK REGISTER (ASSESSMENT AND MANAGEMENT)

Draft C 22/06/26

Score = pm + m Risk Register

CATEGORY	RISK	PROBABILITY	IMPACT	SCORE	THREAT LEVEL	CONTROL	REVIEW	EFFECTIVENESS OF CONTROL	Comments for Council 25/06/26
Assets	Loss of or damage to physical assets	2	2	6	Moderate	Assets insured. Value reviewed annually.	Annual	H	
Finance	Bank accounting errors	1	3	6	Moderate	Use recognised mainstream companies. Petty Cash limited to £100.*		H	
	Loss of cash through error, theft/dishonesty	1	1	2	Minor	Insurance in place. Transactions scrutinised by Int. Audit.	Annual	H	
	Misappropriation of funds	1	4	8	Moderate	Insurance in place. Internal Audit scrutiny.	Annual	H	
	Incorrect payments & accounting errors	3	3	12	Severe	i. Monthly bank reconciliation prepared by Clerk, verified at least quarterly by a Councillor (not the Chair) and reported to the Council.	Monthly	H	Control amended. Are we actually doing this?
ii. Internal & external audit.						Annual			
iii. Two signatories required on cheques & Faster Payments									
iv. Two-monthly report of receipts and payments for Finance & General Purposes Committee						Bi-monthly	Control amended.		
						v. Expenditure against budget reported every two months for Finance & General Purposes Committee.	Bi-monthly		Control amended.
						vi. Use of customised computer system.			
						vii. Invoices signed off as payable by relevant Councillor.			
						viii. One-off non-budgeted payments approved by Council.			
						ix. Clerk checks for receipt of payments from EBC			
						x. Contracts for work reviewed in accordance with Financial Regs..			
	Errors in Annual Return leading to fines & reputational damage	2	2	6	Moderate	Annual Return figures are agreed at Council meeting and examined by Internal and External Audit and submitted within deadline.	Annual	H	
	Inaccurate budgeting for Precept causing cash flow issues and reputational damage	2	3	9	Serious	Annual budget reviewed and agreed by full Parish Council.	Annual	H	

General Liability	Inadequate reserves to meet unbudgeted financial demands	2	4	12 Severe	Maintain general reserve for emergencies reviewed at Council meetings. Build up a fund that will help finance major projects in the future. Provision is made annually for election costs over the course of 4 years.	Bi-monthly Annual	H	
	VAT/NIC errors leading to fines & reputational damage	1	2	4 Minor	VAT return automatically prepared by accountancy software. Advice from HMRC. NICs are prepared automatically by a reputable payroll software company and provided within deadlines	Bi-annually Monthly	H H	
	Improper use of funds for Grants	1	2	4 Minor	Procedures for ensuring due diligence in awarding grants and monitoring grant expenditure in place. All Councillors made aware of potential s137 payments.		M	Control amended.
	Inadequate cash flow for projects	1	3	6 Moderate	Project appraisal must be completed & approved by Cllrs.		H	
	Incorrect/fraudulent salary payments	1	3	6 Moderate	Recognised reputable payroll software is used. Salary payments authorised & checked by 2 signatories.	Monthly	H	
	Compensation claims for injury or damage	1	4	8 Moderate	Pay levels are those agreed by NALC and reviewed annually. Insurance in place. Risk Assessments for Council activities carried out and implemented and review annually	Annually Annually	H H	
	Late Payment of Precept	2	3	9 Serious	Maintain sufficient Gen. Reserves to cover delayed receipts.	Bi-monthly	H	
	Lose FSCS compensation	1	4	8 Moderate	Ensure account balances stay below £120K.	Bi-monthly	H	New item.
	Legal liability as consequence of asset ownership.	2	4	12 Severe	Regular annual physical review & repair as necessary. Public liability insurance in place.	Annual	H	
	Non-compliance with regulations	2	3	9 Serious	Policies & procedures in place.	Annual	M	
	Accidents to staff and visitors	1	3	6 Moderate	Annual inspection of office.	Annual	H	
	Errors by staff	3	3	12 Severe	Staff training undertaken. Clerk identifies training areas/needs.		M	
	Acting <i>ultra vires</i>	2	3	9 Serious	Clerk consults reference books on legal matters. Advice sought from SALC, EBC legal dept. or other sources where necessary		M	
	Inadequate or delayed Minutes	1	2	4 Minor	Council meets every one/two months and receives & approves minutes of meetings held in interim. Minutes promptly put on website and sent to Parish Council members.	Bi-monthly	H	

	Loss of information through inadequate document control	2	3	9	Ri Serious	Documents kept in office in filing system. Back-up of electronic data is by online back-up. Kept within a locked cupboard and locked storeroom.		H	
	Failure to observe statutory reporting requirements	1	2	4	Minor	Clerk adheres to Standing Orders, Financial Regulations as updated by NALC and reference books on legal matters. Advice sought from SALC or other sources where necessary		H	
	Data Breach	1	4	8	Moderate	IT & Privacy Policies in place	Annual	H	
	GDPR Non-compliance	2	3	9	Serious	IT & Privacy Policies in place	Annual	H	
Employer Liability	Non-compliance with Employment Law	2	3	9	Serious	Membership of NALC and SLCC. Employer liability insurance in place.		H	
Councillor Propriety	Failure to declare interests	2	4	12	Severe	All Councillors aware of Register of Interests & Hospitality Register. Register of Interests reviewed annually. Councillors aware of the need to declare relevant interests at every meeting.		M	<i>Control amended.</i>
	Breach of Code of Conduct	2	4	12	Severe	Councillors aware of Code of Conduct. Libel & slander insurance in place. Social Media Policy in place. Opinion of Head of Legal Services sought if necessary. Councillors aware all letters and emails should be channelled through the Clerk or Chairman before being sent, unless an acknowledgment of receipt of a communication, an action specifically tasked at a Committee or Council meeting, or of an on-going nature.		M	
	Poor communications or use of social media leading to libel/slander claims.	2	4	12	Severe			H	
Legislation/Regulation	Restriction on Precepting Power	2	4	12	Severe	Lobby MP & SALC		L	Environmental risks over which we have little control.
	Removal of Precepting Power	1	4	8	Moderate	Lobby MP & SALC		L	
	Loss of access to UA Planning Committee	3	3	12	Severe	Lobby MP and UA Councillors		L	
Political	Campaign to abolish Council	2	3	9	Serious	Good communications; consult on and obtain support for precept increases; deliver value for money; be seen to successfully represent village's interests.		H	

* = Petty Cash to be discontinued wef 1 April 2027.