

# EMBSAY WITH EASTBY PARISH COUNCIL: RISK ASSESSMENT REGISTER

## 1 Objective at risk: providing the local community with the opportunity to participate.

Description of risk	Rating	Responsibility	Action
Failure to attract sufficient candidates for member vacancies	very high	Members  Clerk	<ul style="list-style-type: none"> <li>- actively publicise Council activities</li> <li>- seek candidates amongst friends and colleagues</li> <li>- publicise vacancies on notice boards</li> <li>- publicise vacancies in Council Newsletter and website</li> <li>- publicise vacancies in local newspapers</li> </ul>
Failure to achieve quorum at meetings	medium	Clerk	<ul style="list-style-type: none"> <li>- issue annual meeting calendar to all members</li> <li>- issue meeting agendas promptly</li> <li>- maintain attendance register</li> <li>- contact members who fail to attend meetings</li> </ul>
Lack of public participation at meetings	high	Clerk	<ul style="list-style-type: none"> <li>- ensure meetings publicised on notice boards</li> <li>- place articles in local newspapers</li> <li>- include public participation on all agendas</li> <li>- ensure seating available at meeting for public</li> <li>- provide advice for members of the public attending</li> <li>- publish agendas and minutes on website</li> </ul>
Lack of public consultation by members	medium	Members	<ul style="list-style-type: none"> <li>- maintain regular contact with local residents</li> <li>- publicise address and contact details</li> <li>- seek opinions through Newsletter</li> </ul>
Members acting alone outside meetings	medium	Members	<ul style="list-style-type: none"> <li>- obtain and read 'Good Councillor Guide'</li> <li>- avoid making commitments on behalf of the council</li> <li>- attend relevant training courses</li> </ul>

Bad publicity	high	Members	<ul style="list-style-type: none"> <li>- review all press releases or newsletter articles by Chair or Clerk before release</li> <li>- avoid speaking to the press outside meetings</li> </ul>
Allegations of libel or slander	low	Members	<ul style="list-style-type: none"> <li>- review all press releases or newsletter articles by Chair or Clerk before release</li> <li>- obtain insurance against possible actions</li> </ul>
Council decisions not implemented	medium	Members	<ul style="list-style-type: none"> <li>- review minutes for confirmation of action</li> <li>- review Clerk's reports for confirmation of action</li> <li>- review correspondence file as necessary</li> </ul>
Inaccurate minutes	low	Members	<ul style="list-style-type: none"> <li>- review and approve at next meeting</li> </ul>
Inadequate document control	low	Clerk	<ul style="list-style-type: none"> <li>- obtain Chair's signature on approved minutes</li> <li>- retain signed minutes in minute book</li> <li>- maintain back-ups of all computer records</li> <li>- retain all records for required legal period</li> </ul>

**2 Objective at risk: providing such services as the local community wishes.**

Description of risk	Rating	Responsibility	Action
Failure to correctly identify local needs or wishes	medium	Members	<ul style="list-style-type: none"> <li>- maintain close contact with local residents</li> <li>- use meetings to obtain residents' feedback</li> <li>- use questionnaires, where appropriate, to identify local wishes</li> <li>- publicise plans and invite comments</li> <li>- review local papers, especially correspondence sections</li> </ul>



#### 4 Objective at risk: control over fixed assets.

Description of risk	Rating	Responsibility	Action
Failure to maintain fixed asset register	low	Clerk Members	- maintain and update fixed asset register - periodically review fixed asset register (at least annually)
Theft of office files and equipment (Clerk's residence)	medium	Clerk	- ensure doors are always locked when residence is unoccupied - ensure adequate locks on doors and windows - limit number of keys in circulation
Fire damage to office equipment (Clerk's residence)	medium	Clerk	- ensure all office equipment is turned off when not in use - ensure fire alarm is fitted and tested - ensure a suitable fire extinguisher is readily available in the office
Accidental damage to fixed assets	medium	Clerk	- obtain adequate insurance cover
Vandalism to fixed assets	low	Clerk Members	- implement regular asset inspection - implement scheduled maintenance programme - obtain adequate insurance cover - check playground equipment monthly - check playground equipment annually by RoSPA.
Loss to third parties	medium	Clerk	- regularly inspect all fixed assets from health & safety viewpoint - obtain adequate insurance cover - check insurance cover held by contractors working on council owned assets

Inadequate insurance	medium	Clerk	<ul style="list-style-type: none"> <li>- continue existing public liability cover (£5m)</li> <li>- continue existing employers liability cover (£10m)</li> <li>- continue existing money cover (£250k)</li> <li>- continue existing fidelity guarantee cover (£2k)</li> <li>- continue existing personal accident cover and review adequacy of insurance cover provided by suppliers.</li> <li>- continue existing cover on physical assets and property and maintain up to date register of assets.</li> </ul>
Insufficient income from allotments to meet costs	low	Members	<ul style="list-style-type: none"> <li>- review allotment rents and costs annually</li> </ul>
Equipment faults	high	Clerk	<ul style="list-style-type: none"> <li>- monitor/inspect Council owned and maintained equipment regularly</li> </ul>

## 5 Objective at risk: control over funds

Description of risk	Rating	Responsibility	Action
Failure to calculate / submit precept request on time	high	Members	<ul style="list-style-type: none"> <li>- confirm submission dates with District Council</li> <li>- prepare draft budget in adequate time</li> <li>- prepare and submit precept request in adequate time</li> </ul>
Failure to maintain proper accounting records	high	Members  Clerk	<ul style="list-style-type: none"> <li>- recruit suitably qualified Clerk</li> <li>- prepare comprehensive job description</li> <li>- periodically review accounting records</li> <li>- review reports from internal and external auditors</li> <li>- review Financial Regulations annually</li> <li>- prepare and maintain approved accounting system</li> <li>- maintain all records up to date</li> </ul>

Failure to account properly for income	medium	Members	- receive and review all reports of all income received
		Clerk	- bank all cash income immediately - advise Council of all receipts
Failure to account properly for expenditure	medium	Members	- review annual budget calculation - review expenditure against budget regularly - inspect and authorise all invoices - restrict cheque signing authority to no more than 3 Members - periodically review bank reconciliations
		Clerk	- enter all invoice details into cash book immediately - maintain adequate analysis of all payments made by category - cross reference all payments to invoices - list all payments due at each Council meeting
Failure to account for and recover VAT	low	Clerk	- maintain separate records of all VAT paid - submit completed quarterly claim to HMRC
Failure to stay within agreed budgets	medium	Clerk	- maintain properly analysed records of all payments - produce bi-monthly variance analysis of payments against budget
		Members	- review bi-monthly variance analysis
Holding excessive or inadequate reserves	medium	Members	- calculate anticipated reserves position at the end of each financial year and review for adequacy / appropriateness
Failure to complete / submit Annual Return on time	low	Clerk	- check and log cut-off dates for submission of Annual Return to external auditors - ensure that accounts are prepared in adequate time for submission

Fraud by Clerk	high	Members	<ul style="list-style-type: none"> <li>- recruit suitably qualified Clerk, after checking references as appropriate</li> <li>- periodically review accounts</li> <li>- periodically review bank reconciliations</li> <li>- receive and review reports by internal and external auditors</li> <li>- obtain adequate insurance cover</li> </ul>
Fraud by Members	medium	Clerk	<ul style="list-style-type: none"> <li>- restrict access to cheque books</li> <li>- review and reconcile bank accounts on receipt</li> </ul>
Failure to achieve best value	low	Members	<ul style="list-style-type: none"> <li>- ensure that there is a documented purchasing policy</li> <li>- issue competitive tenders for all major purchases</li> </ul>
Improper contracting procedures	medium	Members	<ul style="list-style-type: none"> <li>- ensure Standing Orders and Financial Regulations dealing with contracts are in place and reviewed annually.</li> <li>- conduct annual review of contracts</li> </ul>
		Clerk	<ul style="list-style-type: none"> <li>- adhere to codes of practice for procurement</li> </ul>
Inadequate annual precept and unsound budgeting arrangements	medium	Clerk	<ul style="list-style-type: none"> <li>- present bi-monthly financial monitoring statement to Council</li> <li>- involve Internal Auditor and accountant in budget process.</li> <li>- present budget to December Council meeting</li> <li>- involve accountant in setting annual precept</li> </ul>
Improper financial records in accordance with legal powers	medium	Members	<ul style="list-style-type: none"> <li>- regularly scrutinize financial records and proper arrangements for approval of expenditure</li> </ul>
Requirements not met under Customs and Excise regulations	high	Clerk	<ul style="list-style-type: none"> <li>- submit quarterly VAT returns</li> <li>- undertake training on VAT and taxation matters</li> </ul>
Failure to comply with statutory deadlines for accounts And other financial returns	medium	Members	<ul style="list-style-type: none"> <li>- appoint Internal Auditor annually</li> </ul>
		Clerk	<ul style="list-style-type: none"> <li>- ensure internal controls and documentation in place</li> <li>- review minutes to ensure legal powers are available</li> <li>- undertake regular bank reconciliations</li> </ul>

## 6. Objective at risk: control over administration, employees and services

Description of risk	Rating	Responsibility	Action
Loss of data on PC due to systems fault	high	Clerk	- back-up data on a regular basis
Loss of services of Parish Clerk	medium	Members  Clerk	- designate member to co-ordinate appointment activities - immediately advertise and seek advice from YALC and YSLCC about interim locum  - maintain manual/calendar of key administrative and financial activities
Loss of records through fire	medium	Clerk	- ensure back-up copies of staff files/financial records
Lack of professional advice	medium	Members	- maintain annual membership in YALC and SLCC
Improper, untimely and inaccurate reporting of council business in minutes	low	Clerk	- properly number minutes with master copies kept in safe place.

Failure to respond to electors wishing to exercise their rights of inspection	medium	Clerk	- develop and maintain procedures/protocol for dealing with enquiries from the public.
Incomplete/inaccurate register of member's interests	medium	Members Clerk	- continue regular monitoring of personal form - maintain procedures for monitoring member's interest forms - adopt member's Code of Conduct
Unsafe working conditions for contracted Lengthsman	High	Members Clerk	- ensure Lengthsman undertakes risk assessment for all activities - engage in regular discussions about possible job risks  - ensure adequate insurance cover - ensure Lengthsman has received appropriate health and safety training on key activities
Non-compliance with Data Protection legislation	Medium	Clerk	- renew Data Protection license annually

**Reviewed and approved by Parish Council on 13 November 2008**