

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	high	Members Clerk	<ul style="list-style-type: none"> - actively publicise Council activities - seek candidates amongst friends and colleagues - publicise vacancies on notice boards - publicise vacancies in Council Newsletter and website - publicise vacancies in local newspapers
Failure to achieve quorum at meetings	low	Clerk	<ul style="list-style-type: none"> - issue annual meeting calendar to all members - issue meeting agendas promptly - maintain attendance register - contact members who fail to attend meetings
Lack of public participation at meetings	medium	Clerk	<ul style="list-style-type: none"> - ensure meetings publicise on notice boards - place articles in local newspapers - include public participation on all agendas - ensure seating available at meeting for public - provide advice for members of the public attending - publish agendas and minutes on website
Lack of public consultation by members	low	Members	<ul style="list-style-type: none"> - maintain regular contact with local residents - publicise address and contact details - seek opinions through Parish Council web site, Embsay News, Reports, Social Media and Press Articles
Members acting alone outside meetings	low	Members	<ul style="list-style-type: none"> - obtain and read 'Good Councillor's Guide' - avoid making commitments on behalf of the council - attend relevant training courses

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

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	low	Members	<ul style="list-style-type: none"> - maintain close contact with local residents - use local social media notices - use meetings to obtain residents' feedback - use questionnaires, where appropriate, to identify local wishes - publicise plans and invite comments - review local papers, especially correspondence sections

Failure to meet all payroll requirements	low	Clerk	<ul style="list-style-type: none"> - submit regular returns to Inland Revenue - review staff and service contracts annually
--	-----	-------	---

4 Objective at risk: control over fixed assets.

Description of risk	Rating	Responsibility	Action
Failure to maintain fixed asset register	low	Clerk Members	<ul style="list-style-type: none"> - maintain and update fixed asset register - periodically review fixed asset register (at least annually)
Theft of office files and equipment (Cllr Benjamin Residence)	low	Member/Clerk	<ul style="list-style-type: none"> - 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)	low	Clerk	<ul style="list-style-type: none"> - 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	low	Clerk	<ul style="list-style-type: none"> - obtain adequate insurance cover
Vandalism to fixed assets	low	Clerk Members	<ul style="list-style-type: none"> - implement regular asset inspection - implement scheduled maintenance programme - obtain adequate insurance cover - check playground equipment fortnightly - check playground equipment annually by qualified inspector.

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

5 Objective at risk: control over funds

Description of risk	Rating	Responsibility	Action
Failure to calculate / submit precept request on time	low	Clerk/Chair	<ul style="list-style-type: none"> - confirm submission dates with District Council - prepare draft budget in adequate time - prepare and submit precept request in adequate time

Failure to maintain proper accounting records	low	Members Clerk	<ul style="list-style-type: none"> - recruit suitably qualified Clerk - prepare comprehensive job description - periodically review accounting records - review reports from internal and external auditors - review Financial Regulations annually <ul style="list-style-type: none"> - prepare and maintain approved accounting system - maintain all records up to date
Failure to account properly for income	low	Members Clerk	<ul style="list-style-type: none"> - receive and review all reports of all income received <ul style="list-style-type: none"> - bank all cash income immediately - advise Council of all receipts
Failure to account properly for expenditure	low	Members Clerk	<ul style="list-style-type: none"> - 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 <ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - maintain separate records of all VAT paid - submit completed quarterly claim to HMRC
Failure to stay within agreed budgets	low	Clerk Members	<ul style="list-style-type: none"> - maintain properly analysed records of all payments - produce bi-monthly variance analysis of payments against budget <ul style="list-style-type: none"> - review quarterly variance analysis
Holding excessive or inadequate reserves	low	Members	<ul style="list-style-type: none"> - 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	<ul style="list-style-type: none"> - 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	low	Members	<ul style="list-style-type: none"> - recruit suitably qualified Clerk, after checking references as appropriate - periodically review accounts - periodically review bank reconciliations - receive and review reports by internal and external auditors - obtain adequate insurance cover
Fraud by Members	low	Clerk	<ul style="list-style-type: none"> - restrict access to cheque books - review and reconcile bank accounts on receipt
Failure to achieve best value	low	Members	<ul style="list-style-type: none"> - ensure that there is a documented purchasing policy - issue competitive tenders for all major purchases
Improper contracting procedures	low	Members	<ul style="list-style-type: none"> - ensure Standing Orders and Financial Regulations dealing with contracts are in place and reviewed annually. - conduct annual review of contracts
		Clerk	<ul style="list-style-type: none"> - adhere to codes of practice for procurement
Inadequate annual precept and unsound budgeting arrangements	low	Clerk	<ul style="list-style-type: none"> - present monthly financial monitoring statement to Council - involve Internal Auditor and accountant in budget process. - present budget to December Council meeting - involve accountant in setting annual precept
Improper financial records in accordance with legal powers	low	Members	<ul style="list-style-type: none"> - regularly (at least quarterly) scrutinize financial records and proper arrangements for approval of expenditure
Requirements not met under Customs and Excise regulations	low	Clerk	<ul style="list-style-type: none"> - submit quarterly VAT returns - undertake training on VAT and taxation matters
Failure to comply with statutory deadlines for accounts And other financial returns	low	Members	<ul style="list-style-type: none"> - appoint Internal Auditor annually - ensure internal controls and documentation in place
		Clerk	<ul style="list-style-type: none"> - review minutes to ensure legal powers are available - undertake regular bank reconciliations

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	medium	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 YLCA and YSLCC about recruitment - Appoint emergency locum clerk and regularly review emergency succession procedures - 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	low	Members	- maintain annual membership in YLCA 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 form	low	Members Clerk	- continue regular monitoring of Register of Member's interest form - maintain procedures for monitoring Member's Registration of Interests forms - adopt member's Code of Conduct
Unsafe working conditions for contracted Lengthsman	Medium	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 March 2014
Reviewed and approved by Parish Council 10th February 2016
Reviewed and approved by Parish Council 13th June 2018
Reviewed March 2020 and approved by Parish Council 13th May 2020
Reviewed March 2022 and approved by Parish Council 11th May 2022
Reviewed April 2023 and approved by Parish Council 10th May 2023