

## 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"> <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	low	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	medium	Clerk	<ul style="list-style-type: none"> <li>- ensure meetings publicise 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	low	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 Parish Council web site, Embsay News, Reports, Social Media and Press Articles</li> </ul>
Members acting alone outside meetings	low	Members	<ul style="list-style-type: none"> <li>- obtain and read 'Good Councillor's Guide'</li> <li>- avoid making commitments on behalf of the council</li> <li>- attend relevant training courses</li> </ul>

Bad publicity	low	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	low	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> <li>- send members action highlight points</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	low	Members	<ul style="list-style-type: none"> <li>- maintain close contact with local residents</li> <li>- use local social media notices</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>



Failure to meet all payroll requirements	low	Clerk	<ul style="list-style-type: none"> <li>- submit regular returns to Inland Revenue</li> <li>- review staff and service contracts annually</li> </ul>
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#### 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"> <li>- maintain and update fixed asset register</li> <li>- periodically review fixed asset register (at least annually)</li> </ul>
Theft of office files and equipment (Cllr Benjamin Residence)	low	Member/Clerk	<ul style="list-style-type: none"> <li>- ensure doors are always locked when residence is unoccupied</li> <li>- ensure adequate locks on doors and windows</li> <li>- limit number of keys in circulation</li> </ul>
Fire damage to office equipment (Clerk's residence)	low	Clerk	<ul style="list-style-type: none"> <li>- ensure all office equipment is turned off when not in use</li> <li>- ensure fire alarm is fitted and tested</li> <li>- ensure a suitable fire extinguisher is readily available in the office</li> </ul>
Accidental damage to fixed assets	low	Clerk	<ul style="list-style-type: none"> <li>- obtain adequate insurance cover</li> </ul>
Vandalism to fixed assets	low	Clerk Members	<ul style="list-style-type: none"> <li>- implement regular asset inspection</li> <li>- implement scheduled maintenance programme</li> <li>- obtain adequate insurance cover</li> <li>- check playground equipment fortnightly</li> <li>- check playground equipment annually by qualified inspector.</li> </ul>

Loss to third parties	low	Clerk	<ul style="list-style-type: none"> <li>- regularly inspect all fixed assets from health &amp; safety viewpoint</li> <li>- obtain adequate insurance cover</li> <li>- check insurance cover held by contractors working on council owned assets</li> </ul>
Inadequate insurance	low	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 for allotments association meet costs	low	Members	<ul style="list-style-type: none"> <li>- designated lead member review allotment association's rents and costs annually.</li> </ul>
Equipment faults	low	Members /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	low	Clerk/Chair	<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	low	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> </ul> <ul style="list-style-type: none"> <li>- prepare and maintain approved accounting system</li> <li>- maintain all records up to date</li> </ul>
Failure to account properly for income	low	Members  Clerk	<ul style="list-style-type: none"> <li>- receive and review all reports of all income received</li> </ul> <ul style="list-style-type: none"> <li>- bank all cash income immediately</li> <li>- advise Council of all receipts</li> </ul>
Failure to account properly for expenditure	low	Members  Clerk	<ul style="list-style-type: none"> <li>- review annual budget calculation</li> <li>- review expenditure against budget regularly</li> <li>- inspect and authorise all invoices</li> <li>- restrict cheque signing authority to no more than 3 Members</li> <li>- periodically review bank reconciliations</li> </ul> <ul style="list-style-type: none"> <li>- enter all invoice details into cash book immediately</li> <li>- maintain adequate analysis of all payments made by category</li> <li>- cross reference all payments to invoices</li> <li>- list all payments due at each Council meeting</li> </ul>
Failure to account for and recover VAT	low	Clerk	<ul style="list-style-type: none"> <li>- maintain separate records of all VAT paid</li> <li>- submit completed quarterly claim to HMRC</li> </ul>
Failure to stay within agreed budgets	low	Clerk  Members	<ul style="list-style-type: none"> <li>- maintain properly analysed records of all payments</li> <li>- produce bi-monthly variance analysis of payments against budget</li> </ul> <ul style="list-style-type: none"> <li>- review quarterly variance analysis</li> </ul>
Holding excessive or inadequate reserves	low	Members	<ul style="list-style-type: none"> <li>- calculate anticipated reserves position at the end of each financial year and review for adequacy / appropriateness</li> </ul>

Failure to complete / submit Annual Return on time	low	Clerk	<ul style="list-style-type: none"> <li>- check and log cut-off dates for submission of Annual Return to external auditors</li> <li>- ensure that accounts are prepared in adequate time for submission</li> </ul>
Fraud by Clerk	low	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	low	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	low	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	low	Clerk	<ul style="list-style-type: none"> <li>- present 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	low	Members	<ul style="list-style-type: none"> <li>- regularly (at least quarterly) scrutinize financial records and proper arrangements for approval of expenditure</li> </ul>
Requirements not met under Customs and Excise regulations	low	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	low	Members	<ul style="list-style-type: none"> <li>- appoint Internal Auditor annually</li> <li>- ensure internal controls and documentation in place</li> </ul>
		Clerk	<ul style="list-style-type: none"> <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	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

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