

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 Councilor'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 meetings to obtain residents' feedback - use questionnaires, where appropriate, to identify local wishes - publicise plans and invite comments - review local papers, especially correspondence sections

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 (Cllr Benjamin Residence)	low	Member/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)	low	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	low	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 fortnightly - check playground equipment annually by qualified inspector.
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

Failure to account properly for income	low	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	low	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	low	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	low	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	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	medium	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	medium	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 - review minutes to ensure legal powers are available
		Clerk	<ul style="list-style-type: none"> - 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

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