

## Asby Parish Council RISK REGISTER | 2016-17

*This document has been prepared for approval by the Parish Council at it's meeting on 16<sup>th</sup> March 2017.*

**Risk management is the process whereby local councils methodically address the risks associated with what they do and the services which they provide. The Parish Council should identify potential risks, then take all practical and necessary steps to reduce or eliminate the risks, as far as is practically possible.** This document should enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

Subject	Risk	Responsibility	Management & controls	Review & action required
<b>FINANCIAL</b>				
Precept & budget	Adequacy of precept	Councillors	To determine the precept amount required, the Parish Council regularly receives budget update information and the precept is an agenda item at Council Meeting in November and January.	None
	Requirements not submitted to EDC	Clerk	Submitted by the Clerk in writing to EDC following budget/precept approval and before end January.	None
Financial records & reporting	Inadequate records Financial irregularities	Clerk/councillors	Budget update, bank balances and breakdown of receipts and payments produced and approved on a quarterly basis.  The Council has Financial Regulations which set out the requirements.	None  Review the Financial Regulations annually.
Insurance	Insurance not in place	Clerk	Process payment for annual premium promptly	Review insurance provision annually. Seek quotations following a 10% increase in premium.
	Inadequacy of insurance	Councillors	Employers and Public liability insurance is a necessity.	
	Cost increase		Out of Councils control	
Annual return	Inaccurate or incomplete	Clerk	Clerk to attend training/ workshops as required Annual Return is completed and submitted to the internal auditor for completion and signing.	Review dates on receipt of audit pack
	Submit within time limits	Clerk/councillors	Meeting held to approve accounts in time for sending to Auditors	

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Banking	Fraud	Councillors Clerk	Two signatories required on cheques Clerk checks bank statements quarterly.	Review bank mandate annually at Annual Meeting and after a vacancy arises
	Incorrect payments & bank mistakes	Clerk	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts.	Review the Financial Regulations annually.
Best value for works	Work awarded incorrectly	Councillors	The Council has Financial Regulations which set out the requirements and values for contracting works. Project budgets to be closely monitored	Review Financial Regulations annually
Accountability	Overspend on services			
Election costs	Risk of an election cost	Clerk	Parish elections every four years; next in 2019. Costs only if a contested election and as such the Council should not seek to minimise these.	Include sufficient reserves in budget for each election year
<b>COUNCIL MANAGEMENT</b>				
Councillors	Roles performed inadequately	Councillors	Councillors have access to adequate training, reference materials and assistance.  Membership of CALC	Maintain membership of CALC  Annual renewal
	Conflict of interest	Clerk/councillors	Members will declare an interest when appropriate	Compliance with the Transparency Code is a legal duty.
	Failure to attract candidates for councillor vacancies	Councillors  Councillors	Registers of Members Interest to be maintained and reviewed regularly by Councillors.  Actively publicise Council activities & vacancies on noticeboard, newspapers & website; seek candidates amongst friends & neighbours	Members take responsibility to update their Register.
Powers	Illegal activity or payments	Councillors	All activity and payments within the powers of the Parish Council to be resolved and minuted at Quarterly Parish Council Meetings.	
Meetings & process	Failure to achieve quorum at	Councillors	Attend all meetings	

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	meetings  Business conduct  Council decisions not implemented  Lack of public participation	Clerk  Councillors/Chairman  Councillors/Clerk  Councillors/Clerk	Issue meeting agenda promptly  Business conducted at Council meetings should be managed by the Chairman according to Standing Orders. Chairman should be provided with training & guidance Members to adhere to Code of Conduct.  Review minutes for confirmation of action, Chair to report at full meetings  Ensure meetings are publicised on noticeboards, in Asby Matters (full meetings). Publish agenda and minutes on GAB website. Communicate verbally with residents Ensure public participation on all agenda & seating available	Standing Orders to be reviewed in year.
Statutory documents - Minutes/ Agendas/ Notices	Accuracy and legality	Clerk  Councillors/Chairman/ Clerk	Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements. Minutes are approved for signature at each meeting.  Minutes and agenda are published according to the Publication Scheme detailed in legislation	
Employees (clerk)	Role performed inadequately  Salaries & expenses incorrectly paid	Councillors/clerk  Clerk	Clerk has job description and Contract of Employment and is provided with adequate training, reference materials and access to assistance  Clerk's salary paid via PAYE using a payroll management contract. Expenses (following NALC guidelines where relevant) claimed on regular basis & presented with receipts to Council.	Annual review of Clerk conditions of employment
<b>PHYSICAL EQUIPMENT/ AREAS</b>				
Assets	Damage/ injury to third party  Damage to assets	Councillors  Councillors	Public liability insurance held  Annual programme of inspection. Maintenance/ repair/ replacement requirements identified and brought to	Insurance cover & asset register reviewed annually

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			attention of the Clerk. Urgent repairs to be discussed & agreed with Chairman in accordance with Financial Regulations. Non-urgent repairs to be agreed at next meeting.	
Meeting location	Adequacy, Health & Safety risk	Councillors	Meetings held in Village Hall. Premises considered to be adequate for Council and public access and comfort.	
Council records	Loss of paper records through theft, fire damage, etc  Loss of electronic records through data corruption, theft etc	Clerk  Clerk	Parish records (historic & current) stored at the home of the Clerk and in Village Hall filing cabinet.  Records stored on Clerks computer, backed up to 'Dropbox' internet storage.	Consider sending historical records (minute books etc) to Kendal archive