

Asby Parish Council RISK REGISTER | 2018-19

This document has been prepared for approval by the Parish Council at it's meeting on 28th March 2019.

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
FINANCIAL				
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.	Consider recommendations regarding the monitoring of PAYE/NIC and timing of payments. Review the Financial Regulations annually.
Insurance	Insurance not in place	Clerk	Process payment for annual premium promptly	None
	Inadequacy of insurance	Councillors	Employers and Public liability insurance is a necessity.	Review insurance provision annually.
	Cost increase		Out of Councils control	Research market re Internal Auditor's recommendation.
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.	None

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	Submit within time limits	Clerk/councillors	Meeting held to approve accounts in time for sending to Auditors	Review dates on receipt of audit pack
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
COUNCIL MANAGEMENT				
Councillors	Roles performed inadequately	Councillors	Councillors have access to adequate training, reference materials and assistance.	Maintain membership of CALC
	Conflict of interest	Clerk/councillors	Membership of CALC	Annual renewal
			Members will declare an interest when appropriate	Compliance with the Transparency Code is a legal duty.
	Failure to attract candidates for councillor vacancies	Councillors	Registers of Members Interest to be maintained and reviewed regularly by Councillors.	Members take responsibility to update their Register.
Councillors		Actively publicise Council activities & vacancies on noticeboard, newspapers & website; seek candidates amongst friends & neighbours		

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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 meetings	Councillors Clerk	Attend all meetings Issue meeting agenda promptly	Standing Orders to be reviewed in year.
	Business conduct	Councillors/Chairman	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.	
	Council decisions not implemented	Councillors/Clerk	Review minutes for confirmation of action, Chair to report at full meetings	
	Lack of public participation	Councillors/Clerk	Ensure meetings are publicised on noticeboards; Publish agenda and minutes on website. Communicate verbally with residents Ensure public participation on all agenda & seating available	
Statutory documents - Minutes/ Agendas/ Notices	Accuracy and legality	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.	
		Councillors/Chairman/ Clerk	Minutes and agenda are published according to the Publication Scheme detailed in legislation.	
Employees (clerk)	Role performed inadequately	Councillors/clerk	Clerk has job description and Contract of Employment and is provided with adequate training, reference materials and access to assistance	Annual review of Clerk conditions of employment
	Salaries & expenses incorrectly paid	Clerk	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.	Consider recommendations regarding the monitoring of PAYE/NIC and timing of payments. Consider recommendations regarding the

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PHYSICAL EQUIPMENT/ AREAS				
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 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.	Insurance cover & asset register reviewed annually
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