

REIGHTON & SPEETON PARISH COUNCIL

RISK REGISTER – 2017

Area of Risk	Risk	Current Controls in Place/ Risk Management	By	Risk Level	Review Frequency
Finance	Inadequate or failure to Precept	Sound budget for 2017/2018 – discussed at meeting 12/12/2016; Actual Budget spend monitored by clerk. Actual budget spend reported to Council half yearly.	Clerk/Council	Low	Annual & Ongoing
	Loss through theft/fraud	Fidelity Insurance of £50,000 in place; Two Councillors sign cheques No petty cash kept; Cashbook maintained, bank reconciliation undertaken monthly.	Clerk/Council	Low	Ongoing
	Financial records and controls	Financial Regulations in place reviewed annually; Cashbook maintained up to date & balanced regularly; Council agrees all expenditure via schedule of payments at each meeting; Payments supported by invoices; Bank reconciliations monthly by Clerk; Internal Audit/External recommendations acted on. Adequate training for Clerk/RFO to undertake role. Finance check of records by two councillors twice a year.	Clerk/Council	Low	Annual, at meetings & ongoing by clerk
	HMRC Failure to comply.	Returns made when salary calculated via Basic PAYE Tools; All employees are registered with HMRC	Clerk	Low	Bi-Monthly
	VAT not reclaimed.	Claims made as needed	Clerk	Low	As needed
	Compliance with borrowing	No borrowing currently.			
	Banking	Cash banked promptly; Money loss insurance in place £50,000; Income properly & promptly recorded	Clerk	Low	As needed Insurance Annually
	Loss of chq book or PIB	Stored securely at Clerk's home address	Clerk	Low	Daily
	Internal Audit	Undertaken yearly in accordance with legislation; Written report provided to & reviewed by the Council; Auditor has full access to all documents, procedures & regulations.	Clerk/Council	Low	Annually
	External Audit	Year end accounts prepared on Receipts/Payments basis; Accounts agree with cashbook; Annual Return completed by the Clerk.; Annual Return checked & approved by Council; Electors rights to inspect accounts/audit advertised.	Clerk/Council	Low	Annually
	Adequacy of Reserves	Earmarked & general reviewed by the Council with budget	Clerk/Council	Low	Annually at budget

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	Failure to use funds under correct powers/S137	Ensure all decisions for expenditure are made within specific powers & recorded. Requests for donations are agreed by Council and recorded properly (appropriate power)	Clerk/Council	Low	Ongoing
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Donations	Law	Correct power for donation must be identified and minuted	Clerk/Council	Low	Ongoing
	Process	Requests for donations considered on individual basis; All donations are agreed by Council. For donations over £1,000, the receiver of donation required to give confirmation to Parish Council of use of funds within 12 months	Clerk/Council	Low	Ongoing
Area of Risk	Risk	Current Controls in Place/ Risk Management	By	Risk Level	Review Frequency
Office Management	IT breakdown – loss of records	Regular back up – separate hard drive; Up to date virus software.	Clerk	Low	backups weekly
	Fire/theft	Asset documents held in fire proof box; Main documents (Minutes, procedures) also held on website	Clerk/Council	Low	Ongoing
	Business Continuity	All paper & electronic files held at the Clerk's home. Computer files are backed up weekly. If Clerk is ill or indisposed, Chairman will consult with YLCA for advice regarding temporary cover.	Clerk/Council	Low	Ongoing
	Data Protection	Documents & personal details held in accordance with Data Protection principles & registered with Information Commissioner	Clerk	Low	Ongoing
	Freedom of Information	Publication scheme on website. Requests for information dealt with within 20 working days within the terms of the Act. Monitor & report any impact of requests under the Act	Clerk	Low	Ongoing
	Meetings	All notices to be posted in the prescribed places 3 clear days prior to meeting (other than Annual Parish Meeting). Councillors notified by way of a summons and agenda.	Clerk	Low	Ongoing
	Meeting Location	All meetings are held at Village Hall, St Helen's Lane, Reighton. Key held with Cllr Paul Riley, The Paddock, St Helen's Lane, Reighton Premises have disabled access and facilities	Clerk/Council	Low	Ongoing
	Adequacy of STO's & Fin	Reviewed annually by the Council; NALC model used & updated with details specific to our council. Keep abreast of changes in legislation &	Clerk/Council	Low	Annually

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	Regs	updates by membership of YLCA			
	Planning Applications	Consultation deadlines met or extension negotiated by the Clerk. Consult with Chairman for extra meetings to take in account deadlines.	Clerk	Low	Ongoing
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Employees	Employee Safety	Lone Working/Working at Home Policies approved by Council Visitors to Clerk's home (place of work) is by appointment with another person/Councillor present	Clerk/Council	Low	Ongoing
	Employer Liability	Comply with employment law; Adequate training; Seek advice from Yorkshire Local Councils Association; Insurance in place £10million	Clerk/Council	Low	Annually
	Employing Staff	Personnel Committee to undertake recruitment & grievance or disciplinary issues & take advice from YLCA. Ensure employees are recruited in accordance with correct, unbiased procedures.	Clerk /Council	Low	Ongoing
	References	Always take up references for a new employee from a previous employer or other reputable person.	Clerk/Council	Low	Ongoing
	Inability to retain staff	Employment Law adhered to. Annual appraisal; Job description, Employment Contract & pay scales are up to date. Advice sought from YLCA	Clerk/Council	Low	Ongoing
	Lack of training	Clerk supported with membership of SLCC & training events attended	Clerk/Council	Low	Ongoing
Volunteers	Volunteers	Public Insurance in place £10million. Correct training & supervision given. No work undertaken that is outside of a volunteer's capability Volunteers do not work with lifting or rotating machinery unless specific training received	Clerk/Council	Low	Ongoing
Contractors	Contracts poorly specified	General contract specifications are resolved by the Council & priced & awarded in accordance with Financial Regulations.	Clerk/Council	Low	Ongoing
	Adequacy of contractors	Contractors supply a copy of public liability insurance; Contractors supply site specific risk assessments & method statements; All communications should be written to avoid misinformation; Contractor performance should be monitored & sites inspected regularly. The Council's Health & safety policy is given to contractors when pricing for work which must be adhered to. Make sure contractors have necessary resources to comply with the contract – give them detailed specs.	Clerk/Council	Low	Ongoing
	Finance	Tender process & Financial Regulations in place for transparency	Clerk/Council	Low	Ongoing

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Liability	Legal Powers	Ensure all activities & Council decisions are within legal & statutory powers. Take advice from YLCA when required.	Clerk/Council	Low	Ongoing
	Risk to third party, property or individuals	Public liability in place; Risk assessments site/activity specific for all Council functions	Clerk/Council	Low	Ongoing
	Legal Liability re asset ownership	Public liability insurance in place; Regular inspections and written records kept. Requests for repair actioned by Clerk as to routine or emergency	Clerk/Council	Low	Ongoing
	Employers Liability	Insurance in place - £10million	Clerk/Council	Low	Annually
	Public Liability	Insurance in place - £10million	Clerk/Council	Low	Annually
	Personal Accident	Employee and volunteer and Member. Cover is limited to £500,000 any one person and £2,000,000 any one incident.	Clerk/Council	Low	Annually
Councillors	Propriety	Councillors complete Declaration of Acceptance of Office and Registration of Interests on becoming a Councillor; Register of Interests available for inspection on website			
	Conflict of Interest	Councillors have full knowledge/training of Code of Conduct and are updated regularly on legislation. Councillors declare appropriate interest or request dispensation.	Councillors	Med	Ongoing
	Knowledge of Council Business	Councillors receive induction pack on becoming a Councillor which includes – Declaration of Acceptance of Office, Registration of Interests, Standing Orders, Financial Regulations, List of Assets, current year's accounts & budget monitor, budget for following year, Code of Conduct, Complaints Procedure, Publication Scheme, employment details, synopsis of Council functions, duties and powers	Clerk	Low	In election year and on casual vacancy/co-option
General	Disability Legislation	Clerk updates Council on legislation as required; Review duties annually or on embarking on new activities/functions	Clerk/Council	Low	Ongoing
	Health & Safety	Health and Safety policy in place	Clerk/Council	Low	Annual
	Policy adequacy and review	Policies in place – Standing Orders ; Financial Regulations; Complaints Procedure Health & Safety; Employment – Grievance, Disciplinary, Lone Working, Home Working; Freedom of Information	Clerk/Council	Low	On going

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Risks	Risks	Register reviewed annually by Clerk and Council Site specific risks reviewed annually by Clerk and Council Risk assessments for specific functions/events carried out as and when required	Clerk/Council	Low	Annually
	Legal	Council membership of YLCA for advice Council makes lawful decisions	Clerk/Council	Low	Annually
Assets					
Protection of assets • Loss of; • Lack of knowledge of; and • Fire/theft/ vandalism		Full asset register kept of all Parish Council assets, updated when required and submitted to Council for approval at the Annual Meeting, insurance values indexed linked; Computer equipment insured.; Other assets insured on all risk cover. Insurance reviewed annually or when required	Clerk/Council	Low	Ongoing
Maintenance • Repairs • Damage • Planned • Safety		Assets maintained on an ad hoc basis – Council/Clerk respond to reports for repair – Clerk has delegated emergency budget.	Clerk/Council	Low	Ongoing
Seats & shelters Power to provide – Parish Councils Act 1957 s 1		Seats & Shelters listed on assets register seats/benches insured £2800 & insured on all risk cover Bus shelters insured £6060 & insured on all risk cover	Clerk/Council	Low	Annual
	Inspection	Seats and shelters visually assessed by Councillors	Clerk/Council	Low	Ongoing
	Cleaning	Bus shelters cleaned out as necessary by Councillors	Clerk/Council	Low	Ongoing
	Repair	Repairs are undertaken following reports of damage	Clerk/Council	Low	Annual
Donation of seats	Asset donation	All requests to donate seats are assessed on an individual basis Highway consents are required prior to installing seats or shelters Currently the Parish Council will only accept a donation of a seat if another one needs replacing. Seat has to be vandal proof	Clerk/Council	Low	Ongoing
Watsons Steps	Falling tripping etc	Separate risk assessment undertaken on quarterly basis	Chairman	Med	Quarterly

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Reviewed by Council on: 28th March 2017

Signed Paul Riley Chairman

Signed *Helen Carter* Clerk

Date of next review: March 2018