

## Ebberston with Yedingham Parish Council Risk Assessment

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the Parish Council to identify any and all potential inherent risks. The Parish Council, based on a recorded assessment, will take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible.

This document has been produced to enable Ebberston with Yedingham Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

### FINANCIAL AND MANAGEMENT

Subject	Risk(s) indentified	H/M/L	Management/control of Risk	Review/Assess/Revise
Precept	Adequacy of precept Precept not submitted to RDC in time.	L	Budget review by Council twice yearly Precept to be considered by the Council before the deadline. The Clerk informs the Council when the monies are received.	Existing procedure adequate.
Councillors	Losing a Councillor Councillor being sued	L L	When a vacancy arises the legal process should be followed. Insurance to cover public liability and Councillors being sued for any actions taken by the Council.	Existing procedure adequate. Insurance cover
Financial Records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations which sets out the requirements.	Existing procedure adequate Review the Financial regulations yearly
Bank and banking	Inadequate checks  Bank mistakes	L L	The Council has Financial Regulations which set out banking requirements. Monitored by the Chair and formally at bi-monthly meetings.	Existing procedure adequate  Existing procedure adequate
Reporting and auditing	Information communication	L	Financial information is a regular agenda item (Finance Report) and discussed/reviewed and approved at each meeting.	Existing procedures adequate.
Grants	Receipt of grant	L	Parish Council does not presently receive any regular grants.	Procedure would be formed, if required
Charges-rents receivable	Payment of rents	L	The Parish Council collects Allotment rents in April each year. Allotment holders have signed agreements and rent income reviewed yearly.	Existing procedure adequate
Grants and support payable	Power to pay Authorisation of	L	All such expenditure goes through the required Council process of approval and recorded in the minutes.	Existing procedure adequate.

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	Council to pay			
Best value accountability	Work awarded Incorrectly. Overspend on services.	L	Normal Parish Council practice would be to seek, if possible, more than one quotation for any substantial work to be undertaken. For major work competitive tenders would be sought. If problems encountered with a contract the Clerk would investigate the situation and report to the Council.	Existing procedure adequate. Include when reviewing Financial regulations.
Salaries and assoc. costs	Salary paid incorrectly. Unpaid Tax to Inland Revenue.	L L	The Council appoints any employees at a special Council meeting. The clerk reports details of payments to the Inland revenue. Salary and Hours are assessed annually by the Council. Salary is paid 6 monthly in arrears. The Clerk reports any details of payments six monthly. The tax is worked out using an inland revenue computer program and submitted in the inland revenue return. The Clerk has a contract of employment and job description.	Existing appointment system adequate. A confidential session at a nominated PC meeting, needs to be held to carry out an annual review.
Employees	Loss of clerk Fraud by staff  Health and safety  Actions undertaken by Clerk	L L L L	Clerk to give adequate notice to ensure continuity. Adequate financial regulations and governance of the bank account. All employees to be provided adequate direction and safety equipment needed to undertake their roles. The clerk to have adequate training and support	Existing procedures adequate. Existing procedures adequate.  Monitor health and safety and insurance annually. Member of YLCA.
VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out the requirements.	Existing procedures adequate
Annual Return	Submit within time limits	L	Employers Annual Return is completed within the prescribed time frame by the Clerk and submitted to internal auditor for completion and signing. Annual Return completed and signed by the Council, and sent to External Auditor within time frame.	Existing procedures adequate.
Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved at Council Meetings under the Finance section of agenda and Finance report.	Existing procedures adequate

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Minutes/agendas/ Notices Statutory Documents`	Accuracy and legality	L	Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair	Existing procedures adequate.
	Business conduct	L		Members adhere to Code of Conduct
Members interests	Conflict of interests Register of members interests	L M	Declarations of interest by members at Council meetings. Register of member's interests forms reviewed regularly.	Existing procedures adequate. Members take responsibility to update register.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity and within policies. Ensure compliance measures are in place.	Existing procedure adequate. Insurance reviewed as necessary and before expiry of agreement.
Data protection	Policy provision	L	The Parish Council is registered with the Data Protection Agency	Ensure annual renewal of registration
Freedom of Information	Policy Provision	L M	The Clerk to respond to any freedom of information requests appropriately. The Parish Council is aware that if a substantial request came in it could create a number of additional hours work. The Parish Council can request a fee to supplement the extra hours	Monitor any requests made under FOI
Assets	Loss or damage Risk/damage to third party property	L L	An annual review of assets is undertaken for insurance provision. An asset register is maintained.	Existing procedures adequate
Maintenance	Poor performance of assets or amenities	L	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for any repair is actioned/authorised in accordance with the correct procedures of the Parish Council. Assets are insured.	Existing procedures adequate

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Notice Board	Risk of damage	L	The Parish Council currently has 3 notice boards. No formal inspection procedures are in place but any reports of damage or faults are reported to the Parish Council and dealt with in accordance of the correct procedures of the Council.	Existing procedures adequate
Meeting locations	Adequacy Health & Safety	L L	The Parish Council meeting is held in a venue considered to have appropriate facilities for the Clerk, members and the general public.	Existing procedures adequate
Council records – paper	Loss through: Theft Fire damage	L M L	The Parish Council records are stored at the home of the Clerk. Records include historical correspondences, minutes, insurance, and bank records. The documents are stored in a lockable cabinet and storage box.	Damage (apart from fire) and theft is unlikely and so provision is adequate.
Council records – electronic	Loss through: Theft, fire damage or corruption of computer	L M	The Parish Council electronic records are stored on the Council laptop held with the home of the Clerk. Back ups of electronic data is made at regular intervals. Back up data stick to be given to the Chair at each Parish council meeting. Minutes and financial documents are on the Parish Council website.	Existing procedures considered adequate

Reviewed at meeting held on.....

Signed by..... Position

Review period.....