

Scagglethorpe Parish Council

Parish Risk Assessment

Last updated November 2019 Last Reviewed November 2024

Subject	Perceived Risk	Risk Level	Risk Control measures	Control/Management Procedures
Precept	Adequacy of precept sufficient for the council to carry out its statutory duty	L	The Parish Council (PC) will regularly receive budget updates, financial statements and bank reconciliations from the clerk. At an appropriate annual meeting the council will receive a budget report, including actual position and projected position and possible projects for the year ahead together with indicative costings and figures, and will decide the precept for the coming year. This will be submitted in writing by the clerk to North Yorkshire Council. The clerk will inform the council when monies are received.	Budget updates and financial statements will be a standard agenda item at all regular meetings of the Council. The Precept discussion will be a standard agenda item at the council's November meeting.
Financial Records	Inadequate records Financial irregularities	L L	The PC will ensure Financial regulations are in place and complied with.	Internal and external audits will be carried out in accordance with regulations.
Banking	Inadequate checks. Bank errors Fraud	L L L	The PC will ensure banking Regulations are in place and complied with. Cheques will only be issued on receipt of an invoice authorised by the chair or other authorised person, and reconciled with the appropriate order. Cheques will be signed by any two authorised signatories.	The financial statement will be a standard agenda item at all regular meetings of the Council. A minimum of Three signatories are needed to ensure unnecessary delays are avoided.
Reporting and Auditing	Inadequacy of information	L	Regular Financial information shall be a regular item	The financial statement will

	and communications.		on meeting agendas for general discussion and review by councillors.	be a standard agenda item at all regular meetings of the Council.
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Grant Income	Failure to seek, understand, secure or properly spend available grants.	L	The clerk will endeavour to seek information about appropriate grants that may be available from time to time, and provide adequate details and advice to councillors regarding the PCs eligibility for such grants.	The Clerk will regularly attend meetings of other government bodies and associations.
Grants to others	Eligibility Fraud	L L	Grants to others can only be authorised at a meeting of the full council and must be authorised by a majority vote. Councillors or the clerk will declare any vested interest and cannot vote on the issue. The clerk or sponsoring person shall provide adequate written information regarding the application. All grants will comply with legislation.	Any discussions relating to a grant will appear as agenda items at meetings of the Council.
Best Value Accountability	Work incorrectly awarded. Overspend or lack of value. Failure to achieve objective. Fraud	L M M L	Work orders will include full and unambiguous detail of requirements or objective so far as is reasonably practicable. Where possible and practicable all work will be subject to multiple competitive tenders or quotes. Contracts will only be awarded to contractors who can be verified as legitimate. Where possible references shall be obtained and/or examples of previous work viewed.	Work orders must be approved by a minimum of three councillors. A Councillor will be appointed to take overall charge of the work to be completed.
Salaries and associated costs.	Incorrect salary paid. Taxes incorrectly calculated or not paid to Inland Revenue.	L L	Clerk or Financial Officer will use approved system to calculate and pay salaries and taxes and include in each scheduled PC meetings written financial report a summary of such payments.	New payments will be discussed as an agenda item at a regular meeting of the Council

Employees	Fraud. Misbehaviours. Health & Safety	L L L	Fidelity Insurance requirements shall be adhered to. Employees will be provided with adequate and appropriate equipment and instruction as required according to task.	A contract of work and Job description will be offered to all new employees.
Employees (Cont'd)			Employees will only carry out tasks they are employed to carry out. They will not carry out tasks they have not been authorised, trained or competent to do.	A contract of work and Job description will be offered to all new employees.
VAT	Failure to pay or recover VAT	L	Financial Officer (Clerk) shall follow all procedures for paying or recovering VAT according to regulations.	The financial statement will be a standard agenda item at all regular meetings of the Council.
Annual Returns	Failure to submit within prescribed time limits	L	Financial officer (Clerk) shall ensure annual return is completed on time and submitted to the council where it shall be signed off by the Council Chairperson before being submitted to the External Auditor.	The clerk will observe regulatory time limits to all notifications. The External Audit will confirm compliance.
Legal powers	Illegal activity or payments	L	All activities and payments within the powers of the Parish Council shall be resolved at full council meetings. Only activities and payments permitted under approved regulations shall be allowed.	The Internal and External Audits will confirm compliance.
Minutes/Agendas/Notices/Statutory Documents	Lack of accuracy or legality.	L	Minutes, Agendas and statutory documents shall be produced in the prescribed manner by the Clerk and shall adhere to legal requirements. Minutes from previous meetings shall be approved by the council and signed by the meeting chairperson. Agendas shall be set by the clerk and approved by the chairperson before being publicised according to procedures.	The Clerk will follow standard procedures in accordance with regulations..
Members Interests	Conflict of Interest. Failure to record conflicts of Interest.	M M	Members shall declare any interest conflicting with any subject to be discussed by the council prior to the discussion. Where a conflict exists the chair will determine whether the member can be part of the	Standing orders will accommodate these requirements.

			discussion, can vote on the outcome of the discussion or shall withdraw from the discussion. A record shall be kept of members interests.	
Insurances	Inadequacy Excess Cost Non-Compliance Lack of fidelity insurance	L L L L	The council will undertake an annual review of all insurances to ensure viability, compliance, cost effectiveness and adequacy.	Insurance will be discussed at the first regular Council meeting of each calendar year.
Data Protection	Release of protected Data	L	The council and its employees shall comply with Data Protection regulations.	New councilmembers and employees will be made aware within 6 months of appointment.
Freedom of Information (FOI)	Failure to comply with FOI regulations	L	Requests for information under the FOI act will be subject to discussion by the council. If necessary further advice will be sought from North Yorkshire Council or other legal experts.	Only the Clerk will supply appropriate information to satisfy the FOI request.
Transparency and Accountability.	Failure to Comply with Regulations	L	The Council has adopted the Transparency Code For smaller Authorities in accordance with the local audit and accountability act 2014.	The Clerk will be responsible for keeping up to date with changing regulations
Assets	Loss or damage or potential damage to property	L	A register of council assets will be kept by the clerk and an Annual review will be undertaken together with a schedule of maintenance requirements as appropriate. Adequate and appropriate insurance cover will also be provided.	Review of Assets will take place as an agenda item at the last regular Council meeting of each calendar year.
Notice Boards	Risk of Damage or vandalism. Lack of posted notices	L L	The Clerk will inspect notice boards as part of routine posting of notices. The Clerk will ensure all relevant and valid notices are adequately displayed and old out of date notices removed.	
Meeting Locations	Inadequacy Health & Safety	L L	All meetings take place in the village hall which has sufficient facilities for the purpose.	

Council Records Paper and electronic.	Loss through theft fire or flood Loss through Electronic failure.	L L	The Clerk has custody of all records in both paper and Electronic form which are kept at his home. The Clerk shall regularly back up all electronic records to a "Cloud" service for safety and ensure the chairperson has sufficient details of passwords etc, to enable recovery if the Clerk is incapacitated. (it is recommended that where possible, practicable and preferable all important paper documents are scanned and saved to the "Cloud").	Documents will be kept in the care of the Clerk.
Physical Risks Including but not limited to:- Paths Trees Gates Walls and Fences Lighting Roads	Risk of injury due to dangerous condition or malfunction	M	Public encouraged to report to a council member any item that poses a risk of injury to themselves or any other person. The council will then arrange for rectification if the property is the responsibility of the council or contact the owner of the property to ask for remedial action. If the owner fails to react within a reasonable time scale or manner, the Council may cause the said property to be rectified, and at the councils discretion, claim any costs from the owner.	