

HARTWITH cum WINSLEY PARISH COUNCIL – RISK ASSESSMENT/MANAGEMENT DOCUMENT 2019/20

- Risk assessment is a systematic general examination of the activities of the Parish Council to enable potential risks to be identified.
- The Parish Council, based on the recorded assessment, will take all practical and necessary steps to reduce or eliminate the risks identified.
- This document has been produced to enable Hartwith cum Winsley Parish Council to assess the risks inherent to its activities and satisfy itself that it has taken all reasonable steps to minimise them.

AREA	IDENTIFIED RISK	RISK LEVEL	CONTROLS	ACTION REQUIRED
<u>FINANCIAL</u>				
Precept	Adequacy of precept in order for Council to carry out Statutory duties	L	<ul style="list-style-type: none"> • Annual budget produced • The Council receives monthly budget report. • Monthly information and budget monitoring allows Council to estimate standing costs and costs of projects for the subsequent years. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
Financial Records	Inadequate records leading to financial irregularities	L	<ul style="list-style-type: none"> • Financial Regulations sets out requirement for production of records at meetings. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
Bank and banking	Inadequate checks/ bank mistakes	L	<ul style="list-style-type: none"> • Financial Regulations set out setting out banking requirements and controls in place for electronic banking. • Monthly bank reconciliation statement 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
Reporting and Auditing	Communication of information	L	<ul style="list-style-type: none"> • Financial matters are a regular item on the Agenda of the Council monthly meeting. 	<ul style="list-style-type: none"> • No action required.

			<ul style="list-style-type: none"> • Monthly checks by Councillors 	<ul style="list-style-type: none"> • Existing procedure adequate
Wages and associated costs	Salaries paid incorrectly Incorrect HMRC NI and PAYE payments	L	<ul style="list-style-type: none"> • Salary payments advised in advance by payroll provider based on the terms and conditions in the clerk's contract of employment and noted along with monthly invoices listed for payment checked by designated Councillor. • HMRC quarterly payments included in monthly invoices listed for payment checked by designated Councillor. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
Best Value Accountability	Work awarded incorrectly. Overspend on services	L	<ul style="list-style-type: none"> • Parish Council procedure (as per Financial Regulations) to seek 3 quotes for all work estimated to cost over £500. • For major projects, competitive tendering process would be initiated (as per Financial Regulations) 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
<u>VAT</u>	Unclaimed VAT refunds	L	<ul style="list-style-type: none"> • Refunds from HMRC for reclaimed VAT noted in lists of monthly income. • VAT incurred displayed in separate column in cash book. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate

<u>EMPLOYMENT ISSUES</u>				
Working hours	Over payment of wages for hours worked	L	<ul style="list-style-type: none"> • Council has responsibility for monitoring of hours worked for all employees. • Anticipated overtime agreed in advance by the Council. Time sheets submitted by clerk when required • Clerk submits time sheet detailing overtime for approval by the Council, payroll provider then advised to include in next salary run. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
Working conditions	Council non-compliant with contractual obligations; leading to discontented workforce.	M	Regular reviews of staff performance and working relationship with the Council	Ensure all staff have access to reviews, etc
Health and Safety	Injury to staff in the working environment	M	Provision of regular reviews of staff working procedures, risks involved and adequate direction on the safe use of any equipment required to undertake roles.	Provide relevant health and safety guidance to all staff on a regular basis in conjunction with regular reviews of working practices and risk assessments.
Fraud	Fraud by employees	L	<ul style="list-style-type: none"> • Requirements of Fidelity Guarantee within insurance provision. • Regular checks and internal controls on financial activity 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate

<u>INSURANCE PROVISION</u>				
Adequacy	Insurance provision inadequate for the risk identified	L	Annual review is undertaken of all insurance arrangements	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
Cost	Best value practice not undertaken	L	Cost of insurance provision and service provided by said provider reviewed annually.	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
<u>FREEDOM OF INFORMATION PROVISION</u>	Non-compliance with Freedom of Information Act statutory requirements	L	<ul style="list-style-type: none"> • Council has Model Publication scheme available on website and hard copy from the Clerk • Freedom of Information Request Policy 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
<u>DATA PROTECTION</u>	Non-compliance with Data Protection Act and GDPR statutory requirements for registration as data controller	L	<ul style="list-style-type: none"> • Clerk, RFO and members undertaken training • Council registered with ICO as a Data Controller • Data/information audit complete and reviewed regularly • Privacy notices available on website • Consents log live • Policy for review of consents in place • Retention and disposal policy adopted. • Security Incident Procedure/policy in place 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate

<u>ANNUAL RETURN (HMRC)</u>	Submission within time limits to avoid financial penalties	L	Employers Annual Return to HMRC completed and submitted online within the required time frame by RFO	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
<u>ANNUAL RETURN (TO EXTERNAL AUDITORS)</u>	Submission within time limits to avoid financial penalties	L	<ul style="list-style-type: none"> • Figures for Annual return presented to Council for approval and signing. • Subsequently sent to internal auditor for completion and signing. • Certificate of Exemption sent to the External Auditor. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
<u>LEGAL POWERS</u>	Illegal activity and/or payments	L	<ul style="list-style-type: none"> • All actions of the Parish Council noted in Minutes presented to all members. • All resolutions for payment resolved at monthly meetings of Parish Council. • Parish Council has General Power of Competence 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
<u>STATUTORY OBLIGATIONS REGARDING DOCUMENTS</u>	Accuracy and legality of notices, agendas, Minutes	L	<ul style="list-style-type: none"> • Minutes produced in the prescribed manner by the Clerk and adhere to legal requirements. • Minutes are approved, signed and dated at the next meeting of the Council. • Agendas and notices are produced in the prescribed manner by the Clerk and adhere to legal requirements. • Agendas and notices are displayed according to legal requirements. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate

<u>MEMBERS INTERESTS</u>	Non-registration of Disclosable Pecuniary interests leading to criminal prosecution	M	<ul style="list-style-type: none"> • Request for all members to declare any interests in business to be considered at all meetings. • Registration of interests by members on prescribed form. • Responsibility of individual member to declare said interests. • Link to Register of interests forms displayed on parish council website. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
<u>ASSETS MAINTENANCE</u>	Loss or damage. Risk damage to third party	L	Annual review of assets undertaken for both insurance provision and external audit requirements.	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
ii) Notice boards dog bins salt/grit bins benches	Damage to equipment. Risk to third parties	L	<ul style="list-style-type: none"> • Monthly checks undertaken by Clerk and Chair • Clerk possesses emergency powers to deal with urgent repairs. • Notice board provision considered by council on a monthly basis. • Public Liability insurance in place. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
iii) Open spaces trees	Damage to equipment. Risk to third parties	L	<ul style="list-style-type: none"> • Monthly checks undertaken by Clerk and Chair. • Clerk possesses emergency powers to deal with urgent maintenance work. • Open space provision considered by Council on a monthly basis. • Public Liability insurance in place. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
<u>ASSETS</u>	Poor performance of assets	L	<ul style="list-style-type: none"> • All assets owned by Parish Council are regularly reviewed. • All repairs and relevant expenditure authorised in accordance with correct procedures of the 	<ul style="list-style-type: none"> • No action required. • Existing procedure

			Parish Council. <ul style="list-style-type: none"> • All assets insured. • Insurance provision reviewed annually. 	adequate
<u>MEETING LOCATION</u>	Premises inadequate for needs of Council and inaccessible for members of the public	L	<ul style="list-style-type: none"> • All meetings of Hartwith cum Winsley Parish Council are held in the School Room at Summerbridge Methodist Church which has adequate facilities for the hosting of meetings. • Centre is fully DA compliant and on the main bus route through Summerbridge 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
<u>COUNCIL RECORDS</u>				
Paper Records	<p>Loss of essential records through theft and/or fire damage.</p> <p>Council Minutes, leases and historical correspondence.</p> <p>Financial records.</p>	<p>L</p> <p>L</p> <p>L</p>	<p>All pre-2000 Parish Council Minutes are archived at NYCC archive library; all other minutes, leases and historical correspondence are stored in lockable metal cabinet at clerk's house</p> <p>All Parish Council financial records are stored at home of RFO</p>	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate • Revision required of storage facilities and potential for loss and/or damage.

Electronic Records	Loss through; theft, fire damage or corruption of computer	L	<ul style="list-style-type: none"> Parish Council electronic records are stored on personal computers of Clerk and RFO. Back ups of electronic data are made at regular intervals Data transferred to an encrypted portable hard drive on bi-monthly basis Back ups made to encrypted cloud storage 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
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KEY

LEVEL OF RISK:

L: LOW

M: MED

H: HIGH

Dated 31st October 2019

To be reviewed on 30th October 2020