

TRIMDON PARISH COUNCIL

RISK REGISTER 2018/2019

FINANCIAL AND MANAGEMENT

Subject	Risk	Responsibility	Management and Controls	Review and Action required
Precept and budget	Adequacy of precept in order for the Council to carry out its statutory duties	Councillors	To determine the precept amount required, the Council receives a budget report and the precept is an Agenda item at Council Meeting in January	Existing procedure adequate
	Precept request not submitted to the principal authority by the required date	Clerk	Submitted by Clerk in writing following budget/precept approval and before the end of January	Existing procedure adequate
Financial records and reporting	Inadequate records/financial irregularities	Clerk/Councillors	Bank balances and breakdown of receipts and payments produced and approved at each Council Meeting	Existing procedure adequate
		Councillors	The Council has Financial Regulations which set out the requirements	Review the Financial Regulations bi-annually. Last reviewed and approved 2017
Bank and banking	Fraud	Clerk/Councillors	Three signatures required on cheques	Existing procedure adequate
	Incorrect payments and bank mistakes	Councillors	Council checks bank statements monthly against RBS Financial Software	Existing procedure adequate

		Clerk	The Council has Financial Regulations which set out the requirements	Review the Financial Regulations bi-annually. Last reviewed and approved 2017
Insurance	Insurance not in place	Clerk	Process payment for annual premium promptly	Existing procedure adequate
	Inadequacy of insurance	Councillors	Employer and Public Liability Insurance is a necessity	Review insurance provision annually
Annual return	Inaccurate or incomplete	Clerk	Clerk to attend training as required. Annual Return is completed and submitted to the internal auditor for completion and signing	Existing procedure adequate
	Failure to submit within timescale	Clerk/Councillors	Meeting held to approve accounts in time for submission to external auditor	Review dates on receipt of audit pack and timetable on Agenda of appropriate Council Meeting
Best value accountability	Work awarded incorrectly	Councillors	Normal Council practice would be to seek, if possible, more than one quotation for any substantial work to be undertaken	Existing procedure adequate
		Councillors	The Council has Financial Regulations which set out the requirements	Review the Financial Regulations bi-annually. Last reviewed and approved 2017
Grants payable	Grants paid to ineligible bodies	Councillors	Grants & Donations Policy in place	Existing procedure adequate
			All expenditure approved by Council, minuted and listed	Existing procedure adequate

			detailing the relevant power for expenditure	
VAT	Incorrect reclaim/payment	Clerk Councillors	Council RBS software calculates VAT on a quarterly basis The Council has Financial Regulations which set out the requirements for reclaim/payment	Existing procedure adequate Review the Financial Regulations bi-annually. Last reviewed and approved 2017
Election costs	Risk of election cost	Clerk	Parish elections held every four years. Costs only apply if a contested election	No elections proposed for 2018/2019. There are adequate reserves to cover any unexpected election costs

COUNCIL MANAGEMENT

Councillors	Roles performed inadequately	Councillors	Councillors provided with access to training, reference materials and access to assistance	Existing procedure adequate
	Conflict of interest	Councillors	Membership of CDALC	Reviewed annually
		Clerk/Councillors	Declaring of interests is a standard Agenda item	Existing procedure adequate
		Councillors	Register of Members Interests maintained and reviewed regularly by Councillors. Register displayed on Council website	All members required to sign Register of Members Interests following Election in May 2017
Powers	Illegal activity or payments	Councillors	All activity and payments within the powers of the Council to be resolved and minuted at Council	Existing procedure adequate

			meetings, including a reference to the power	
Meetings and process	Failure to achieve quorum at meetings	Councillors Clerk	Attend all meetings Agenda to be circulated in a timely manner	Existing procedure adequate
	Business conduct	Councillors/Chairman	Business conducted at Council meetings should be managed by the Chair according to Standing Orders	Standing Orders reviewed bi-annually. Last reviewed and approved 2017
		Councillors	Members to adhere to Code of Conduct	Code of Conduct revised and approved June 2017
	Council decisions not implemented	Councillors/Clerk	Review minutes for confirmation of action, Clerk and Chair report at full meetings	Existing procedure adequate
	Lack of public participation	Councillors/Clerk	Ensure meetings are publicised on Noticeboards and Trimdon Parish Council website	Existing procedure adequate
		Clerk	Ensure Public Participation is a standard Agenda item	Existing procedure adequate
Clerk		Public Participation Policy in place	Existing procedure adequate	
Statutory documents	Accuracy and legality	Clerk	Minutes and Agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements	Existing procedure adequate
		Councillors/Chairman	Minutes are approved and signed at the next Council meeting	Existing procedure adequate

		Clerk	Minutes and agenda are published according to the Publication Scheme	Publication Scheme updated regularly
Employees (Clerk and Grounds Staff)	Roles performed inadequately	Councillors/Clerk	Staff have Job Descriptions and Contracts of Employment and provided with adequate training, reference materials and access to assistance	Existing procedure adequate
	Salaries and expenses incorrectly paid	Clerk	Salaries paid via HMRC PAYE. Expenses (following NALC guidelines where relevant) claimed on a regular basis and presented with receipts to Council	Existing procedure adequate
Introduction of General Data Protection Regulation (GDPR) which comes into force on 25 May 2018	Failure to prepare for introduction of GDPR	Clerk	Clerk currently receiving advice via SLCC and NALC and attending appropriate training	Action Plan for implementation to be prepared
	Failure to appoint suitably qualified Data Protection Officer (DPO)	Councillors	Liaising with SLCC and NALC regarding appointment of DPO	DPO to be appointed prior to introduction of GDPR on 25 May 2018
	Adequate training for staff and councillors	Councillors/Clerk	Appropriate training required once the full impact of the introduction of GDPR is known	Training requirements to be identified and appropriate training delivered

PHYSICAL EQUIPMENT/AREAS

Assets	Damage/injury to third party	Councillors	Public Liability Insurance held	Insurance cover and Asset Register reviewed annually
	Damage to assets	Councillors Clerk/Councillors	Weekly programme of inspection. Maintenance/repair/replacement requirements identified and brought to attention of the Clerk. Urgent repairs to be discussed and agreed with the Chair in accordance with Financial Regulations Annual Inspection carried out by RoSPA	Existing procedure adequate Repairs carried out on an on-going basis New equipment installed at Trimdon Grange 2017 Action Plan compiled after each Annual Inspection and presented to Council
Meeting location	Adequacy, health and safety	Councillors	Meetings held in Trimdon Grange Community Centre. Premises considered to be adequate for Council and public access and comfort	Existing procedure adequate
Council records	Loss of paper records through theft, fire damage etc	Clerk	Parish records (historic and current) stored in Parish Office Copy of Cemetery Burial Plots held at Cemetery Lodge	Existing procedure adequate Consider holding cemetery records electronically
	Loss of electronic records through data corruption, theft etc	Clerk	All electronic records stored on Knowhow Cloud Online Backup & Storage	Existing procedure adequate