

## PRESTON UNDER SCAR PARISH COUNCIL RISK REGISTER – MARCH 2024

Subject	Risk	Level	Current management/control of risk	Review/Assess/Revise
Business Continuity	Unable to continue business because of sudden and unexpected loss of Clerk	L	All files and recent records are kept at the Clerk's home. Clerk backs up electronic records in the Cloud and also to an external hard drive. Agendas, minutes and governance documents all available on Parish Council website. Authorised persons can be granted access if required.	
Meeting location	Unfit for purpose Health and safety issues	L	Meetings are held in the Village Hall which is owned and managed by the Village Hall Trust. Any Health and Safety issues are brought to the attention of the Trust. COVID Risk Assessment available for use in face to face meetings if required in the future	
Council paper records	Loss through theft, fire or other damage	L	Current paper records are held by the Clerk at home. Other records eg for Cemetery are kept in the Village Hall.	
Council electronic records	Loss through corruption of hard drive, fire or theft of computer	L	Electronic records are currently stored in a dedicated, password protected area on the Clerk's own PC and are backed up to the cloud and onto an external drive Security and antivirus software is installed and the computer is	

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			regularly scanned to detect any threats.	
Precept	Inadequate precept which will not mee Council's expenses and commitments	L	Draft budget presented for approval at December meeting and detailed financial reports are submitted at the end of each quarter.	
Election	Insufficient funds to meet costs	L	Adequate reserves are maintained to meet election costs should these arise.	
Insurance	Insufficient cover Financial consequences	L	Adequacy of existing cover is reviewed annually and competitive quotes are sought from brokers/other insurance companies periodically	
VAT	Failure to reclaim	L	Usually reclaimed annually unless for amounts under £100 or may also be reclaimed on completion of a particularly large project. Clerk should be aware of timescales.	
Freedom of Information requests	No policy adopted  Impact of dealing with request	L	The Council has adopted the Model Publication Scheme for Local Councils. This is available to anyone upon request.  Dealing with requests will require extra hours of work and expense for	

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			the Council. Ensure reserves are adequate to cover these costs.	
Annual Return (AGAR)	Failure to meet timescales for adoption and submission	L	<p>External Auditor provides early advice each year on timescales and any changes in requirements.</p> <p>Clerk has received training, is aware of the timescales for adoption and submission and is responsible for ensuring that the internal auditor completes his work in time for AGAR to be considered, adopted and publicised by the Parish Council in accordance with statutory deadlines and submitted to the external auditor by the required date.</p>	
Clerk	<p>Loss of Clerk</p> <p>Fraud</p>	<p>L</p> <p>L</p>	<p>The Council has a clear process in place for recruiting a new Clerk and makes financial provision for the cost of training a new Clerk.</p> <p>Clerk is not required to handle cash and is not authorised to raise or sign cheques.</p> <p>Parish Council receives regular income/expenditure/bank reconciliation reports.</p>	

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			Fidelity Guarantee Insurance in place.	
	Inability to advise Council re powers and duties through lack of knowledge	L	Any new Clerk is required to undertake relevant training provided through the YLCA. Clerk has access to YLCA/NALC resources for advice and guidance and can seek legal advice from YLCA on behalf of the Council as required. Reference books also available.	
Financial Records	Inadequate records  Financial Irregularities	L	The Council's Financial Regulations, underpinned by legislation, set out its requirements. All transactions are minuted.  The Council's accounts and banking records undergo an annual internal audit. The Council is exempt from Limited Assurance Audit by the external auditor but must comply with AGAR requirements.	
Banking	Bank errors leading to loss and/or bank charges	L	Financial Regulations set out requirements for banking and reconciliation of accounts. Two signatories are required for cheques and two Councillors are	

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			required to authorise online bank payments. A banking report is presented at each Council meeting.	
			Mistakes by the bank will be reported for correction by a signatory.	
Cash	Loss through theft or dishonesty	L	The Council does not hold any petty cash or float.	
Chairman's Allowance		L	The Council does not pay a Chairman's Allowance. Any expenses incurred by the Chairman or another Councillor may be reclaimed as spent, subject to the submission of receipts and the approval of the Council.	
Subscriptions and Donations	Power and authorisation to pay is legal and correctly accounted for.	L	Payments are authorised and minuted at meetings or by the Clerk under delegated authority and reported retrospectively. Some payments may need to be minuted as S137 payments.	
Grants received	Non-compliance with terms and risk of PC incurring the expense of repayment	M	Clerk and Councillors have a clear understanding of conditions and timescales attached to any grants sought before applying and will normally have any match funding secured before applying. Clerk monitors compliance with deadlines and terms and conditions	

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			and will alert Councillors to any potential risk.	
<b><u>LIABILITIES</u></b>				
Minutes and Agendas	Level of accuracy and compliance with legal requirements	L	Clerk is aware of and adheres to legal requirements relating to publication of agendas and minutes. Draft minutes are circulated to Councillors for any comments as to accuracy and completeness before they are published.	
Statutory Documents	Non-compliance with statutory requirements	L	Clerk is aware of statutory requirements and monitors compliance. Minutes are submitted for approval at the next Council Meeting. Agendas and other documents are published in accordance with legal requirements.	Councillors to ensure that they are familiar with and adhere to the Council's Code of Conduct.
Conduct at Meetings		L	Meetings are managed from the Chair	
Members Interests	Conflict of interest	L	Councillors have a duty to declare any interest at the start of each meeting or as soon as it is realised and if necessary to withdraw from the meeting. Such disclosures are recorded in the minutes of the meeting. The law requires Councillors to update their entries in the register within 28 days of any change	Councillors to take responsibility for understanding the rules and acting upon them, if necessary by attending any relevant training offered by the YLCA or the principal authority.
	Register of interests	M		

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			And/or within a month of a meeting at which an undisclosed interest has been declared.	
Public Liability	Risk to third parties, property or individuals	L	Appropriate insurance is in place. Regular checks are undertaken on Council property, action taken and records kept.	
Employer Liability	Non compliance with employment law. Conflict of interest	M		
Legal Powers	Illegal activities or payments.	L	All activities by the Parish Council are made within their powers and are approved and minuted at a Parish Council Meeting.	
	Working or advisory groups taking decisions without having the powers to do so.	L	Any Working/Advisory Groups operate within clear guidelines and terms of reference set out when they are established and are required to report back to the Council on their activities. Council is able to ask YLCA/NALC for legal advice where required.	

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<b>ASSETS</b>				
Cemetery	Unstable structures – headstones, walls etc	L	Councillor inspections every three months. Dangerous headstones are laid down and attempts made to trace owners.	Parish Council to make arrangements for a formal topple test
	Impact damage to wall, railings or gates.	L		
	Injury to visitors.	L	Public Liability Insurance in place. Grass is kept cut so any changes in level etc are visible.	
	Rabbit and Mole activity – hills and holes are tripping hazards.	M	Control/eradication methods regularly attempted.	
Benches	Injury from broken benches	L	Inspections every three months. Councillors/public/contractors are asked to report damage to benches. Damaged benches are removed for repair.	.
	Theft of seats	L	Where practical, seats are secured with brackets and bolts.	