

MALTON TOWN COUNCIL – RISK ASSESSMENT MANAGEMENT DOCUMENT 2018

- Risk assessment is a systematic general examination of the activities of the Town Council to enable potential risks to be identified.
- The Town 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 Malton Town 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	LEVEL OF RISK	CONTROLS	ACTION REQUIRED
FINANCE ^{1.}				
Budget	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 and financial control 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 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 	<ul style="list-style-type: none"> • No action required.

			<ul style="list-style-type: none"> on the Agenda of the Council monthly meeting. Quarterly checks by Councillors 	<ul style="list-style-type: none"> New procedure to start in January 2018
Wages and associated costs	<p>Salaries paid incorrectly</p> <p>Incorrect HMRC NI and PAYE payments</p>	L	<ul style="list-style-type: none"> Compliance with HMRC regulations. Salary payments included in monthly invoices listed for payment checked by designated Councillor. HMRC quarterly payments included in monthly invoices listed for payment checked by quarterly by Councillors. 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
Best Value Accountability	<p>Work awarded incorrectly.</p> <p>Overspend on services</p>	L	<ul style="list-style-type: none"> Town 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
ANNUAL PAYE RETURN (HMRC)	Non-compliance with HMRC regulations leading to financial penalties	L	<ul style="list-style-type: none"> Employers Annual Return to HMRC completed and submitted online within the required HMRC 	<ul style="list-style-type: none"> No action required. Existing procedure adequate

			time limits	
VAT	Compliance with HMRC regulations Unclaimed VAT refunds	L	<ul style="list-style-type: none"> VAT claim completed quarterly 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
EMPLOYMENT ISSUES				
Employee Insurance	Potential Claims		<ul style="list-style-type: none"> Employee Liability insurance in place 	<ul style="list-style-type: none"> No action required.
Working hours	Correct payment of wages/salaries	L	<ul style="list-style-type: none"> Council has responsibility for monitoring of hours worked for all employees. Time sheets submitted to clerk Wage cost submitted on a monthly basis as invoices to be presented for payment 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
Staff Performance	Staff not carrying out duties	M	<ul style="list-style-type: none"> Regular reviews of staff performance and working relationship with the Council 	<ul style="list-style-type: none"> Staffing Committee set up, the first meeting to be scheduled for May 18
Working conditions	Council non-compliant with contractual obligations; leading to discontented workforce.	M	<ul style="list-style-type: none"> Regular reviews of staff working conditions 	<ul style="list-style-type: none"> Ensure all staff have access to reviews
Health and Safety	Injury to staff and visitors in the working environment	M	<ul style="list-style-type: none"> Provision of regular reviews of staff working procedures, risks 	<ul style="list-style-type: none"> Provide extensive health and safety

			<p>involved and adequate direction on the safe use of any equipment required to undertake roles.</p> <ul style="list-style-type: none"> • Employers Liability². 	<p>guidance to all staff on a regular basis in conjunction with regular reviews of working practices and risk assessments.</p>
Fraud	Fraud by employees	L	<ul style="list-style-type: none"> • Requirements of Fidelity Guarantee and Public Liability within insurance provision³. • Regular checks and internal controls on financial activity. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
INSURANCE PROVISION				
Adequacy	Insurance provision inadequate for the risk identified	L	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • Cost of insurance provision and service provided by said provider reviewed annually. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate • Alternative providers considered three yearly
FREEDOM OF INFORMATION PROVISION	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 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate

			Request Policy	
DATA PROTECTION	Non-compliance with Data Protection Act statutory requirements for registration	L	<ul style="list-style-type: none"> • Clerk/RFO and members undertaken Data Protection course • Council registered under Data Protection Act as a Data Controller 	<ul style="list-style-type: none"> • Clerk, Assistant Clerk and members to undertake a Data Protection course
ANNUAL RETURN (TO EXTERNAL AUDITORS)	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 before being sent for External Audit. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
LEGAL POWERS	Illegal activity and/or payments	L	<ul style="list-style-type: none"> • All actions of the Town Council noted in Minutes presented to all members. • All resolutions for payment resolved at monthly meetings of Town Council. 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate
STATUTORY OBLIGATIONS REGARDING DOCUMENTS	Accuracy and legality of notices, agendas, Minutes	L	<ul style="list-style-type: none"> • Compliance with Council Standing Orders • Minutes produced in the prescribed manner by the Clerk and adhere to legal requirements. • Minutes are approved, signed 	<ul style="list-style-type: none"> • No action required. • Existing procedure adequate

			<p>and dated at the next meeting of the Council/Committee.</p> <ul style="list-style-type: none"> • 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. 	
MEMBERS INTERESTS 4.	Non-registration of Disclosable Pecuniary interests leading to criminal prosecution	M	<ul style="list-style-type: none"> • Members are reminded to declare any interest in business to be considered at all meetings. • Registration of interests by members on prescribed form. • Responsibility of individual member to declare said interests. • Register of interests forms displayed on Town Council website. 	<ul style="list-style-type: none"> • Register of interests forms to be displayed on parish council website
ASSET MANAGEMENT				
Maintenance	Loss or damage. Risk damage to third party	L	<ul style="list-style-type: none"> • Annual review of assets undertaken for both insurance 	<ul style="list-style-type: none"> • No action required. • Existing procedure

			provision and external audit requirements.	adequate
Play areas	Damage to equipment. Risk to third parties	L	<ul style="list-style-type: none"> Weekly checks undertaken by Clerk. Clerk possesses emergency powers to deal with urgent repairs. Annual safety inspection undertaken to RoSPA standards and report presented to Council for action. All aspects of play areas considered by the council on a monthly basis Public Liability insurance in place. 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
Notice boards dog bins sat/grit bins benches	Damage to equipment. Risk to third parties	L	<ul style="list-style-type: none"> Monthly checks undertaken by Clerk 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
Open spaces trees	Damage to equipment. Risk to third parties	L	<ul style="list-style-type: none"> Monthly checks undertaken by 	<ul style="list-style-type: none"> No action required.

			<ul style="list-style-type: none"> Clerk 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"> Existing procedure adequate
ASSETS	Poor performance of assets	L	<ul style="list-style-type: none"> All assets owned by Town Council are regularly reviewed. All repairs and relevant expenditure authorised in accordance with correct procedures of the Town Council. All assets insured. Insurance provision reviewed annually 	<ul style="list-style-type: none"> No action required. Existing procedure adequate
MEETING LOCATION	Premises inadequate for needs of Council or inaccessible for members of the public	L	<ul style="list-style-type: none"> All meetings of Malton Town Council are held in Community House which has adequate facilities for the hosting of meetings. Centre is fully Disabled Access compliant and on the main bus 	<ul style="list-style-type: none"> No action required. Existing procedure adequate

			route through Malton	
COUNCIL RECORDS				
Computer security	Unauthorised access to computer data.	M	<ul style="list-style-type: none"> Mayor and Deputy to hold a paper copy of the computer passwords in a sealed envelope. 	<ul style="list-style-type: none"> Passwords to be forwarded to Mayor & Deputy
Paper Records	Loss of essential records through theft and/or fire damage. Council Minutes, leases financial records and historical correspondence	L L	<ul style="list-style-type: none"> All Town Council minutes, leases, financial records and historical correspondence archived at Community House in metal cabinet and Cemetery Chapel. 	<ul style="list-style-type: none"> Cemetery Records over 100 years to be archived at York University
Electronic Records	Loss through; theft, fire damage or corruption of computer	L	<ul style="list-style-type: none"> Town Council electronic records are stored on personal computers of Clerk and RFO. Back ups of electronic data are made weekly Data to encrypted portable hard drives on a monthly basis (2 drives, one held by Clerk other by Chairman 	<ul style="list-style-type: none"> No action required. Existing procedure adequate

KEY LEVEL OF RISK: L: LOW, M: MEDIUM, H: HIGH

Adopted: 31 January 2018 Review Date: January 2019