CRAYKE PARISH COUNCIL
RISK REGISTER

Last reviewed and updated by the Audit Panel on 7th May 2026 and approved by Council 12th May 2026

Area of Risk	Specific Risk	Level	Management	Review / Assess / Revise
FINANCIAL and MANAGEMENT				
1. Financial records	Inadequate records Financial irregularity	L	Council's financial regulations set out the requirements for banking and cheque reconciliations. Bank positions and expenditure reports are presented at each meeting. The financial regulations are reviewed every 4 years or when regulations change.	Review electronic accounting software
2. Bank and banking	Inadequate checks Bank's mistakes	L	The Council has Financial Regulations which set out banking requirements There is a reconciliation for each meeting.	Add vice chair for access to the bank
3. Reporting and auditing	Information communication	L	Financial information is a standard agenda item; the Finance Report is reviewed and approved at each meeting. The Audit Panel meets twice yearly, the checks include: the meeting reports against the bank statements and payments & receipts against invoices.	

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4. Best value accountability	Work awarded Incorrectly Overspend on services	M	Normal Parish Council practice is to seek, if possible, more than one quotation for any substantial work to be undertaken. For major work, competitive tenders are sought. If problems are encountered with a contract the Clerk will investigate and report to the Council.	
5. Salaries and assoc. costs	Salary paid incorrectly Unpaid Tax to Inland Revenue Pension – non-compliance with regulations	M L	Salary, tax and expenses claims are signed-off by the Chair or Vice Chair before payment is made HMRC payments are checked at the Audit Panel meetings. Council has registered with the Regulator and receives notices regarding regulations and employer's duties. Council reviews its duties when it recruits staff.	
6. Employees	Health and safety Breaches of employment law	L	The Vice Chair acts as Line Manager for the Clerk to provide direction and support. Insurance is reviewed annually. Health and safety requirements are reviewed annually. Appropriate safety equipment is provided whenever necessary. A health and Safety policy is in place. Anti-Harassment & Bullying policy is in place. The Clerk's contract is based on the NALC model contract. Council has access to legal advice through membership of the YLCA	

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7. VAT	Reclaiming and charging	L	The Council has Financial Regulations which set out the requirements. The VAT position is checked by the Audit Panel annually.	
8. Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken of insurance arrangements. Insurance includes: Employers – Public – Fidelity - Assets	
9. Clerk unavailable for meetings	Council unable to operate	M	Operating files and records are kept at the Clerk's house. In the event of the Clerk not being able to attend the meeting these are brought by one of the councillors who stands in for the Clerk and takes minutes.	

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10. Council Records - paper	Loss through carelessness, theft, fire	L	Historically interesting records are kept in a filing cabinet held by a nominated Councillor. The cabinet is not fireproof. Working records are kept by the Clerk at home. Almost all working records are electronic; the main exceptions are the signed copies of the minutes and the initialled copies of cheques and invoices. Important paper documents received are scanned, e.g. invoices, quotes, certificates. The historical records have been lodged with either the County Archive or the Borthwick Institute.	Consider Options.
11. Council Records - electronic	Loss through carelessness, maliciousness, fire, theft.	L	Email records are held in an online service. Electronic records are held on the Clerk's computer and there is a constant, real-time backup. Copies of the full file set are taken bi-monthly; at each meeting, the Chairman is given the latest bi-monthly copy with record of current passwords.	Review the options for cloud storage for council files.
12. Council Records - electronic	Unauthorised access	L	Other than the employee's personal information and (possibly) contract tenders, quotes and some correspondence from parishioners, all of the records would be available for public access through an FoI request. The email account is password protected as is the Clerk's computer.	
13. Access to records and equipment.	Death or incapacity of Clerk	L	The Clerk does not hold any equipment of significant value. The arrangements for risk 11 provide some protection.	

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14. Precept	Adequacy	L	Precept is set at a council meeting each year at the same time as the following year’s budget is reviewed.	
REGULATORY AND LEGAL				
15. Legal Powers	Illegal activity Ultra-vires payments	L	All activity within the powers of the Parish Council is considered and authorised at full Council Meetings. No payments are made without authority from Council; all payments are recorded in the minutes. Council checks that there is an appropriate legal power before approving a payment.	
16. Minutes, agendas, notices, statutory documents	Accuracy and legality	L	Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements. The accuracy of the minutes is reviewed by the Chair and Councillors.	
	Business conduct	L	Minutes are approved and signed at the next Council meeting. Agendas are displayed according to legal requirements. Business conducted at Council meetings is managed by the Chair.	
17. Members interests	Conflict of interests Register of members interests	L M	Declarations of interest by members at Council meetings. Register of members’ interests forms reviewed annually.	
18. Data protection	Required to have a policy in place and maintain registration annually with the ICO	L	Policy is in place. Audit Panel checks registration with ICO annually; registration fee is paid by Direct Debit to avoid the risk of late payment.	

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19. Freedom of Information	Policy Provision	L L	The Council has the model publication scheme for local councils in place. Council is aware that this is an entitlement and that a fee can be charged for providing information in response to a request; the amount of the fee would be determined in accordance with the Fees Regulations.	
20. Meetings	Location unsuitable Not meeting requirements for publicising	L	The Sports Hall is within the village and has good access. Councillors monitor when meeting papers are distributed. The dates of scheduled meetings are published on the website at least 2 weeks in advance.	
PUBLIC LIABILITY				
21. Accident to a contractor	Potential claim against the Council	M	Ensure that contractors fully understand the health and safety regulations that govern their activities. Ensure that contractors have sufficient liability cover. Confirm each year that the grass cutting contractor has the necessary insurances in place	
22. Accident to member of the public caused by work of a contractor	Potential claim against the Council	M	Ensure that contractors fully understand the health and safety regulations that govern their activities and, where relevant, hold the necessary qualifications / certification. Ensure that the contractors have sufficient liability cover. Public liability insurance	
23. Injury to member of public on Council owned property	Tripping, falling tree, damaged or failing seat, …	M	The condition of the Council's property is reviewed each year and repairs carried out when necessary. Public liability insurance	

ASSETS				
24. Fences, Gates, Seats	Deterioration Damage Theft	L	Insurance Monitoring and maintenance as required to maintain them to a safe standard A visual check is made annually on all the village assets and green spaces for which the Parish Council is responsible.	
25. Noticeboards	Deterioration Damage	L	The condition is monitored. Repaired as necessary. Insurance	
26. Public spaces	Vandalism Fly-tipping	L	There is budget set aside for maintaining the public spaces. Councillors and employees monitor the public spaces.	
27. Use of volunteers	Injury to a volunteer or damage caused by a volunteer whilst working for the Council	M	Council follows the guidance from HDC when using volunteers for litter picking and provides appropriate equipment. Insurance	