

DITCHEAT PARISH COUNCIL

RISK ASSESSMENT 2011/2012

MANAGEMENT								
Subject	Risk(s) identified with consequence	Current level of risk (Scoring 1 – 5 with 5 highest and 1 lowest)			Management/ control of risk and Action required	Action required by whom	Action required by when	Review
		Likelihood	Impact	Severity/ risk score = Likelihood X Impact				
Business continuity	Council unable to continue its business due to resignation or death of clerk.	1	3	3	<p>Essential records to be stored electronically in a remote server – the Clerk and Chairman only authorised persons to have access to password protected files.</p> <p>Short term the Council will ask a councillor to take minutes of meetings and undertake some of the duties.</p> <p>The Clerk's period of notice to be increased to 3 months</p> <p>Longer term the Council will ask neighbouring Parish Councils if their clerk would cover some of the duties.</p> <p>The Council will advertise the post as soon as the Clerk gives notice of intention to resign.</p>	<p>Council to agree how this will be facilitated.</p> <p>The Chairman to ask for a volunteer. The Clerk</p> <p>The Chairman</p> <p>The Chairman</p>	<p>As soon as possible but no later than 2012</p> <p>As necessary</p> <p>July 2012.</p> <p>As necessary</p> <p>As necessary</p>	Annually
	Council unable to continue its business due to absence of clerk due to illness.	2	3	6	<p>Short term the Council will ask a councillor to take minutes of meetings and undertake some of the duties.</p> <p>Longer term the Council will ask neighbouring Parish Councils if their clerk would cover some of the duties.</p> <p>The Clerk will contact neighbouring parish councils to ask how the council covers illness and to suggest a buddy system where DPC clerk would cover illness of their clerk and vice –versa.</p>	<p>The Chairman to ask for a volunteer.</p> <p>The Chairman</p> <p>The Clerk</p>	<p>As necessary</p> <p>As necessary</p> <p>By September 2012</p>	Annually
	Inadequate number of councillors to conduct Parish Council business to carry out its statutory duty and functions	1	5	5	<p>Follow legal process when a vacancy arises - bye election or co-option will ensue.</p> <p>If still insufficient numbers of councillors Clerk to inform District Council</p>	<p>Clerk</p> <p>Clerk</p>	<p>Existing procedures adequate</p>	Annually
	Loss of council paper records through theft/ fire /damage to carry out its statutory duty and functions	3	2	6	<p>Archive material that needs to be retained to be deposited at the Public Records Office in Taunton.</p>	Clerk	Ongoing	Annually
	Loss of council electronic records through theft/fire/damage/corruption of computer to carry out its statutory duty and functions	3	5	15	<p>Back up copy to be kept.</p> <p>Essential records to be stored electronically in a remote server – the Clerk and Chairman only authorised persons to have access to password protected files.</p>	Clerk to organise remote server storage of electronic files	September 2012	Annually

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FINANCE								
Standing orders and Financial regulations	Failure to comply with Standing orders and Financial Regulations could lead to breach of the Code of Conduct; loss of trust by members of the Parish.	1	3	3	Standing orders and Financial Regulations to be reviewed annually. Council to nominate a councillor to have particular responsibility for financial matters of the council.	Nominated Councillor to review and make recommendations to the Council.	Ongoing	Annually
Precept	Inadequacy of precept for Parish Council to carry out its statutory duty and functions.	1	5	5	Throughout the year prior to any purchase consideration is given to any ongoing funding and /or maintenance costs. Prior to budget setting councillors are requested by the Clerk to consider if there is a likelihood of any exceptional or unusual expenditure anticipated for the following year. At the precept meeting Council receives a budget report, including actual position and projected position to the end of year and indicative figures or costings obtained by the Clerk for the forthcoming year. Based on this information the Parish Council determines the precept amount required to finance the Council for the forthcoming year; this figure is submitted to Mendip District Council by the Clerk in writing. The Clerk informs the Council when the monies are received.	Councillors Councillors The Clerk and all councillors	Ongoing Ongoing Ongoing	Annually
Financial records	Fraud/theft of council monies leading to Council unable to fulfil its financial obligations	1	1	1	All expenditure is considered by the Council. All payments are made by cheque which requires two signatures. Clerk and nominated councillor to meet monthly to check cash book and bank statements. Finance documentation retained according to legal requirements.	Clerk and nominated councillor.	Ongoing Council to develop a policy for the retention of documents.	
Banking	Loss of monies due to bank errors/inadequate reconciliation with bank statements	1	4	4	Regular checks to be made of bank statements Council to nominate a councillor to have particular responsibility for financial matters of the council.	Clerk and nominated Councillor	Ongoing	
Cash	Loss due to theft and dishonesty	0	0	0	No cash received. No cash payments made. All payments require a valid receipt before payment is made by cheque and is recorded in the minutes.		Procedure adequate	Annually
Petty cash	Loss due to theft and dishonesty	0	0	0	No petty cash held – all purchases and/or payments made by cheque following receipt of invoice or valid receipt.		Procedure adequate	Annually
Grants	Receipt of grant Parish Council does not presently receive any regular grants.	0	0	0	Procedure to be drafted, if required			Annually or when grant applied for/offered.
Value	Best value accountability The parish Council would not get value for money	2	3	6	The normal Parish Council practice would be to seek, if possible, more than one quotation for any substantial work to be undertaken. For any planned major work competitive tenders would be sought. If problems are encountered with a contract the Clerk would investigate the situation and report to the Council.		Existing procedure adequate. Include when reviewing the Financial Regulations	Annually

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LIABILITY								
Legal powers	The Parish Council acts beyond its legal powers leading to breach of Code of Conduct; disruption to the function of the Council; loss of reputation of the Council.	1	4	4	<p>Ensure that the Clerk has adequate time to undertake duties of the Council</p> <p>Ensure that the Clerk and Councillors attend regular updates and training to be able to advise the Council.</p> <p>Ensure that Councillors attend regular updates.</p> <p>Consider funding the clerk to achieve the Certificate in Local Council Administration; this will have the additional benefit of the Council being able to apply for Quality Council status.</p>	<p>The Chairman</p> <p>The Chairman</p> <p>The Chairman</p> <p>The Council</p>	Ongoing	
Document security and control	Loss of vital documents e.g. deeds of land owned may lead to problems in the future if land was to be sold or the ownership of land challenged.	1	5	5	<p>Leases and legal documents are held in a solicitor's office.</p> <p>The Clerk retains a facsimile of the Deeds</p>	The Clerk	Ongoing - the Clerk to contact the solicitor's office at least bi-annually to ensure that records are still retained.	Bi-annually.
Freedom of information (FOI)	Excessive time spent by the Clerk fulfilling the obligations of the FOI Act.	1	4	4	<p>The Council has a Model Publication scheme in place. To date there has been no requests under the FOI Act.</p> <p>The Parish Council is aware that if a substantial request came in it could create a number of additional hours work. The Parish Council can request a fee to supplement the extra hours</p> <p>Monitor any requests made under FOI Act.</p>	The Clerk	Ongoing	Annually And/or as requests received
Minutes/agendas Notices Statutory Documents	Non compliance with legal requirements	1	3	3	<p>The Parish Council has a nominated Councillor to ensure compliance with the procedures as laid out in the Standing orders.</p> <p>Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements.</p> <p>Minutes are approved and signed at the next Council meeting.</p> <p>Agenda displayed according to legal requirements.</p> <p>Business conducted at Council meetings managed by the Chairperson</p>	The Clerk and nominated Councillor	Council to nominate a Councillor.	
Insurance	Council not/inadequately insured.	1	5	5	<p>An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity and within policies. Ensure Fidelity compliance measures are in place.</p>	The Clerk and nominated Councillor	Existing procedure adequate.	Insurance reviewed annually.
Asset management	Loss and/or damage of Parish Council property.	3	3	9	<p>Asset register is kept up to date.</p> <p>An annual review of assets is undertaken to ensure adequate insurance cover; a maintenance plan is developed as necessary.</p> <p>Regular checks are made on all equipment by members of the Parish Council and problems reported and dealt with as soon as possible.</p>	<p>The Clerk</p> <p>The Clerk and nominated Councillor.</p> <p>All councillors</p>	Ongoing	Annually

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LIKELIHOOD (A)	Very Likely 5	5	10	15	20	25
	Likely 4	4	8	12	16	20
	Feasible 3	3	6	9	12	15
	Slight 2	2	4	6	8	10
	Very unlikely 1	1	2	3	4	5
		Insignificant 1	Minor 2	Significant 3	Major 4	Critical 5
IMPACT (B)						

Green = Low risk, Amber 9 = Medium risk, Amber 10 –12 high risk, Red = High risk

Likelihood of Occurrence (A)		Severity of Impact (B)	
1- Very unlikely	(hasn't occurred before)	1 - Insignificant	(have no effect)
2 - Slight	(rarely occurs)	2 - Minor	(little effect)
3 - Feasible	(possible, but not common)	3 - Significant	(may pose a problem)
4 - Likely	(has before, will again)	4 - Major	(Will pose a problem)
5 - Very Likely	(occurs frequently)	5 - Critical	(Immediate action required)