

DITCHINGHAM PARISH COUNCIL - Risk Assessment

In all types of undertaking risks prevail. Risk management is a process by which potential risks are identified, evaluated, and addressed. Typically risk management includes avoidance, prevention, reduction, sharing, and retention; more simply perhaps considered as avoidance, mitigation [transfer], or acceptance.

This Council is required to undertake a risk assessment exercise annually and to have a clear risk management policy. Greater focus is required in respect of risk management.

Topic	Risk	HML	Management	Priority	Revised (May 2019)
Finance and Management					
Risk Management	All Risks	L	No control mechanisms exist.	L	Risk Management Implementation Strategy Policy in place and reviewed annually.
Business Continuity	Catastrophic Event	L	This Council considers that the efforts necessary to implement any specific plans for events in this category outweigh the benefits. No specific plans therefore exist.	L	No action
Precept	Adequacy	M	No control mechanisms exist.	M	Precept now £28,000 with adequate reserves in place. Future precept capping could be problematic.
Insurances	Adequacy	L	As the scope of the Council's activities broadens, the adequacy of insurances requires review; such review to include value for money.	L	Insurance policy reviewed and amended (if necessary) annually by Clerk
Financial Records	Inadequate Records	L	Externally audited. Reviewed by Chair	L	Simplified spreadsheet accounts maintained by Clerk. The budget and accounts are reviewed bi-monthly at meetings by all Councillors. Chair views the bank statements bi-monthly at the meetings.
Financial Governance	Financial irregularities	L	Externally audited. Reviewed by Chair	L	Yearly external audit and six monthly internal audit plan in action.
Cash & Banking	Error or Loss	L	Two signatures on payments required. Bank mandate requires revision. Externally audited. Reviewed by Chair	L	Two signatures on payments required. Bank mandate requires revision. Externally audited. Reviewed by Chair
Reporting & Financial Control	Adequacy	L	Recently introduced quarterly budgeting & reporting	L	Simplified financial systems introduced from 2016.
Employee(s)	Loss/ Retention	L	The Council has only one employee (the Clerk). This is a key role within the Council. There is no succession planning.	L	No action required
Employee(s)	Duty of care, Liabilities arising	L	Clerk as line manager of 'employees' must take active role in discharging employers duties	H	Employee matters regularised

Volunteers	Duty of care, Liabilities arising	L	The Council is increasingly using Volunteer's efforts to deliver a range of services or other duties; such volunteers either receiving routine or ad-hoc 'ex-gratia' sums (beyond that which may reasonably be considered expenses). Employment and insurance status' to be determined.	H	No volunteers used.
Health & Safety	Public Liability, Employee Liability, 3rd Party Liability	L	The Council is increasingly undertaking a more active role in the community. This includes amongst a range of service areas provision and maintenance of play equipment, public space management, and similar. While insurances exist their coverage and adequacy is uncertain	L	H&S matters addressed re policy and insurance renewals.
Statutory Documents and Returns.	Non Compliance	M	The Council is dependent on the knowledge of the Clerk. Documentation of Clerk's activities required.	M	Clerk is CiLCA trained and attends regular training and networking events to keep knowledge up-to-date and current.
Meeting Papers	Non Compliance	L	Timely and compliant posting of notices. The Chair & vice Chair review papers as required	N	No action required.
Data Protection	Non Compliance	L	No policy or control mechanisms exist.	M	Reviewed yearly and registered with Data Protection.
FOI	Non Compliance	L	No policy or control mechanisms exist.	M	Reviewed yearly.
Equal Opportunities	Non Compliance	L	No policy or control mechanisms exist.	M	Reviewed yearly.
Web site	Inaccurate or out of date information displayed	M	No policy or control mechanisms exist.	M	No action required.
Internal Audit	Non Compliance	H	Inadequate. No ToR provided to auditor. Handover of clerk matters demonstrated ineffective control testing	L	six monthly internal audit plan in action.
Physical Equipment					
Play Area	Loss; damage; and 3rd parties	L	Annual inspection. Quarterly (or more frequent) inspection required	L	Weekly inspection by staff and reports forwarded to Clerk.
Notice Boards	Loss; damage; and 3rd parties	L	Annual inspection. Quarterly (or more frequent) inspection required	M	Regularly inspected by Chair & Councillors.
Green spaces	Loss; damage; and 3rd parties	M	Annual inspection. Quarterly (or more frequent) inspection required	M	Weekly inspection by staff and reports forwarded to Clerk.
Street Furniture	Loss; damage; and 3rd parties	M	Annual inspection. Quarterly (or more frequent) inspection required	M	Inspected six monthly by staff and report forwarded to Clerk.
Meeting Location(s)	Health & Safety	M	Usually held within Village Hall premises. A review of facilities, and insurances etc. is required.	M	No action required.
Allotments	Health & Safety	M	Annual inspection. Quarterly (or more frequent) inspection required	M	Regular inspection by Councillor (Allotment Holder).
Council Records					
Paper records	Loss; damage	M	Currently kept at Clerks home address, this affords no special protection.	M	Kept at Clerk's home in bookcase and filing cabinet.
Computer records	Loss; damage	M	Currently kept at Clerks home address, this affords no special protection. Compute storage is not routinely secured.	M	Files maintained on 'Cloud' storage and hard-drive backup.