

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
Finance and Management				
Risk Management	All Risks	L	No control mechanisms exist.	L
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
Precept	Adequacy	M	No control mechanisms exist.	M
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
Financial Records	Inadequate Records	L	Externally audited. Reviewed by Chair	L
Financial Governance	Financial irregularities	L	Externally audited. Reviewed by Chair	L
Cash & Banking	Error or Loss	L	Two signatures on payments required. Bank mandate requires revision. Externally audited. Reviewed by Chair	L
Reporting & Financial Control	Adequacy	L	Recently introduced quarterly budgeting & reporting	L
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
Employee(s)	Duty of care, Liabilities arising	L	Clerk as line manager of 'employees' must take active role in discharging employers duties	H
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

Revised (20 February 2017)	Revised (20 November 2017)
Risk Management Implementation Strategy Policy in place and reviewed annually.	Risk Management Implementation Strategy Policy in place and reviewed annually.
No action	No action
Precept now lowered to £30,000 with adequate reserves in place. Future precept capping could be problematic.	Precept now lowered to £25,000 with adequate reserves in place. Future precept capping could be problematic.
Insurance policy reviewed and amended (if necessary) annually by Clerk	Insurance policy reviewed and amended (if necessary) annually by Clerk
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.	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.
Yearly external audit and six monthly internal audit plan in action.	Yearly external audit and internal audit.
Two signatures on payments required. Bank mandate requires revision. Externally audited. Reviewed by Chair	Two signatures on payments required, externally audited. Reviewed by Chair
Simplified financial systems introduced from 2016.	Simplified financial systems introduced from 2016.
No action required	No action required
Employee matters regularised	Employee matters regularised
No volunteers used.	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
Statutory Documents and Returns.	Non Compliance	M	The Council is dependent on the knowledge of the Clerk. Documentation of Clerk's activities required.	M
Meeting Papers	Non Compliance	L	Timely and compliant posting of notices. The Chair & vice Chair review papers as required	N
Data Protection	Non Compliance	L	No policy or control mechanisms exist.	M
FOI	Non Compliance	L	No policy or control mechanisms exist.	M
Equal Opportunities	Non Compliance	L	No policy or control mechanisms exist.	M
Web site	Inaccurate or out of date information displayed	M	No policy or control mechanisms exist.	M
Internal Audit	Non Compliance	H	Inadequate. No ToR provided to auditor. Handover of clerk matters demonstrated ineffective control testing	L
Physical Equipment				
Play Area	Loss; damage; and 3rd parties	L	Annual inspection. Quarterly (or more frequent) inspection required	L
Notice Boards	Loss; damage; and 3rd parties	L	Annual inspection. Quarterly (or more frequent) inspection required	M
Green spaces	Loss; damage; and 3rd parties	M	Annual inspection. Quarterly (or more frequent) inspection required	M
Street Furniture	Loss; damage; and 3rd parties	M	Annual inspection. Quarterly (or more frequent) inspection required	M
Meeting Location(s)	Health & Safety	M	Usually held within Village Hall premises. A review of facilities, and insurances etc. is required.	M
Allotments	Health & Safety	M	Annual inspection. Quarterly (or more frequent) inspection required	M
Council Records				
Paper records	Loss; damage	M	Currently kept at Clerks home address, this affords no special protection.	M
Computer records	Loss; damage	M	Currently kept at Clerks home address, this affords no special protection. Compute storage is not routinely secured.	M

H&S matters addressed re policy and insurance renewals.	H&S matters addressed re policy and insurance renewals.
Clerk is now CilCA trained and attends regular training and networking events to keep knowledge up-to-date and current.	Clerk is CilCA trained and attends regular training and networking events to keep knowledge up-to-date and current.
No action required.	No action required.
Reviewed yearly and registered with Data Protection.	Reviewed yearly and registered with Data Protection.
Reviewed yearly.	Reviewed yearly.
Reviewed yearly.	Reviewed yearly.
No action required.	No action required.
six monthly internal audit plan in action.	Internal auditor appointed
Physical Equipment	
Weekly inspection by staff and reports forwarded to Clerk.	Weekly inspection by staff and reports forwarded to Clerk.
Regularly inspected by Chair & Councillors.	Regularly inspected by Chair & Councillors.
Weekly inspection by staff and reports forwarded to Clerk.	Weekly inspection by staff and reports forwarded to Clerk.
Inspected six monthly by staff and report forwarded to Clerk.	Inspected yearly by staff and report forwarded to Clerk.
No action required.	No action required.
Regular inspection by Councillor (Allotment Holder).	Regular inspection by Councillor (Allotment Holder).
Council Records	
Kept at Clerk's home in bookcase and filing cabinet.	Kept at Clerk's home in bookcase and filing cabinet (separate rooms).
Files maintained on 'Cloud' storage and hard-drive backup.	Files maintained on 'Cloud' storage and hard-drive backup.

Reviewed 20th November 2018