

ODCOMBE PARISH COUNCIL

RISK ASSESSMENT - Adopted 18/12/17

Reviewed 16/12/2019

Major - 4
 Serious - 3
 Significant - 2
 Minor - 1

Very Likely - 4
 Likely - 3
 Unlikely - 2
 Remote - 1

4	4	8	12	16
3	3	6	9	12
2	2	4	6	8
1	1	2	3	4
	Low	Medium	High	
	1,2,3,4	6,8,9	12,16	

Subject	RISK	Notes	Impact	Likelihood	Score	Level	Controls	Responsibility
FINANCE								
Precept	Adequacy of precept		2	2	4	Low	Preparation of detailed budget. Quarterly budget reports to council	Responsibility - Clerk Risk minimised
Financial Controls and records	Loss of funds - FSCS Protection - Money held in bank in excess of £75,000 not protected by FSCS		3	2	6	Medium	Precept paid into NatWest Bank Ltd which is used for usual banking purposes. FSCS scheme covers accounts for up to £75,000 so no need at this time to open a separate bank account.	Responsibility - Clerk/Council Risk minimised
	Unauthorised expenditure		3	1	3	Low	All expenditure presented to council meeting for approval. Cheques signed in accordance with Financial Regulations. Cheques require two Members signatures, all payments and invoices are checked and initialled by the two signatories. Monthly bank reconciliations are completed and checked by a Councillor. Quarterly bank reconciliations should be checked and signed by a non-signatory on the bank account (in accordance with Financial Regulations) - however, as all Councillors are signatories at this time, two signatories will now approve the quarterly bank reconciliation.	Responsibility - Clerk/Council Risk minimised
	Loss of funds through theft or dishonesty		2	2	4	Low	Fidelity Guarantee cover level is currently £250,000.00. Expenditure by Clerk is checked before payment by cheque signatories. Annual insurance review checks level of fidelity guarantee is adequate in relation to current funds held.	Responsibility - Clerk/Council/Insurance/Councillor Risk minimised
	Proper financial records not kept		3	2	6	Medium	Excel cashbook completed monthly; Internal auditor to provide assurance and external audit completed.	Responsibility - Clerk Risk minimised
	Council business not properly recorded		1	1	1	Low	Resolutions recorded within the minutes. Councillors have the opportunity to comment on draft minutes prior to the presentation of formal adoption. Master copy signed, numbered and retained All expenditure must be approved by council and in accordance with Financial Regulations.	Responsibility - Clerk Risk minimised
	Members unaware of level of funds held		1	1	1	Low	Financial information is a regular agenda item (Finance).	Responsibility - Clerk Risk minimised
	Inland Revenue requirements not met (PAYE and VAT Claim)		2	1	2	Low	Trained Clerk - HMRC basic pay tools calculates PAYE and paid monthly and approved by council. VAT calculated and claimed with a minimum sum of £300. Internal auditor to provide assurance.	Responsibility - Clerk Risk minimised
General and earmarked reserves	Insufficient reserves to enable the Council to carry out its functions	Precept paid by SSDC in April each year	2	2	4	Low	Reserves are part of the budget setting process. Budget must be approved by Council and the precept must be approved at a full Council meeting	Responsibility - Clerk/Council Risk minimised

Staff	Salary payments paid incorrectly		2	1	2	Low	All payments are checked and signed monthly by the cheque signatories. HM Revenue & Customs Employer software used for PAYE & NI. Monthly returns to Inland Revenue. Ensure up-to-date software is used for calculations. Provision for pension is not required at this time as the salary paid is below the threshold and the Clerk is over retirement age.	Responsibility - Clerk/Council Risk minimised
Assets	Assets not fully protected against physical damage, fire and theft	Office Contents £12500 Street Furniture £30000 Playground Equipment £50000 £125 excess for all items	2	2	4	Low	Asset Register updated annually - Annual review of insurance policy and value of assets held prior to the renewal of insurance, changes, additions and disposals updated on an adhoc basis. Currently insured with Aon on a long term contract due to expire 01/06/18. Playground equipment is checked weekly by a trained Councillor and independently by South Somerset District Council on a quarterly basis; playground inspection reports retained for 21 years. Odcombe War Memorial is not owned by the Parish Council but is covered under Council insurance.	Responsibility - Clerk/Council Risk minimised
Election Costs	Risk of election cost		1	3	3	Low	Election cost included within the annual budget. - Risk is higher in an election year, however over the four year period annual provision is made within the budget to ensure that all cost would be met. There is enough annual provision to cover the possibility of a by-election at any time. If any monies are used in the 4 year period they would be replaced to ensure possible election costs can be met.	Responsibility - Clerk/Council - (Budget) Risk minimised
MANAGEMENT								
Land managed on behalf of SSDC	Encroachment on land by travellers	Encroachment last took place in Aug 2019	3	3	6	Medium	Measures taken should be adequate to stop encroachment on to the field. SSDC will assist with eviction if required.	Responsibility - Council Risk minimised
	Trees		3	3	6	Medium	Arrange inspection every two years by SSDC and agree work to be carried out	Responsibility - Council Risk minimised
Business Continuity	Absence of Clerk from the officer for a period exceeding two weeks, other than arranged holiday.		2	2	4	Low	Should the Clerk be declared unfit for work for more than 2 weeks the Chairman will contact Vision ICT and arrange for Council emails to be forwarded to the Chairman and Vice-Chairman. The Chairman will contact Clerks to adjacent Councils for temporary paid assistance. The Clerk will ensure that the Chairman has all necessary contact details.	Responsibility - Council Risk minimised
Council Records and archives	Loss through theft or damage		3	2	6	Medium	Minute books and financial information are deposited at the Somerset Heritage Centre - reference D\PC\odc. All current documents including Minutes from 2007, financial information, Playground Inspections (Inspection documents to be held for 21 years) stored at the the Clerk's home. When empty the home is locked and a smoke alarm is fitted.	Responsibility - Clerk/Council Risk minimised
	Computer - loss, damage, corruption or ransomware		3	2	6	Medium	Malware protection – Bullguard - is updated regularly. Data backed up daily on Cloud storage.	Responsibility - Clerk/Council Risk minimised

Risk Assessment	Risk Assessment not adequately reviewed in accordance with The Guidance on Governance and Accountability for Local Councils in England		2	2	4	Low	Council annually reviews the risk assessment - councillors must answer yes or no to the following questions at the meeting the risk assessment is reviewed at:- 1. Does council agree that BPC has adequately identified any new risks and reviewed all of the risks associated with the parish council. 2. Does council agree that the scoring and level associated with the identified risks are correct. 3. Does the council agree to adopt the presented risk assessment in its entirety. 4. The minutes reflect the questions asked and that a full review has been considered by full council	Responsibility - Clerk/Council Risk minimised
LIABILITY								
Legal Powers	Ensuring activities are within legal powers		3	1	3	Low	Clerk to clarify legal position of any new proposal and seek legal advice where necessary	Responsibility - Clerk Risk minimised
Minutes	Proper and timely reporting via minutes		1	1	1	Low	Council meets once a month. Minutes are distributed in a timely fashion and approved and signed at the following meeting. Minutes are made available to the press and public.	Responsibility - Clerk Risk minimised
Public Liability	Risk to third party, property or individuals		2	2	4	Low	Insurance is in place, play areas checked weekly. Risk assessment would be undertaken for any individual event that was the councils sole responsibility.	Responsibility - Clerk Risk minimised
Employer liability	Non compliance with employment law		2	2	4	Low	The council is to ensure that the Clerk has received adequate training. Seek advice from appropriate bodies. The Clerk is a member of SLCC. A Staffing Committee is nominated annually.	Responsibility - Clerk/Council Risk minimised
	References not obtained (insurance requirement)		2	2	4	Low	Currently in place for existing Clerk - part of interview process for a new clerk	Responsibility - Clerk/Council Risk minimised
Data Protection	Uncontrolled data		2	1	2	Low	The council has a Data Protection Policy The Clerk is registered with the ICO as a Data Controller	Responsibility - Clerk Risk minimised
COUNCILLORS PROPRIETY								
Interests	Councillors involved in decision who have an interest		2	2	4	Low	Councillors have a duty to declare any interest at the start of the meeting. Disclosure of interests is an agenda item at the start of every meeting and declarations recorded in the minutes	Responsibility - Clerk/Council Risk minimised
	Register of Interests and gifts and hospitality in place		2	2	4	Low	Register of interest completed within 28 days of taking office and amended throughout the year as necessary. Gifts and hospitality are recorded on register of interest form. Going forward annual agenda item for the Annual May meeting for members to review their register of interest form.	Responsibility - Clerk/Council Risk minimised

Other Risk Assessments Held

MEETING VENUE								
Public bodies (admission to meetings) Act 1960	Meeting venue may not be accessible for some members of the public	Equality Act 2010 also gives OPC an anticipatory duty	2	1	3	Low	Double door to hall can be opened to enable easier access if required. Hall Committee has completed its own risk assessment for disabled access. Hearing loop is available.	Responsibility - Hall Management Committee Risk minimised
Staff	Health & Safety		2	2	4	Low	Risk assessment completed by Staffing Committee	Responsibility - Clerk/Staffing Committee Risk minimised
Recreation Ground	Safety of play area/bmx track and car park	Land managed on behalf of SSDC	2	2	4	Low	Risk assessment paid for by OPC and completed by SSDC for play area. Risk assessment carried out when new equipment is installed or every three years. Car park is inspected 12 times per year and kept clean by the Parish Ranger.	Responsibility - Clerk/Council Risk minimised
Recreation Ground	Safety of football pitch		2	2	4	Low	Risk assessment completed by Odcombe Football Club for use of field. Goal posts checked before any match and report kept on file.	Responsibility - Odcombe FC Risk minimised

Archived documents deposited at Somerset Heritage Centre - reference D/PC/odc

Asset Register - see attached document