

# YEOVIL WITHOUT PARISH COUNCIL

## RISK ASSESSMENT -Adopted Jan 16

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

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

4	4	8	12	16
3	6	9	12	
2	4	6	8	
1	2	3	4	
	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
<b>FINANCE</b>								
Precept	Adequacy of precept		2	2	4	Low	Preparation of detailed budget. Quarterly budget reports to council	Responsibility - Clerk <b>Risk minimised</b>
Financial Controls and records	Loss of funds - FSCS Protection - Money held in bank in excess of £75,000 not protected by FSCS	Changed July 15 - small local authorities now covered by FSCS	3	2	6	Medium	Alternative provider approved by council to deposit excess funds - Action: Application to the Co-operative Bank to open a deposit account has been made to ensure the majority of YWPC funds held are protected by FSCS.	Responsibility - Clerk/Council <b>Risk minimised</b>
	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 scrutiny group prior to the cheques being presented to council for signature. Monthly bank reconciliations are completed and checked by the scrutiny group. Quarterly bank reconciliations are presented to full council for signature by the Chairman.	Responsibility - Clerk/Scrutiny Group <b>Risk minimised</b>
	Loss of funds through theft or dishonesty		2	2	4	Low	Fidelity Guarantee cover level is currently £200,000.00. Petty Cash payments supported by receipts and checked monthly by the scrutiny group. Annual insurance review checks level of fidelity guarantee is adequate in relation to current funds held.	Responsibility - Clerk/Council/Insurance/Scrutiny Group <b>Risk minimised</b>
	Proper financial records not kept		3	2	6	Medium	Excel spreadsheet (cashbook) completed monthly; bank reconciliation completed monthly for the scrutiny group to show that bank statements match the balance reported. Quarterly bank reconciliations are completed and presented to the council for signature. Internal auditor to provide assurance and external audit completed.	Responsibility - Clerk <b>Risk minimised</b>
	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 <b>Risk minimised</b>
	Members unaware of level of funds held		1	1	1	Low	Financial information is a regular agenda item (Finance Report) and discussed/reviewed and approved at each meeting	Responsibility - Clerk <b>Risk minimised</b>
	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 annually by RFO. Internal auditor to provide assurance.	Responsibility - Clerk <b>Risk minimised</b>
Staff	Payments paid incorrectly		2	1	2	Low	All payments are checked and signed monthly by the scrutiny group 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/gratuity is considered when setting precept.	Responsibility - Clerk/Scrutiny Group <b>Risk minimised</b>
Assets	Assets not fully protected against physical damage, fire and theft	Office Contents £1,818.53 Street Furniture £37,025.62 Gates and Fences £5,618.63 Playground Equipment £42,020.30	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 Aviva on a long term contract due to expire 30/09/17. Playground equipment is checked independently by South Somerset District Council on a weekly basis; playground inspection reports retained for 21 years.	Responsibility - Clerk/Council <b>Risk minimised</b>
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 in the eventuality of all three wards being contested. 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) <b>Risk minimised</b>

MANAGEMENT								
Business Continuity	Absence of Clerk from the officer for a period exceeding two weeks, other than arranged holiday.		2	2	4	Low	Arrangements to be made for mail and email to be forwarded to either the Chairman or Vice Chairman. If required the councils laptop would be passed to the Chairman/Vice Chairman until a temporary or permanent replacement can be found. It may be possible that Brympton's Clerk could assist short term in an emergency - Tel 01935 424332. The Computer passwords are known to the Chairman and the leader of the Scrutiny Group.	Responsibility - Council <b>Risk minimised</b>
Council Records and archives	Loss through theft or damage	Cloud storage discussed, The Clerk will register One Drive, storage available with Windows 10 for additional back up	3	2	6	Medium	Minute books and financial information are deposited at Somerset Record Office (as per list attached). All current documents including Minutes from 2001, financial information, Johnson Park Playground Inspections (Inspection documents to be held for 21 years) stored at the Clerk's house. When empty the Clerk's home is locked and alarmed, smoke alarms are also fitted. Going forward all documentation including play area inspection reports will be scanned and saved to the laptop. The laptop is backup monthly on a external hard drive stored at a separate location (Chairman or scrutiny group member). Suggested further action - consideration of cloud storage.	Responsibility - Clerk/Council <b>Risk minimised</b>
	Loss or damage corruption of computer	Cloud storage discussed, The Clerk will register One Drive, storage available with Windows 10	3	2	6	Medium	Virus protection – Trend Micro Client - Data back up monthly on external hard drive - Suggested further action - consideration of cloud storage. Back-up could be done daily and accessed by other devices and authorised councillors.	Responsibility - Clerk/Council <b>Risk minimised</b>
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:- <ol style="list-style-type: none"> <li>1. Does council agree that YWPC has adequately identified any new risks and reviewed all of the risks associated with the parish council.</li> <li>2. Does council agree that the scoring and level associated with the identified risks are correct.</li> <li>3. Does the council agree to adopt the presented risk assessment in its entirety.</li> <li>4. The minutes reflect the questions asked and that a fully review has been considered by full council</li> </ol>	Responsibility - Clerk/Council <b>Risk minimised</b>
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 <b>Risk minimised</b>
Minutes	Proper and timely reporting via minutes		1	1	1	Low	Council meets once a month a part from August. 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 <b>Risk minimised</b>
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 <b>Risk minimised</b>
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 member of SLCC advisory group. Staffing Working Group nominated annually.	Responsibility - Clerk/Council <b>Risk minimised</b>
	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 <b>Risk minimised</b>
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 <b>Risk minimised</b>
Staff	Heath & Safety		2	2	4	Low	Council to provide adequate direction. Safety assessments should be completed and safety equipment provided if required.	Responsibility - Clerk/Council <b>Risk minimised</b>
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 <b>Risk minimised</b>
	Register of Interests and gifts and hospitality in place		2	2	4 2	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 <b>Risk minimised</b>

SHARED ASSETS								
Yeovil Cemetery	Assets not fully insured/protected		1	1	1	Low	Minor shareholder 10% - all insurance provision is covered by the Yeovil Town Council majority shareholder.	Responsibility - Yeovil Town Council
	Change to the Cemetery Deficit agreement - above 2% increase to YWPC precept	Brympton Parish Council is not a shareholder and currently shares 20% of the deficit cost which gives their parishioners reduced burial costs	2	3	6	Medium	Sound budget preparation and any change would require a years notice. Based on the current formula this could potentially add £700 to YWPC deficit. The additional sum is currently payable from reserves and could be added slowly to the precept should government announce that parish council require a referendum for precept above 2%.	Responsibility - Clerk <b>Risk minimised</b>
Yeovil Crematorium	Assets not fully insured/protected		1	1	1	Low	Minor shareholder 11% - all insurance provision is covered by SSDC majority shareholder.	Responsibility - SSDC
	Capital improvement works/improvements required		1	4	4	Low	YWPC has a responsibility to pay 11% share of any capital works or improvements made to the Crematorium. A minimum of £100,000 crematorium reserve fund is maintained to meet this responsibility without impacting the parish council general reserve. Currently there is more than adequate funds in the Crematorium reserve fund which is held by SSDC on behalf of YWPC. YWPC takes £30,000 annually from the net profit to help supplement their precept, this did leave a small surplus, however this will increase as the cost of a cremation has increased by £114 (2015) and therefore the crematorium reserves will increase. Annual budgeting and consultation with the major shareholder should ensure that adequate funds are held to meet YWPC responsibility.	Responsibility - Clerk <b>Risk minimised</b>

Archived documents deposited at Somerset Record Office

BOX 1		BOX 2	
1890 – 1905	Cash Book Allotments	1955 – 1970	Minute Book
1897 – 1901	Ledger Brickyard Lane Allotments	May 1970 – Sept 1974	Minutes
1890 – 1906	Ledger allotments	Oct 1974 – Dec 1979	Minutes
1901 – 1942	Receipts and Payments Account	Jan 1980 – Apr 1987	Minutes
1943 – 1965	Receipts and Payments Account	May 1987 – Feb 1993	Minutes
1965 – 1970	Receipts and Payments Account	30.3.1993 – 30.4.1996	Minutes
1970 – 1992	Receipts and Payments Account	28.5.1996 – 25.4.2000	Minutes
1911 – 1923	Financial Statements	30.5.2000 – 24.4.2001	Minutes
1923 – 1934	Financial Statements		
1935 – 1946	Financial Statements		
1947 – 1964	Financial Statements		
1963	Petition re changes to Boundaries		
1931 – 1970	Allotment Collection and Deposit Book		
1945 – 2004	Allotment Rent Book		

Yeovil Without Parish Council Fixed Asset Register					
as at February 2016					
Asset	Location	Details	Date acquired	Purchase price	
Allotments	Yeovil Marsh	27 Allotment Plots & grazing land		£ 1.00	
Crematorium	Yeovil Crematorium	11% share in ownership		£ 1.00	
Cemetery	Preston Road Cemetery	10% share in ownership		£ 1.00	
Play Equipment	Johnson Park	Various piece's of play equipment	2007	£ 28,019.00	
Office Equipment	(at the Clerk's House unless otherwise stated)	Dell Latitude E5430 Laptop	Apr-13	£ 670.00	
		Dell Projector 1610HD	Apr-13	£ 478.80	
		Port Replicator	Apr-13	£ 79.79	
		Logitech Wireless Combo (keyboard mouse)	Apr-13	£ 31.91	
		Dell Professional Monitor	Apr-13	£ 128.75	
		Shredder	Oct-15	£ 49.99	
		Twin Telephones	Jul-13	£ 29.99	
		Desk,	Mar-08	£ 75.00	
		Canon Laser Printer	Jul-08	£ 199.00	
		Chair	Feb-12	£ 41.99	
		Vice Chairman's House	lomega 250gb hard drive	Mar-09	£ 69.99
Bus Shelter		Various (shown below)	8 Bus Shelters	2006 - 2014	£ 14,173.46
Grit Bins		Various (shown below)	23 Grit Bins placed the parish	2010 - 2014	£ 3,057.58
Litter Bins & Dog Bins	Litter Bin	Swintex Phoenix	Jul-05	£ 150.00	
	Dog Bin		Jul-06	£ 186.83	
	Litter Bin		Sep-06	£ 202.10	
	Litter Bin		Aug-05	£ 195.63	
	Litter Bin		Jun-99	£ 182.13	
	Dog Bins x 3		Aug-99	£ 830.73	
	Litter Bin	Amberol	Oct-00	£ 182.13	
	Litter Bin	Amberol	Apr-00	£ 193.88	
	Litter Bin x 2		Aug-00	£ 340.75	
	Dog Bin	Earth Anchor	Mar-05	£ 202.69	
	Litter Bin	Johnson Park (replacement of damaged bin)	Jan-14	£ 411.43	
Notice Boards	Yeovil Marsh		Dec-96	£ 573.40	
	Hundredstone } x2		Sep-99	£ 1,164.62	
	Wessex Road				
	Cavalier Way		Nov-15	£ 369.00	
	Johnson Park		Sep-99	£ 582.31	
	Wyndham Park		Jul-13	£ 1,178.00	
Bench 3	Grass Verge Lyde Road	Bench (Donated by the Plymouth Brethren)	Oct-15	£ -	
<b>Total Fixed Assets</b>				<b>£54,054</b>	

Details of Assets				
Asset	Location	Details	Date acquired	Purchase price
<b>Bus Shelters</b>	Combe Street Lane	Cantilever	Jan-08	£ 2,517.00
	Coppitts Hill x 2	Cantilever		£5,034.00
	Coppitts Hill (Stone)	ENCL		£0
	Hundredstone	ENCL		£0
	Lyde Road	Cantilever	Jun-06	£4,105.46
	Cavalier Way	Cantilever	Jun-08	£ 2,517.00
	Runnymede Road	Cantilever	Apr-13	£ 2,921.00
				<b>£ 14,173.46</b>
<b>Grit Bins</b>	See info below	GreenTech x 7	Oct-10	£ 896.00
	See info below	Storagenstuff x 7	Dec-10	£ 1,015.00
	See info below	GreenTech x 7	Jul-11	£ 824.18
		Glasdon X 2	Nov-14	£ 322.40
				<b>£ 3,057.58</b>
1	Junction of <del>Wessex Road</del> and <del>Greenwood Road</del>		Removed at request of landowner- Currently held at SSDC Lufton Depot	
2	Junction of <b>Coronation Ave</b> and entrance to <b>Johnson Park</b>		Grass verge by Johnson Park entrance	
3	Junction of <b>Coppitts Hill</b> and <b>Ilchester Road</b>		Shrub area to the left when approaching from Ilchester Road	
4	<b>Marsh Lane</b> (top end, Combe Street Lane)		Right hand side when approaching from Combe Street Lane	
5	<b>Marsh Hollow</b> (Marsh Lane)		On left hand verge near lay-by	
6	<b>33 Combe Street Lane</b> (off main Combe Street Lane)		Hardstanding inside No 33 Combe Street Land	
7	Junction of <b>Lyde Road</b> and <b>Runnymede Road</b>		Hardstanding beside 158 Runnymede Rd	
8	<b>Runnymede Road Shops</b>		Hardstanding outside One Stop	
9	<b>Magna Close</b> adjacent No. 67		Grass verge adjacent No 67 Magna Close	
10	<b>Gainsborough Way</b> Tesco Express		Grass verge to the right of the shop	
11	<b>Sandlewood Close</b>		Large square grass area, opposite No 23	
12	<b>Yeovil Marsh</b> - Junction of Orchard Close		Grass verge on the corner of the junction by the sign.	
13	Junction of Combe Street Lane and <b>Combe Park</b>		Grass verge on the corner of the junction	
14	<b>High Lea</b>		Large grassed area (2nd lot of grass near edge)	
15	Junction of <b>St Mary's Crescent</b> & Buckler's Mead Road		Grassed triangle area at junction	
16	<b>Fairmead Road</b>		Grass by the service road sign	
17	Junction of <b>Lyde Road</b> and <b>Romsey Road</b>		Grass verge at corner of junction	
18	<b>Wilton Road</b>		Grass area half way up Wilton road, opposite Broadlands Close	
19	<b>Stone Lane</b>		Shrub verge alongside No 1 Stone Lane	
20	Junction to <b>Larkhill Road</b> and <b>Larkspur Crescent</b>		On corner of pavement at junction	
21	29 Tower Road		Hardstanding inside No 29 Tower Road	
22	Rivers Road		On pavement, outside 7 & 9 Rivers Road	
23	Benz Café		Grass outside Benz Café	
<b>Allotments approx 6.8 acres - Yeovil Marsh</b>				
<i>The allotment land has the Land Registry title WS35234 Edition Date 21 February 2006</i>				
<i>Porter Dodson Solicitors Central House Church Street Yeovil Somerset BA20 1HH</i>				
<i>The 1890 Conveyance with regard to the allotment land and right of access is lodged with Porter Dodson</i>				