

YEOVIL WITHOUT PARISH COUNCIL RISK ASSESSEMENT - 2018

Risk Matrix - The key risks for the Council are assessed for impact and likelihood so that risks are indemnified as low, medium or high. Controls are then identified to mitigate the risk. Risk scoring shown below:

Impact		Likelihood	
Major	4	Very Likely	4
Serious	3	Likely	3
Significant	2	Unlikely	2
Minor	1	Remote	1

Likelihood	4	4	8	12	16
	3	3	6	9	12
	2	2	4	6	6
	1	1	2	3	4
		1	2	3	4
	Impact				

	High (H)
	Medium (M)
	Low (L)

The management of risk is an important part of the Council's work; making sure that the people who use our facilities are safe, giving the staff the protection to get on with their work, and protecting the assets that the council hold. Risk assessment happens all the time, but once a year, the council brings the information together and collates it in a single document.

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the Parish Council to identify any and all potential inherent risks. The Parish Council, based on a recorded assessment, will take all practical and necessary steps to reduce or eliminate the risks, as practically possible.

This document has been produced to enable Yeovil Without Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

Subject	Risk	Impact	Likelihood	Score	Level	Controls	Responsibility
Precept	Adequacy of precept	2	2	4	L	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 more than £75,000 not protected by FSCS	3	2	6	M	Alternative provider approved by council to deposit excess funds – Mar 17 - £60,000 deposited in Nationwide 95-day notice account. Nationwide separate entity to NatWest Plc – FSCS protection applies to both accounts	Responsibility - Clerk/Council Risk minimised
	Unauthorised expenditure	3	1	3	L	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 member prior to the cheques being presented to council for signature. Monthly bank reconciliations are completed and checked by the scrutiny member. Quarterly bank reconciliations are presented to full council for signature by the Chairman.	Responsibility - Clerk/Council Risk minimised
	Loss of funds through theft or dishonesty	2	2	4	L	Fidelity Guarantee cover level is currently £200,000.00. Petty Cash payments supported by receipts and checked monthly by the scrutiny member. Annual insurance review checks level of fidelity guarantee is adequate in relation to current funds held.	Responsibility - Clerk/Council/ Insurance Risk minimised
	Proper financial records not kept	3	2	6	M	Excel spreadsheet (cashbook) completed monthly; bank statements checked monthly and signed by scrutiny member against balance reported. Quarterly bank reconciliations are completed and presented to the council for signature. Financial Regulations – guidance and requirements	Responsibility - Clerk Risk minimised
	Council business not properly recorded	1	1	2	L	Resolutions recorded within the minutes. Expenditure approved by council in accordance with YWPC Financial Regulations. Councillors have the opportunity to comment on draft minutes prior to the presentation of formal adoption. Minutes signed, numbered and retained.	Responsibility – Clerk/Council Risk minimised
	Members unaware of level of funds held	2	1	2	L	Financial report discussed/reviewed and approved at each meeting, financial information attached at the end of the pc minutes monthly.	Responsibility – Clerk/Council Risk minimised

Subject	Risk	Impact	Likelihood	Score	Level	Controls	Responsibility
Reserves – General	Adequacy	2	1	2	L	Consider at Budget setting	Responsibility – Clerk/Council Risk minimised
Reserves - Earmarked	Adequacy	2	1	2	L	Consider at Budget setting and final accounts	Responsibility – Clerk/Council Risk minimised
Staff	Inland Revenue requirements not met (PAYE and VAT Claim)	2	1	2	L	Trained Clerk - HMRC basic pay tools calculates PAYE and paid monthly and approved by council. VAT calculated and claimed annually by RFO. Internal auditor provides assurance.	Responsibility – Clerk/Council Risk minimised
	Payments paid incorrectly	2	1	4	L	All payments are checked and signed monthly by the scrutiny member. 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/Council Risk minimised
Assets	Assets not fully protected against physical damage, fire and theft	2	2	4	L	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 3-year term contract due to expire 30/09/20. Playground equipment is checked independently by South Somerset District Council on a weekly basis; playground inspection reports retained for 21 years.	Responsibility – Clerk/Council Risk minimised
Election Costs	Risk of election cost	1	3	3	L	Election cost included within the annual budget, check with SSDC estimated annual cost. Provision is made within the budget to ensure that all cost would be met in the eventuality of all three wards being contested. SSDC estimate Jan 18: Total £4,650 Brimsmore £1400 Lyde £2000 Combe £1250	Responsibility - Clerk/Council - (Budget) Risk minimised

Subject	Risk	Impact	Likelihood	Score	Level	Controls	Responsibility
Business Continuity	Absence of Clerk from the officer for a period exceeding two weeks, other than arranged holiday.	2	2	4	L	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 or Yeovil Town Clerk/deputy Clerk could assist short term in an emergency. The Computer passwords are known to the Chairman.	Responsibility – Clerk/Council Risk minimised
Council Records and archives	Loss through theft/damage fire/ corruption	3	2	6	M	Minutes and financial information deposited at Somerset Record Office (as per list attached). Minutes from 2015 onwards, passed 7 years of financial records, Johnson Park Playground inspections (to be held for 21 years) held at the Clerk's house. Minutes and financial records saved on computer, separate hard disk and one drive storage. Playground inspections reports in the process of being scanned to one drive. YWPC virus protection and all files back up monthly on external hard drive and weekly on one drive.	Responsibility - Clerk Risk minimised
Legal Powers	Ensuring activities are within legal powers	3	1	3	L	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	L	Council meets once a month apart 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 Risk minimised
Public Liability	Risk to third party, property or individuals	2	2	4	L	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	L	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 Risk minimised
	References not obtained (insurance requirement)	2	2	4	L	Currently in place for existing Clerk - part of interview process for a new clerk	Responsibility - Clerk/Council Risk minimised

Subject	Risk	Impact	Likelihood	Score	Level	Controls	Responsibility
Data Protection	Uncontrolled data	2	1	2	L	The council has a Data Protection Policy The Clerk is registered with the ICO as a Data Controller. (DPO position to be considered when further information is received)	Responsibility – Clerk/Council Risk minimised
Staff/ Councillors	Health & Safety	2	2	4	L	Council to provide adequate direction. Safety assessments should be completed, and safety equipment provided if required.	Responsibility – Clerk/Council Risk minimised
Interests	Councillors involved in decision who have an interest	2	2	4	L	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	L	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. SSDC change of process from 1 st Feb18 – scanned files as PDFs sent to democracy@southsomerset.gov.uk . (if posting send copies not originals) – if change scan and send revised form.	Responsibility – Clerk/Council Risk minimised
Yeovil Cemetery	Assets not fully insured/protected	1	1	1	L	Minor shareholder 10% - all insurance provision is covered by the Yeovil Town Council majority shareholder.	Responsibility – YTC
	Excessive change to the Cemetery Deficit	2	2	4	L	YWPC - 2 members appointed to the Yeovil Crematorium and Cemetery Committee – draft budget meeting October - YWPC approve budget set by the committee. All budget requirements considered annually by YWPC, confirmation of deficit figure is received in January. YWPC receive agenda and minutes from Yeovil Crematorium and Cemetery Committee quarterly meetings.	Responsibility – SSDC/YTC/Clerk/Council Risk minimised
Yeovil Crematorium	Assets not fully insured/protected	1	1	1	L	Minor shareholder 11% - all insurance provision is covered by SSDC majority shareholder.	Responsibility – SSDC
	Capital improvement works/ improvements required	2	2	4	L	YWPC has a responsibility to pay 11% share of any capital works or improvements made to the Crematorium. YWPC receive agenda and minutes from Yeovil Crematorium and Cemetery Committee quarterly meetings. YWPC to ensure adequate funds are available to meet responsibility. Withdrawal from these funds for other projects can only be made if there are surplus funds available.	Responsibility – SSDC/YTC/Clerk/Council Risk minimised

Yeovil Without Parish Council Fixed Asset Register

as at March 2018

Asset	Location	Details	Date acquired	Purchase price	Insurance Value	
Allotments	Yeovil Marsh	27 Allotment Plots & grazing land		£ 1.00		
Crematorium	Yeovil Crematorium Preston Road	11% share in ownership		£ 1.00		
Cemetery	Cemetery	10% share in ownership		£ 1.00		
Play Equipment	Johnson Park	Existing play equipment (cradle swings rem	2003	£ 27,182.00	£43,289.31	
	Johnson Park	New play equipment Uni Bexy and play pane	Mar-17	£ 4,790.20		
Office Equipment		Dell Latitude 3580 Laptop	Jan-18	£ 721.80	£ 1,873.45	
		Dell Projector 1610HD	Apr-13	£ 478.80		
		(at the Clerk's House unless otherwise stated)				
		Logitech Wireless Combo (keyboard mouse)	Jan-18	£ 31.19		
		Dell Professional Monitor	Apr-13	£ 128.75		
		5m monitor cable	Jan-17	£ 7.99		
		Shredder	Oct-15	£ 49.99		
		Twin Telephones	Sep-16	£ 34.99		
		Desk,	Mar-08	£ 75.00		
		Canon Laser Printer	Jul-08	£ 199.00		
		Chair	Oct-17	£ 59.99		
		Electric Heater	Nov-16	£ 11.99		
		Vice Chairman's House	lomega 250gb hard drive	Mar-09	£ 69.99	
Bus Shelter	As detailed below	9 Bus Shelters	see below	£ 20,108.46		
Grit Bins	Various	23 Grit Bins placed the parish	see below	£ 3,293.90		
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	Earth Anchor	Sep-16	£ 468.00	
Greenwood Road		Earth Anchor	Jul-16	£ 520.00		
Cavalier Way		Earth Anchor	Oct-15	£ 334.00		
Johnson Park		Earth Anchor	Sep-16	£ 468.00		
Wyndham Park		Earth Anchor	Jul-15	£ 1,178.00		
WP Community Hub		Earth Anchor	Sep-16	£ 468.00		
Bench		Grass Verge Lyde Road	Bench (Donated by the Plymouth Brethren)	Aug-15	£ 1.00	
	Combe Street Lane Rour	Bench (Donated by the Plymouth Brethren)	Apr-16	£ 1.00		
Speed Indicator Device	Various/Clerk/Parish Rar	Westcotec Mobile Speed Indicator Device	Nov-16	£ 3,050.00		
	Post locations in parish	SID bracket x5 @£50 each	Dec-16	£ 250.00	£ 45,951.00	
Gates and Fencing	Allotments	entrance gate into parking area		£ 1.00	Gates and fer	
	Allotments	gate into allotment		£ 1.00	£ 5,788.32	
	Allotments	Fencing surrounding allotments		£ 1.00		
	Allotments	Fencing surround allotment land boundary		£ 1.00		
	Allotments	Taps		£ 1.00		
	Johnson Park	Entrance gate		£ 1.00		
	Johnson Park	Wooden Fence		£ 1.00		
	Johnson Park	Boundary Fenced	Apr-17	£ 3,000.00		
Total Fixed Assets				£ 70,643.74		

Archieved Documents – Deposited Somerset Record Office

Archived documents deposited March 2008			
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		

Archived documents deposited at Somerset Record Office - February 2018	
BOX FILE 1A	
1894 - 1922	Minute Book
1923 - 1954	Minute Book
BOX FILE 3	
May 2001 – April 2005	Minutes
May 2005 – April 2007	Minutes
May 2007 – April 2011	Minutes
BOX FILE 4	
May 2011 – April 2015	Minutes