

DUNNINGTON PARISH COUNCIL - RISK ASSESSMENT

This Risk Assessment was approved by the Council at its Meeting held on 10th March 2012. – Reviewed and adopted by at Council Meeting 10th July 2017

Definition of Risk Management

Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements. (*Audit Commission – Worth the Risk: Improving Risk Management in Local Government (2001:5)*)

This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. The Council is aware that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic and focuses approach to managing risk, which:

Identifies the subject - Identifies what the risk may be - Identifies the level of risk - Evaluates the management and control of the risk and records findings - Reviews, assesses and revises procedures if required.

Area of Risk	Significance + Probability	Risk(s) Identified	Management/Control of Risk	Action or Review
Legal powers	LOW + LOW	Illegal activity or payments	All activity must be within the powers of the Parish Council and any expenditure to be agreed by PC and clearly minuted before liabilities incurred or payments made. All payments made are included in the agenda and published on line and in the minutes. ..	Existing procedures adequate
Legal liability	HIGH + LOW	Legality of activities	Clerk to organise clarification of legal position on any new proposals and to seek advice if necessary. Advice from YLCA available. .	New advice to be sought for new activities. Review of legal requirements to be undertaken.
Legal liability	LOW + LOW	Proper timely reporting via PC minutes	System functioning well	No action required

Legal liability	MED + MED	Proper PC document Control	Minutes archived to reading room store and all PC records securely backed up	Locate and document all PC records electronically, in Reading Room store and all PC records to be securely backed up
Minutes/ Agendas/ Statutory documents	LOW + LOW	Compliance with statutory requirements.	Minutes and agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed at next meeting. Minutes and agendas are displayed according to legal requirements. Code of Conduct adopted by the Parish Council and to be adhered to by members	Existing procedures adequate. Ensure all decisions are highlighted appropriately.
Public Liability	LOW + MED	Risk to third party property or individuals.	Insurance is in place.	Undertake and review annually risk assessments for all current activities and for any new activities.
Insurance	LOW + HIGH	Adequacy, cost, compliance, fidelity guarantee	Employers Liability, Public Liability and Fidelity Guarantee are statutory requirements	An annual review is undertaken of all insurance arrangements in January in place.
All Trees on Parish Land	Med + Med	Damage from falling trees or branches	All trees for which the Parish Council is responsible have been identified. In conjunction with COYC a survey has been carried out and a risk assessment undertaken Remedial work is being planned.	Procedures now adequate. Risk Assessment Review every four years by qualified arborist or tree surgeon organised by the Environment Group
Employer Liability	LOW + MED	Non compliance with employment law.	Clerk to have adequate training and ensure contract is reviewed annually in light of changes to employment legislation. Advice from YLCA available	Implement annual review. Last done April 2017.
Parish Website Liability for Content	MED + LOW	Proper control of Website content	Access to Website is strictly controlled.	Protocol for use and control need to be documented. PC not responsible for content on any third party site.
Precept	LOW + LOW	Adequacy of precept	Regular annual expenditure is limited to Insurance, Audit, Clerk's Salary & Expenses plus three 50/50 maintenance agreements with Reading Room, Scout Hut and DGPF.	Finance, Strategy and Audit Group to receive quarterly reconciliations against the budget. The precept is to be an agenda item at December PC meetings.

				Financial rules around level of precept have been established but are not yet documented
Reserves	MED + MED	Adequacy	Reserves may not be sufficient in regard to size of asset base and scale of risk particularly in regard to long term Cemetery maintenance, play park maintenance, DGPF charity and scout/guide hut.	Annual review by Finance, Strategy and Audit group needed with view to ensuring adequate reserves. Three year budgets to be produced. Forecasts of any major expenditure should be sought from groups who have historically been supported by the PC and may require support in the future.
106 income	LOW + MED	Loss of income from housing developments	Reliance on COYC to tell us.	List of outstanding 106 needed and to be collected. Progress made with 106 Income received from 2 recent developments
CIL income	MED + MED	Loss of income from housing developments	No income without adopted Local Plan, and only 15% not 25% without adopted Neighbourhood plan.	Press for adoption of Local Plan and adopt a Neighbourhood Plan. Local Plan still awaited.
Financial pressure at COYC	MED + MED	Loss of income for services from CYC	Government cutbacks resulting in financial support and services being reduced by CYC. Government policy to push more work onto volunteers in the parishes	Make sure case exists for maintaining services. Ward funding to be utilised where possible.
VAT	LOW + LOW	Failure to charge vat	PC not registered for vat	Consider cemetery income
VAT recovery	MED + LOW	Failure to recover vat	PC registered to recover vat on its own legal expenditure and assets but not activity of others in parish.	None -Rules for reclaim of vat well understood.
Cash	HIGH + MED	Loss through theft or dishonesty	The PC holds no petty cash or float. Any cash reimbursements are made by the clerk against receipts or invoices and reimbursed monthly by cheque on receipt of an invoice. Cash received by Parish Clerk for allotments and In Bloom.	System adequate.

Banking	MED + MED	Inadequate checks	The PC confirms Financial Regulations each January which set out the requirements for banking, cheques and reconciliation of accounts	Financial Regulations approved annually. Quarterly statements reviewed by Finance, Strategy and Audit Group.
Financial controls and records	MED + HIGH	Inadequate checks	Internal and external audit. Two of four signatories required on cheques. Any financial obligation must be resolved and clearly minuted before any commitment. All payments must be resolved and clearly minuted. Any s137 payments must be recorded in minutes at time of approval..	Quarterly reviews to be prepared by Clerk/RFO for Finance, Strategy and Audit group and presented to the Parish Council.
Payment of Clerk	HIGH + LOW	Salary paid incorrectly or not on time.	Salary paid calendar monthly by cheque. Data submitted electronically via real time information regulations Year End submission made electronically. Advice from YLCA available. Workplace Pension set up.	Clerk 7 hrs per week on PAYE including work for cemetery. PAYE regulations need to be kept under review.
Annual return	LOW +LOW	Not submitted within time limits	Annual return is completed at the next available PC meeting after the Internal Audit has been completed. The return needs to be sent to the External Auditor in strict adherence to their timetable. Advice from YLCA available.	To review timetable at each February PC meeting.
FOI Act	MED + LOW	Legal Requirement	All Dunnington PC documentation is in the public domain, If a substantial request arrives the PC is able to request a fee if the work will take over 15 hours. (Requests can be resubmitted, broken down into sections, thus negating the payment of fee). Advice from YLCA available.	Monitor and report any impacts on the PC resulting from the Freedom of Information Act. To consider the approval of a publication scheme. Request copy of CYC exemptions and commercial in confidence limitations if required.
Meeting location	LOW + LOW	Adequacy Health and Safety	Meetings are held in St Nicholas Church Rooms or Dunnington Reading Room. The premises and facilities are considered to be adequate for the Clerk, Councillors and Public who attend regarding convenience, accessibility, numbers, health and safety and comfort aspects.	Existing situation adequate. If needed bigger meeting held in Reading Room.

Individual tasks + Committee positions and terms of reference	LOW + LOW	Procedural confusion and poor decision taking	List of and copy of all terms of reference to be available through the Clerk.	List and finalised terms of reference still needed.
Business continuity	MED +MED	Council not being able to continue its business due to unexpected or tragic circumstances.	All files and recent records are kept at the clerk's home. The clerk makes a monthly back up of electronic files and passes copy to the Chairman at each Parish meeting.	Review when necessary. Letter of access required. Two rotating back up sticks or similar to be in use.
Council records	MED + MED	Loss through theft, fire, Damage etc	Current papers are kept at the clerk's home and archived after 3 years in the Reading Room store. Documents over 6 years old should be considered for disposal. Planning applications for last 10 years should be kept in hard copy or electronically in parish archives in case enforcement issues arise. Log and location of all deeds and current contracts and agreements needed. Regulations need to be followed regarding VAT documentation. Need to be kept for 6 years.	Check Documents over 3 years old should be archived and logged in a register. Consider purchasing a fireproof box for important documents. Originals to be kept in reading room store.
Council records - electronic	MED + MED	Loss through damage, fire, corruption of computer.	Back-ups of files are taken at monthly intervals on 2 rotating back up sticks or similar.	Consider back up storage arrangements.
Clerk	LOW +MED	Inadequate training or knowledge	Clerk should be provided with relevant reference books and at the Chairman's discretion, access to assistance and legal advice. Advice available from YLCA.	Offer of training assistance to Parish clerk made . Training for the current clerk or future clerk, to be included in financial statement when setting precept. Monitor working conditions . Relevant books/

				journals are purchased.
New Cllr induction	HIGH + MED	Inadequate knowledge to be effective.	New councillors should have induction discussion with Chairman and be given copies of standing orders , financial regulations, asset register, good councillor guide. Training courses available through YLCA.	Councillor Guidebook relevant to Dunnington PC needs to be written.
Returns on assets	MED + MED	Value for money might not be optimal	Asset register maintained. All assets reviewed and valued regularly. Assets reviewed with management groups to ensure fit for purpose.	Finance, Strategy and Audit Group to review. Land Registry details of all Parish Lands to be requested and kept in Reading Room Store and backed up on line.
Street furniture, Grit Boxes, Bus shelters	MED +MED	Loss or Damage	An asset register is kept up to date and insurance is held at the appropriate level for appropriate items only. Periodic checks are made on all equipment by Members of the Parish Council.	Existing procedures adequate
Allotments Pit Lane + The Green	MED + MED	Ceases to be self sustaining	Monitored regularly. Trees assessed.(See above)	Other non-tree related risks to be reviewed by environment group.
Greens	MED + MED	Potential safety issues with trees	All trees for which the Parish Council is responsible have been identified. In conjunction with COYC a survey has been carried out and a risk assessment undertaken Remedial work is being planned.	Procedures now adequate. Environment Group to Review.
Cemetery	MED + MED	Hygiene, loss of business, long term maintenance. Loss of double burial plots	Committee established to oversee venture. Development plans need to be place. Advice from YLCA available.	Cemetery Committee to carry out a full financial, operational and risk review. Development Plan to be in place. Long Term sustainability paper to be written.
Hassacarr Reserve and track access rights owned by DPC	HIGH + MED	Long term maintenance and risk assessment needed. Accident results from use of facility	Conservation Group and warden oversee venture. Life belt now installed.	Risk assessment needed and schedule of routine checks. Insurances need to be reviewed. Environment Group to Review.

DGPFA charity, by Own trust Set up on 28 June 1977	LOW + LOW	Ceases to be self sustaining Accident results from use of facilities	Parish Councillor as trustee of the land and buildings has its own legal liabilities in regard to operation of the estate. Parish Council nominates one trustee of this Charity by right. In event of financial or other failure land and property assets only revert to the PC who then with the Charity Commissioners has responsibility for them.	Written statement of asset and liability situation exists in part in 1977 Trust Deed together with 2012 letter of legal advice and clarifications Copy of 50:50 maintenance in Parish Archives. Location of Deeds established. Copies of current insurances needed.
Play Park	HIGH + MED	Theft of play equipment belonging to Parish Council. Accident from equipment use	Play park is managed under joint responsibility of DGPF and PC with agreement that management resides with DGPF. DGPF has maintenance contract in place with equipment supplier and has annual ROSPA check contract in place. Friends of Play Park Committee becomes inactive. Play Park monitored weekly. CCTV installed. Insurance in place. PC contributes to cost of insurance.	Copy of lease and agreement available. Plan for replacement of equipment required. Resolution to Friends of Activity Park committee lack of officers needs to be resolved.
Scout Hut + land. Legal position parallels DGPF	MED + MED	Ceases to be self sustaining	Two Parish Councillors on the committee. PC as trustee of the land and buildings has its own legal liabilities in regard to operation of this property.	Copy of 50:50 maintenance agreement needed for Parish Archives. Annual report required and copies of key documents including insurance certificates. Copies of current insurances needed. Separate risk review needed. 5 Year Plan required
Surface Water Disposal in village	HIGH + MED	Residents may have their properties flooded	PC has a general welfare responsibility for the village community. Drainage issues primarily a CYC, Yorkshire Water and Derwent Drainage Board responsibility but issue needs to be pushed to avoid repeat of summer 2011 problems	PC meetings with CYC to establish causes of problems, and agree action plan. Work low priority for COYC