

## RISK MANAGEMENT REPORT 2021/2022

Risk No.	Description (The risk is that.....)	Impact (The risk to the authority would be.....)	Likelihood score (1-3)	Impact score (1-3)	Risk rating (high, medium, low)	Response (what actions have been taken)
<b>ASSETS</b>						
1 Notice board	Doors come loose and fall off Fixings come loose and notice board falls off	i) Damage to the notice board ii) Injury to a person iii) Financial cost iv) Possible legal action	1	2	Low	Checked at least monthly
2 Information board	Fixings come loose and board falls off	i) Damage to the notice board ii) Injury to a person iii) Financial cost iv) Possible legal action	1	2	Low	Checked monthly
3 Cemetery porch	Any damage to the structure causes stone to fall on to the highway or on to visitors	i) Damage to passing or parked vehicles ii) Injury or death to passers by or visitors iii) Financial cost iv) Possible legal action v) Reputational damage	1	3	Medium	Checked quarterly
4 Toshiba laptop	No longer in use	N/A	N/A	N/A	N/A	N/A
5 A4 HP Envy Printer	Printer is damaged Printer is stolen	i) Financial cost ii) Loss of productivity whilst rectifying the situation	1	3	Medium	Insurance in place. Stored safely at Clerks address

6 Filing cabinet	Filing cabinet is damaged Filing cabinet is stolen	i) Financial cost ii) Loss of records iii) Possible data breach iv) Possible legal action v) Reporting to IOC vi) Reporting to monitoring officer vii) Reporting to HMRC viii) Reputational damage ix) Insurance claim x) Loss of productivity whilst rectifying the situation	1	3	Medium
7 Defibrillator and cabinet	Items are damaged Items are stolen	i) Financial cost ii) Loss of productivity iii) Damage to village hall wall iv) Insurance claim	2	3	Medium
8 Grit bin	Item is damaged Item is stolen	i) Loss of productivity ii) Financial cost iii) Insurance claim	1	1	Low
9 Projector	Item is damaged Item is stolen	i) Loss of productivity ii) Financial cost iii) Insurance claim	1	2	Medium
10 Projector screen	Item is damaged Item is stolen	i) Loss of productivity ii) Financial cost iii) Insurance claim	1	1	Low

11 BT phone box		i) Loss of productivity ii) Financial cost iii) Insurance claim	2	2	Medium
12 HP 2Q1H9EA#ABU Laptop in White	Item is damaged Item is damaged Item is stolen	i) Financial cost ii) Loss of records iii) Possible data breach iv) Possible legal action v) Reporting to IOC vi) Reporting to monitoring officer vii) Reporting to HMRC viii) Reputational damage ix) Insurance claim x) Loss of productivity whilst rectifying the situation	1	3	Medium
13 Memorial bench - Adscombe	Item is damaged	i) Loss of productivity ii) Financial cost iii) Insurance claim	1	2	Medium

**CONTRACTED SERVICES**

1 Maintenance of assets and upkeep of parish amenities	Repairs not undertaken in a timely manner when work required has been identified Contractors do not undertake works to the standard required The necessary insurances and risk assessments are not	i) Potential for the Parish Council to be sued ii) Insurance claim required iii) Reputational damage iv) Financial cost v) Possible legal action against the Parish Council	1	3	Medium	i) Repairs carried out promptly when identified ii) Maintenance work eg grass cutting, tree removal etc contracted out
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**FINANCE**

1 Banking	Payments in are not banked in a timely manner and are lost Banked payments are not recorded correctly	i) Financial cost ii) Investigation by the monitoring office at the District Council iii) Investigation by HMRC iv) Investigation by External Auditor v) Legal action may be taken against the Parish Council vi) Additional workload to research issues and concerns and rectify - negative effect on productivity vii) Reputational damage	1	3	Medium	i) All sums banked at High Street bank ii) Precept and grants from District Council paid by BACS direct to bank account iii) Monthly bank reconciliations provided by RFO iv) No petty cash float maintained v) Payments requested by cheque or BACS and any cash received is immediately banked
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2 Financial controls	Fraudulent activity could take place Errors are made in accounting procedures	i) Financial cost ii) Investigation by the monitoring office at the District Council iii) Investigation by HMRC iv) Investigation by External Auditor v) Legal action may be taken against the Parish Council vi) Additional workload to research issues and concerns and rectify - negative effect on productivity vii) Reputational damage	1	3	Medium	i) Budget continuously monitored and reported to Council quarterly with reconciliations ii) Original bank statements inspected by Members iii) Two Member signatories on cheques and counterfoils initialled iv) All payments minuted in full and details entered on invoices v) RFO provides advice on legality of payments vi) When in doubt seek advice of SALC
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3 Customs and Excise	VAT is not reclaimed Vat reclaimed is not allowable	i) Financial cost ii) Non-compliance with HMRC rules iii) HMRC investigation	1	3	Low	i) VAT payments and claims calculated on (at least) an annual basis by RFO ii) Internal Auditor provides check iii) Relevant training to be undertaken by the RFO if required
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4 Budgeting process	Inaccurate budgeting could lead to inaccurate precept request	i) Precept request not enough to cover expenditure ii) General reserve not adequate enough to cover unexpected costs iii) Excessive precept request results in excess reserves with no plans in place for projects to benefit the parish iv) The Parish Council may be reported to the monitoring office at the District Council v) Additional workload to research issues and concerns and rectify - negative effect on productivity vi) Financial cost implication vii) Reputational damage	1	3	Medium	i) Actual income and expenditure monitored against budget heads throughout the year ii) Council considers draft detailed budget in Nov/Dec iii) Precept derived directly from this, ensuring adequate levels of reserves are maintained in case of unexpected expenditure
5 Borrowing restriction: No borrowing is anticipated	N/A		1	1	Low	N/A

6 Liability	Actions undertaken as instructed by the Parish Council may prove a risk to third party, property or individuals	i) The Parish Council may be reported to the monitoring office at the District Council ii) Legal action may be taken against the Parish Council iii) Financial cost iv) Additional workload to research issues and concerns and rectify - negative effect on productivity v) Reputational damage	2	3	Medium	i) Suitable insurance in place ii) Reviewed annually
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**LEGAL LIABILITY**

1 Activities within legal powers	Project, initiatives and actions are undertaken that are not under the Powers and Duties of the Parish Council	i) The Parish Council may be reported to the monitoring office at the District Council ii) Legal action may be taken against the Parish Council iii) Financial cost iv) Additional workload to research issues and concerns and rectify - negative effect on productivity v) Reputational damage	1	3	Low	i) Ensure activities are within legal powers ii) Clerk to clarify legal position on any new proposal iii) Clerk to seek advice when necessary from SALC
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2 Meetings	Meetings are called and undertaken unlawfully	<ul style="list-style-type: none"> <li>i) The Parish Council may be reported to the monitoring office at the District Council</li> <li>ii) Legal action may be taken against the Parish Council</li> <li>iii) Financial cost</li> <li>iv) Additional workload to research issues and concerns and rectify - negative effect on productivity</li> <li>v) Reputational damage</li> </ul>	1	3	Low	<ul style="list-style-type: none"> <li>i) Clerk to ensure that summons and agenda are properly issued and notices are displayed within the legal timescales</li> <li>ii) Meetings to be conducted as per the following policies: Code of Conduct, Standing Orders and Financial Regulations</li> </ul>
3 Document control	<ul style="list-style-type: none"> <li>Records are lost</li> <li>Records are stolen</li> <li>Records are destroyed</li> </ul>	<ul style="list-style-type: none"> <li>i) Additional workload - negative effect on productivity</li> <li>ii) Financial cost</li> <li>iii) Confidential information exposure</li> <li>iv) Reputational damage</li> <li>v) Failure of the operation of the Parish Council</li> </ul>	1	3	Low	<ul style="list-style-type: none"> <li>i) Historical records stored at Somerset County Records Office</li> <li>ii) Other important records stored in metal fireproof locked filing cabinet</li> <li>iii) Information stored and backed up securely online</li> </ul>

4 Members propriety	A councillor has a conflict of interest and this is not declared Actions taken by an individual to benefit said individual and not the parish	i) Financial cost ii) Reputational cost	1	3	Medium	i) Register of interests updated comprehensively every four years ii) Members requested to register any changes to details listed in the register as soon as they occur
5 Data protection (GDP	Data released to others that permission has not been given for Data is incorrect or out of date Data is lost	i) Persons private information is used for illegal purposes ii) Persons private information is shared with unknown parties iii) Potential to be sued iv) Financial cost to the Parish Council v) Reputational damage	2	3	Medium	i) Data protection rules followed ii) Privacy statement in place

## CEMETERY

1 Records	Records are lost	<p>i) Research and re-stating of interments, reservations and memorial requests will need to be undertaken to ensure accurate records are available ii) Distress caused to relatives and friends iii) Financial implication to the Parish Council iv) Legal action possible</p>	1	3	Low	<p>i) Interment and reservation requests to be dealt with and logged as soon as possible ii) Back up records to be stored securely online</p>
2 Record keeping	Accurate records are not kept	<p>i) Plot may need to be exhumed - causing distress relatives/friends ii) Financial implication to the Parish Council iii) Potential for the Parish Council to be sued</p>	1	3	Low	<p>i) Interment and reservation requests to be dealt with and logged as soon as possible ii) Payments made to be banked (where applicable) as soon as possible</p>

3	Burial in correct plot	Burials not undertaken in the desired plot	<ul style="list-style-type: none"> <li>i) Plot may need to be exhumed - causing distress relatives/friends</li> <li>ii) Financial implication to the Parish Council</li> <li>iii) Potential for the Parish Council to be sued</li> <li>iv) Reputational damage</li> </ul>	1	3	Low	<ul style="list-style-type: none"> <li>i) Accurate records to be kept</li> <li>ii) Clerk/Cllr to check plots and spaces remaining on a regular basis</li> <li>iii) Position of grave to be checked when interment request received and accurate information communicated to funeral director</li> </ul>
4	Receipt of fees	Correct fees paid for reservations/interments and memorials	<ul style="list-style-type: none"> <li>i) Incorrect income being received</li> </ul>	1	2	Low	<ul style="list-style-type: none"> <li>i) Clerk to keep table of fees up to date</li> <li>ii) Clerk to ensure correct fees paid by funeral directors and monumental masons</li> <li>iii) Payments to be banked as soon as possible</li> </ul>

5 Unstable memorials	<p>i) Fallen memorials – potential trip hazard</p> <p>ii) Potential for unstable memorials to fall, causing damage or injury</p>	<p>i) Potential for the Parish Council to be sued</p> <p>ii) Insurance claim required</p> <p>iii) Reputational damage</p>	1	3	Low	<p>i) Clerk/Cllr to check annually and contact next of kin (if known) to carry out repairs</p>
6 Trees	<p>i) Falling branches may cause damage to memorials/wall/ or injury/death to visitors to the cemetery</p> <p>ii) Trees may fall if not maintained adequately causing damage to memorials/wall or injury/death to visitors to the cemetery</p>	<p>i) Potential for the Parish Council to be sued</p> <p>ii) Insurance claim required</p> <p>iii) Reputational damage</p>	2	3	Medium	<p>i) Initial inspection of the trees undertaken 2017</p> <p>ii) Full inspection every two years</p> <p>iii) Visual inspections 3/4 times per annum by contractor, Clerk and or Cllrs</p> <p>iv) Sycamore tree deemed potentially dangerous and was removed in October 2021</p>