

DITTISHAM PARISH COUNCIL – Risk Register December 2021 DRAFT

Risk scores calculated using the matrix provided as an Appendix

RISK Ref No	CATEGORY/ DESCRIPTION	SCORE <i>Probability + Consequence</i>	ACTION TO MITIGATE / <i>Person responsible</i>	TIME	REVIEWED <i>When / How</i>
1. SERVICES UNDER PARISH COUNCIL'S CONTROL					
1.1	Maintenance of The Ham	3 Low Med	<ul style="list-style-type: none"> • PC notified of problems by public including via Public Issues. • Active Maintenance Working Group of councillors. Meets on site at least monthly and does a visual inspection. Forward maintenance plan created. Clerk & MWG manage prioritised list of maintenance action items. List is available to the full PC on the shared drive. • 'Children' warning signs installed on Ham Lane. • Maintenance contractor's schedule of regular works includes these areas. Contractor advises DPC if they observe any issues. • MC team leader has reviewed the site. Their recommendation to trim near the streams near the Playground to ensure visibility has been implemented. • DPC has given South Hams District Council legal permission to install and maintain the toilet block. SHDC is responsible for its management. • Maintenance Projects – DPC has had an issue with completion when required and in a timely manner. This is being managed by planning ahead. There are different types of jobs, so having one contractor, such as a handyman is not a solution. 	Ongoing	Annually – by PC at Annual Meeting of the PC
2.2	Protection of The Ham from unauthorised occupation	3 Low Medium	<ul style="list-style-type: none"> • PC aware of legal process to remove. • Installation of wooden posts to block prevent vehicular access to the grassed area. • The gate to The Ham is locked – with keys held by DPC only. 	Ongoing	Annually – by PC at AMPC
1.2	Maintenance of The Ham Playground	6 Low High	<ul style="list-style-type: none"> • Playground maintenance weekly inspection log kept by Cllr Bond. • Annual inspections undertaken by ROSPA qualified inspector. • PC notified of problems by Councillor Bond, ROSPA playground inspections, public, or by Working Group. Clerk follow through with agreed remediation. • COVID risk assessment in place and recorded separately. 	Ongoing	Annually – by PC at AMPC
	Maintenance of the Old Chapel Burial Ground	3 Low Med	<ul style="list-style-type: none"> • Maintenance contractor's (MC) schedule of regular works includes this area. • Retaining wall – Maintenance as advised by professional survey and report. • All risks insurance cover – best estimate replacement value has been obtained from structural engineer.. • PC notified of problems by public, Cllrs, Clerk • The ground is uneven because of the nature of the BG. The MC strims a path. A warning sign has been installed. No other actions available to reduce risk. • Old Chapel owner is responsible for maintenance of rear retaining wall – see Land Registry deed. • Some memorial stones lean on outer boundary fence and wall. This is an overt hazard which there is no route to reduce other than removal of the stones. • Memorial stones all of the type with large proportion of the headstone buried. The stones have been assessed as solid. <p><u>Action</u></p> <ul style="list-style-type: none"> • Carry out a hand test in 2022. 	Ongoing	Annually – by PC at AMPC
1.3	Maintenance of trees	6 Low High	<ul style="list-style-type: none"> • PC notified of problems by public including via Public Issues or by Trees Wardens. • Tree Warden Cllr Bond monitors and keeps quarterly and post storm monitoring log. • Professional surveys of required frequency • Tree maintenance conducted in accordance with professional surveys. 	Ongoing	Annually – by PC at AMPC
	Maintenance of Footpaths	3 Low/Medium	<ul style="list-style-type: none"> • DPC has the power to support maintenance. It does not have a duty. • Footpaths Wardens recommend action and/or follow through with DCC. 	Ongoing	Annually – by PC at AMPC

RISK Ref No	CATEGORY/ DESCRIPTION	SCORE <i>Probability + Consequence</i>	ACTION TO MITIGATE / Person responsible	TIME	REVIEWED <i>When / How</i>
			<ul style="list-style-type: none"> Footpaths status and maintenance suggestions documented in Annual P3 return / Footpaths Warden. 	February	
1.4	Maintenance of bus shelter	3 Low Medium	<ul style="list-style-type: none"> PC notified of problems by public including via Public Issues. Clerk follow through as directed. The Maintenance Working Group monitors maintenance requirements. 	Ongoing April	Annually – by PC at AMPC
1.5	Dittisham Village Hall	n/a	<ul style="list-style-type: none"> DPC has solely the role of a Custodian Trustee Legal responsibility of Village Hall Management Committee, one Member of which is a Parish Councillor. Annual Report on physical structure and annual accounts provided to the AMPC with reference to grant funding 	Ongoing Autumn	Annually – by PC at AMPC
1.6	The Ham Car Park	3 Low Medium	<ul style="list-style-type: none"> PC notified of problems by public including via Public Issues. PC notified of problems by Car Park Attendant. Car Park Working Group monitors management of the car park. Machines covered by a maintenance contract with Metric which includes regular maintenance by Metric. DPC employs a Car Park Attendant contractor. DPC has agreements with South Hams District Council for it to carry out enforcement and to provide access to its RingGo payment system. The surface is monitored and maintained. Signs mark the car park area and to summarise T&Cs. Installed substantial post to protect machine from vehicles. Car park charges reviewed by PC, and raised as necessary. 	Ongoing Ongoing Ongoing November Current contract ends 7/21	Annually – by PC at AMPC
	The Level Car Park		<ul style="list-style-type: none"> PC notified of problems by public including via Public Issues. PC notified of problems by Car Park Attendant. Car Park Working Group monitors management of the car park. Machines covered by a maintenance contract with Metric which includes regular maintenance by Metric. DPC employs a Car Park Attendant contractor. DPC has agreements with South Hams District Council for it to carry out enforcement and to provide access to its RingGo payment system. The surface is monitored and maintained. Signs mark the car park area and to summarise T&Cs. Machine protected from vehicles by stone wall and posts. Car park charges reviewed by PC, and raised as necessary. 		
2 INSURANCE					
2.1	Insurance cover	6 Low High	<ul style="list-style-type: none"> Clerk audits extent to which insurance package is adequate, taking advice as necessary, and make recommendations to PC in advance of annual cover renewal (due 3 July xx) Review suitability annually before insurance renewal Hold specialist PC cover see Schedule. 	Spring Ongoing Spring	Annually – by PC at AMPC Annually – by PC at AMPC
3. EQUIPMENT MANAGEMENT					
3.1	Loss or damage to benches, noticeboards, and other publicly accessible assets	1 Low Low	<ul style="list-style-type: none"> See asset register for details. PC notified of problems by public via Public Issues, Clerk or Maintenance Working Group. Clerk maintain accurate Asset Register and review annually for insurance cover. Equipment replacement considered when setting annual budget. 	Ongoing Autumn	Annually – by PC at AMPC
4. FAILURE TO MANAGE PUBLIC MONIES					
4.1	Failure to create and maintain effective financial management and internal control	6 Low High	<ul style="list-style-type: none"> Clerk presents detailed balance sheets at every PC meeting, with formal accounts reviewed annually by internal and external audit. Clerk's electronic records (which include all contracts/balance sheets/budget records) backed up regularly. Annual review of Internal Control system Financial Regulations in place and complied with PC Accounting Software is being utilised to improve management and access to records by councillors 	Ongoing	Annual Audit AMPC
4.2	Financial impropriety by Clerk	6 Low	<ul style="list-style-type: none"> Clerk not a cheque signatory. All payments authorised by two signatories. 	Ongoing	Annual Audit

RISK Ref No	CATEGORY/ DESCRIPTION	SCORE Probability + Consequence	ACTION TO MITIGATE / Person responsible	TIME	REVIEWED When / How
		High	<ul style="list-style-type: none"> Clerk's formal accounts reviewed regularly by PC and annually by internal and external audit. Clerk's personal invoices and expense claims reviewed by PC and annually by internal auditor. 		
4.3	Financial impropriety by Councillors	3 Low Med	<ul style="list-style-type: none"> All Councillors submit statutory Register of Interest forms and subscribe to Code of Conduct. Two signatories required for all payments. Councillors don't authorise payments to themselves. Councillors' expense claims reviewed by Clerk, PC and annually by internal auditor. 	Ongoing	Annual Audit
4.4	Financial impropriety by Car Park Attendant	3 Low Medium	<ul style="list-style-type: none"> Car park income reviewed regularly by PC. Car park income reviewed regularly against machine receipts by Clerk, and annually by internal auditor. Machines receipts include a cumulative total of cash taken which is reconciled with banking. Car park attendant and machine receipts covered by DPC's insurance, except where cash is held on their premises. The contractor has been advised they are liable at this point. 	Ongoing	Annual AMPC Annual Audit
4.5	Failure to achieve a balanced budget	6 Low High	<ul style="list-style-type: none"> Regular financial reports from Clerk. Regular reports of expenditure against approved budget. End of year projections provided annually by Clerk to allow for modifications in spending. Draft budget submitted annually by Clerk for advance approval. Precept reviewed annually by PC, and raised as necessary. 	Ongoing Ongoing January January Autumn	Annual Audit
4.6	Loss or Reduction in Car Park Income	6 Low/High	<ul style="list-style-type: none"> Business interruption insurance is actively reviewed annually. Unearmarked reserves sufficient to maintain cash flow Reviewed in budget setting process and monitored by Finance Working Group 	Spring Ongoing Ongoing & December / January	Annual AMPC
5. FAILURE TO SUCCESSION PLAN					
5.1	Lack of contingency planning in event of loss of Chairman through illness or sudden death	6 Low High	<ul style="list-style-type: none"> Vice Chair elected annually. 	May Ongoing	Annually – by PC at AMPC
5.2	Lack of contingency planning in event of loss of Clerk through illness or sudden death	6 Low High	<ul style="list-style-type: none"> Former, other local Parish Clerks or DALC Locum service would be invited to offer emergency assistance. DALC available for advice. Clerk works to ensure that the record system and procedures are well documented.. <p><u>Actions to reduce risk</u></p> <ol style="list-style-type: none"> Clerk to create list of software and secure list of access codes Access to DPC PC identified as a risk – access required if Clerk cannot function, but security also required. Clerk to investigate how other PCs manage these risks. Add lists of insurance, subscriptions, contracts and agreements, and procedures to the cloud shared folder. Clerk to document routine work in more detail (an extension of the 'Clerk's year' document) 	Ongoing Review monthly during project Add to AMPC report.	Annually – by PC at AMPC
6. DATA PROTECTION					
6.1	Failure to meet legal requirements of Data Protection and Freedom of Information Legislation	1, 3 Medium	<ul style="list-style-type: none"> Procedures and documents required by law have been created Audit of Clerk's records when new GDPR introduced. All email correspondence uses DPC emails. <p><u>Actions to reduce risk</u></p> <ul style="list-style-type: none"> Relevant councillor training to be arranged – late winter / spring 2022 Audit of Clerk and Cllr Records Creation of a short guide of key principles 	Review monthly during project Add to AMPC report.	
7. RESOURCES					
7.1	Clerk not capable and resourced to carry out the role	1, 6 High	<ul style="list-style-type: none"> The Clerk and the Council have identified management of the Clerk's working hours as a project which is being monitored. Hours need to be adequate to carry out all core tasks. 		

RISK Ref No	CATEGORY/ DESCRIPTION	SCORE <i>Probability + Consequence</i>	ACTION TO MITIGATE / Person responsible	TIME	REVIEWED <i>When / How</i>
	of proper officer and RFO		<u>Actions</u> <ul style="list-style-type: none"> The Clerk raised the issue that insufficient hours has delayed completion of tasks e.g. data review and disposal. DPC is actively managing this situation. WGs are able to assist and have taken on some tasks. The Clerk is undertaking CiLCA which will be completed before December 2022 Hours are under active review with the Chair and Vice-chair 		

#

APPENDIX

RISK SCORE MATRIX

Probability of Occurrence	HIGH	4	7	9
	MEDIUM	2	5	8
	LOW	1	3	6
		LOW	MEDIUM	HIGH
	Consequence of Occurrence			

Next review: For consideration by the Annual Meeting of the Parish Council May 2022.