

# Paulton Parish Council Risk Assessment

Assessment Date: 04.01.2021		Review Date: January 2021		
Subject	Risks identified	Management Control of Risk	Risk Level	Review/Assess/Revise
Code of Conduct	Failure to maintain/Update Register of Interests/Gifts	Councillors training in place to ensure all members are aware of their statutory responsibilities.	Low	New Councillors were trained in 2019 after the elections.  Co-opted Members are sent on training courses.  All members have received information/pack.
Computing	Crash of IT System	Hourly backup of data onto appropriate medium in place. Spam filters in place Individual computers are virus protected e.g. Anti-virus dealt with by IT company. Have IT company that deal with all IT problems and issues	Medium  Medium	Anti-virus and internet protection are on individual computers.  .
	Loss/damage arising from unauthorized use	Restrict access through use of controlled passwords. All computers have passwords.	Medium	Office staff are aware of each other's passwords to enable them to check each others emails in times of absence, if necessary.
	Loss arising from theft/misappropriation	Office is alarmed	Medium	Adequate alarm system in place
Council Meetings	Failure to meet statutory duty	All members are notified of meetings by way of a summons and/or agenda All notices are posted in the prescribed places e.g. notice boards, website Minutes of all meetings are taken and kept Records are kept archived Old minutes have been archived at Guildhall in Taunton for long term safe keeping	Low	Existing location/procedure adequate
	Access	Access is available to all Provisions for Disablement & Disability Specific area for Press & Public	Low	Existing location/procedure adequate
	Personal Injury	H&S in the office is adhered to.	Low	Existing location/procedure adequate
Council Property & Documents	Failure to effectively process documents	The Council has a model publication scheme in place. Any documentation can be made available to the public as per the scheme	Medium	Model Publication Scheme to be updated in January 2021 with links added to website

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	<p>Legal Liability as a result of Asset Ownership</p> <p>Loss/Damage</p> <p>Loss of assets</p> <p>Loss of important documents e.g. legal document, insurance document etc</p> <p>Key Holders</p>	<p>Adequate Public Liability Insurance is in place Register of Assets is maintained and updated frequently.</p> <p>Adequate insurance against damage and theft is in place Proper security/storage is in place. Cabinets locked daily. Office is alarmed.</p> <p>Asset Register is maintained regularly appropriate insurance cover is in place for all assets. Insurance broker checks asset register against insurance policy every year before renewing.</p> <p>Ensure that important documents are protected against theft and fire.</p> <p>All cabinets and cupboards are kept locked when not in use.</p> <p>Minimum number of keys are issued to staff and Chair of the Council only.</p>	<p>Low</p> <p>Low</p> <p>Low</p> <p>Medium</p> <p>Medium</p>	<p>documents.</p> <p>Annual meeting takes places with Came &amp; Co (Councils insurance brokers). Last meeting 31.07.19, due to Covid did not visit in 2020.</p> <p>Existing procedure adequate.</p> <p>Insurance company reviews annually (visited office July 2019)</p> <p>Existing procedure adequate</p> <p>Fire secure cabinet purchased in summer 2016 following archiving project.</p> <p>Cabinets are secure for important documents.</p> <p>Keys are signed for. Existing procedure adequate. Clerk controls the issue of keys.</p>
Employment of Staff	<p>Attacks on Personnel/accidents/sudden illness</p> <p>Inability to recruit</p> <p>Failure to comply with Employment Law</p>	<p>Lone Working policy and procedures in place where necessary. Appropriate insurance cover is in place.</p> <p>Jobs advertised are favourable with competitive rates of pay.</p> <p>Staff Contracts of Employment – all in place. The Clerk keeps aware of new legislation The necessary training to fulfill requirements is undertaken as and when Penninsula employment/HR specialist is in place.</p>	<p>Medium</p> <p>Med</p> <p>Low</p>	<p>Existing procedure adequate. At least 2 employees in office most of the time.</p> <p>Existing procedure adequate</p> <p>Up to date staff contracts in place.</p>

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	Inability to retain staff	Regular Staff Appraisals take place The Council offer staff support and flexibility Procedures for key functions are documented There is a certain amount of overlapping of jobs/RFO where others can step in if necessary.	Low	Existing procedure adequate. Appraisals done annually. Those undertaking appraisals are trained.
	Loss of key staff	SLCC to be contacted for a locum Clerk and/or ALCA to be contacted for help in obtaining temporary Clerk	Medium	
	Lack of Training	Training records show up gaps, renewal training etc On going training requirements are viewed Regular Staff Appraisals highlight any training needs. Advantage of localised training through SLCC and B&NES Clerk networks with other Clerks via SLCC meetings etc.	Medium	Training records are kept.
	Lack of Employee motivation/efficiency	Each employee has a job description which is reviewed annually. Regular staff appraisals. Appropriate staff records. Training is available.	Medium	Existing procedure adequate
Financial Management	Failure to comply with Customs & Excise Regulations	VAT is properly administered Reminders are sent via HMRC VAT claims are completed and submitted promptly	Medium	
	Failure to comply with Inland Revenue Regulations	Comprehensive records of all calculations of income tax, national insurance is kept Regular returns to Inland Revenue are prepared and submitted by the RFO	Medium	
	Loss of money through theft/misappropriation	Secure arrangements are in place for all monies held at the bank Prompt and proper arrangements are in place for recording and banking of all cash received. 2 signatories (not the RFO) sign a BACS approval sheet before any payments are made via online banking Bank reconciliations are done monthly and reported to full council each month. The council has adequate insurance in place.	Medium	Existing procedure adequate.
	Failure to keep proper financial records	Clerk has responsibility through appointment of Responsible Financial Officer	Low	Standing Orders last reviewed in May 2019 and all members

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Financial Management cont.	Failure to maintain an effective payments system	Appropriate standing orders and financial regulations in place and are subject to annual review Effective independent internal audit is in place Monthly financial reports to go to the full council  RFO authorises payments All payments are supported by an invoice All details are checked and payments onto Alpha All payments are approved by council and recorded in minutes. All payments are to be signed by the authorised signatories	Low	received revised and updated copies of Standing Orders. A further amendment was made in October 2019. Financial Regulations were renewed in 2019, when new Council were in place.  Existing procedure adequate
	Failure to set a precept within sound budgeting arrangements	All expenditure is the subject of sound budgetary control The budget is the responsibility of the RFO who will produce the budget following an agreed timetable set out in Standing Orders. The precept is set as a result of a draft budget detailing requirements for forthcoming year for all income and expenditure Reserves are reviewed Effective budget monitoring is in place which is done and presented to the full council monthly	Low	Existing procedure adequate
	Failure to maintain record of council assets	All acquisitions/disposals are accurately and promptly recorded Periodic inventory checks are done	Low	Asset register updated quarterly by RFO
	Poor Financial Management	RFO is responsible for the management of the financial affairs of the council (RFO) Standing Orders/Financial regulations are reviewed annually Effective budgeting system in place	Low	Councillors receive monthly budget report.
Gifts	Failure to notify/record gifts	All staff/members are aware of responsibilities	Medium	A gift register has not been required to date
Investments	Financial Loss i.e. theft	RFO is responsibility for investments Investment/transfer/withdrawal of funds are subject to control approval Monthly reports via investments go to Council (via bank rec).	Low	Existing procedure adequate
	Failure to review interest rates etc.	RFO reviews to ensure maximum return is achieved.	Medium	Existing procedure adequate

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	Maintenance of Investment Register	Information is regularly received from the bank Effective internal audit is in place	Low	RFO keeps a record of bank accounts and checks for best interest rates.
	Inappropriate investment	Record details/approval of all investments in council minutes.	Low	Existing procedure adequate
Meeting of the Council	Failure to meet statutory duty on meetings	All notices are posted in the prescribed places 3 clear days prior to any meeting and on the website. All Councillors are notified of Meetings by way of a summons and agenda. Minutes of all meetings are taken and kept	Medium	Existing procedure adequate
	Failure to respond to the elector's wish to exercise its rights	All members and staff are aware of Electors' Rights All procedures are followed for dealing with enquiries	Medium	Existing procedure adequate
	Business in Minutes	Proper, timely and accurate recording of council business is recorded in the minutes All minutes are signed and paginated Master copies are kept safe and past minutes are archived at Taunton.	Low	Existing procedure adequate
Provision of Office Accommodation	Poor/Faulty Office Furniture	Periodical inspection of office furniture and fittings are undertaken and where appropriate report submitted to council for approval to repair/replace	Medium	
	Defective Electrical Equipment/Machinery	Maintenance agreement/contract in place where appropriate. Covered under H&S	Low	PAT test carried out 23.12.2020
	Failure to comply with new Regulations/Legislation	Clerk is qualified/trained Training policy is in place Clerk is a member of SLCC Council subscribes to appropriate publications New Councillors are trained	Low	Clerk to complete CILCA in 2021.
	Disability & Discrimination Act	Provisions of the act are met	Low	
Data Protection and GDPR	Breach of Confidentiality	Registration in place – Data Protection Act and renewed annually. All GDPR procedures and policies are in place.	Low	The Council appointed a DPO from May 2018.

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		Confidential items are kept in the Clerks cabinet which is locked in her absence. Confidential business is dealt with under exclusion of press and public on agenda.		
Covid 19 Pandemic	Financial Risk	<p>Effect of the pandemic by the loss of income and activities</p> <p>*Covid risk assessment in place for outside workers.</p> <p>*Office hygiene Covid checklist with actions in place for the office.</p> <p>*All Government guidelines followed in a timely manner</p>	<p>Low</p> <p>Medium</p> <p>Medium</p> <p>Medium</p>	There will be no impact on financial income

Approved at the Parish Council meeting held on