

Paulton Parish Council Risk Assessment

Assessment Date: 15.12.2021		Review Date: January 2022			
Subject	Risks identified	Management Control of Risk	Risk Level	Review/Assess/Revise	
Code of Conduct	Failure to maintain/Update Register of Interests/Gifts	Councillor's training in place to ensure all members are aware of their statutory responsibilities.	Low	New Councillors were trained in 2019 after the elections. New Members are enrolled onto the ALCA training for New Councillor following co-option. 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	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e.g. notice boards, website Minutes of all meetings are taken and kept Records are kept archived Old minutes have been archived at Guildhall in Taunton for long term safe keeping	Low	Existing location/procedure adequate	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	Medium	Model Publication Scheme was reviewed and updated updated	

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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>to the public as per the scheme. Agendas and reports published on the Council's website</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. Computerised records are backed up daily with confirmation report received.</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>in January 2021 with links added to website documents. A further update was completed in October 2021 due to the addition of reports for meetings becoming available online.</p> <p>Annual meeting takes places with Came & Co (Councils insurance brokers). Last meeting 31.07.19, visits in 2020 & 2021 cancelled due to covid. Contact to be made to arrange a visit in 2022.</p> <p>Existing procedure adequate.</p> <p>Insurance company reviews annually, see comment above.</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>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>Medium</p> <p>Med</p>	<p>Existing procedure adequate. At least 2 employees in office most of the time. Risk assessment in place for outside workers. Existing procedure adequate</p>

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	Failure to comply with Employment Law	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.	Low	Up to date staff contracts in place.
	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	A Deputy Clerk was recruited in October 2021. Both the Clerk and the Deputy could cover for each other in the event of absence.
	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	Annual Training records are kept for both staff and members.
	Lack of Employeee 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 Revenue & Customs	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 Deputy Clerk/Finance Officer	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.	Medium	Existing procedure adequate.

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Financial Management cont.	Failure to keep proper financial records	<p>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.</p> <p>Clerk has responsibility through appointment of now Deputy Clerk/Finance Officer 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</p>	Low	<p>Standing Orders last reviewed in May 2021. Financial Regulations were reviewed in May 2021.</p> <p>Existing procedure adequate</p>
	Failure to maintain an effective payments system	<p>Deputy Clerk/Finance Officer 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</p>	Low	Existing procedure adequate
	Failure to set a precept within sound budgeting arrangements	<p>All expenditure is the subject of sound budgetary control The budget is the responsibility of the Deputy Clerk/Finance Officer RFO who will produce the budget following an agreed timetable set out in Standing Orders. The precept is set as a result of a 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</p>	Low	
	Failure to maintain record of council assets	<p>All acquisitions/disposals are accurately and promptly recorded Periodic inventory checks are done</p>	Low	Asset register updated quarterly by Deputy Clerk/Finance Officer
	Poor Financial Management	<p>Deputy Clerk/Finance Officer has day to day responsibility for the management of the financial affairs of the council (RFO), overseen by the Clerk. Standing Orders/Financial regulations are reviewed annually</p>	Low	Councillors receive monthly budget report.

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		Effective budgeting system in place		
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	Clerk and Deputy Clerk/Finance Officer are responsible 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.	Deputy Clerk/Finance Officer review to ensure maximum return is achieved and provide quarterly updates to the Clerk.	Medium	Existing procedure adequate
	Maintenance of Investment Register	Information is regularly received from the bank Effective internal audit is in place	Low	Deputy Clerk/Finance Officer keep 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 All members and staff are aware of Electors' Rights All procedures are followed for dealing with enquiries	Medium	Existing procedure adequate
	Failure to respond to the elector's wish to exercise its rights	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.	Medium	Existing procedure adequate
	Business in Minutes	Clerk has a system of decisions taken and actions taken and followed up to completion.	Low	Existing procedure adequate

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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	PAT testing carried in December 2020. Clerk completed CILCA in May 2022.
	Defective Electrical Equipment/Machinery	Maintenance agreement/contract in place where appropriate. Covered under H&S	Low	
	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	
	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. 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.	Low	The Council appointed a DPO from May 2018.
Covid 19 Pandemic	Financial Risk	Effect of the pandemic by the loss of income and activities	Low	There will be no impact on financial income
		*Covid risk assessment in place for outside workers.	Medium	
		*Office hygiene Covid checklist with actions in place for the office.	Medium	
		*All Government guidelines followed in a timely manner	Medium	
		*Working from home measures in place if required		

Approved at the Parish Council meeting held on 26th January 2022. Next review due January 2023.