Paulton Parish Council Risk Assessment

Assessment Date: 19.05.2026		Review Date: May 2027		
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	Course to be booked for the new Chairman and new Councillors following the 2027 election. 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	The computer systems are now looked after by Soltech Ltd with data being kept in a 'cloud' thereby making is more secure and less likely to lose data.	Medium	Anti-virus and internet protection are on individual computers. .
		Having recently moved to Microsoft 365, any potentially risky emails go into quarantine for you to decide if you want to view the email. Individual computers are virus protected e.g. Anti-virus dealt with by IT company.	Medium	Office staff are able to check each others emails in times of absence, if necessary.
	Loss/damage arising from unauthorized use	Have IT company that deal with all IT problems and issues	Medium	Any issue we have are raised with the IT company to resolve.
	Loss arising from theft/misappropriation	Restrict access through use of controlled passwords. All computers have passwords. 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e.g. notice boards, website Minutes of all meetings are taken and kept Records are kept archived Old minutes have been archived at Guildhall in Taunton for long term safe keeping	Low	Existing location/procedure adequate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	Low	Existing location/procedure adequate

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		Specific area for Press & Public		
	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. Agendas and reports published on the Council's website	Medium	Model Publication Scheme was reviewed and updated updated in January 2021 with links added to website documents. Agenda and meeting minutes are posted on the website in a timely manner. Councillor Declaration of Interests were added to the website within the require time. We are currently carrying out a review of items on the website
	Legal Liability as a result of Asset Ownership	Adequate Public Liability Insurance is in place Register of Assets is maintained and updated frequently.	Low	Renewal Questionnaires are issued by our broker Gallagher the council's insurers annual to ensure we are adequately covered.
	Loss/Damage	Adequate insurance against damage and theft is in place Proper security/storage is in place. Cabinets locked daily. Office is alarmed.	Low	Existing procedure adequate.
		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.	Low	Insurance company reviews annually, see comment above.
	Loss of assets	Ensure that important documents are protected against theft and fire.	Medium	Existing procedure adequate
	Loss of important documents e.g. legal document, insurance document etc	All cabinets and cupboards are kept locked when not in use. Computerised records are backed up daily with confirmation report received.	Medium	Fire secure cabinet used to store important documents. Cabinets are secure for important documents.
	Key Holders	Minimum number of keys are issued to staff and Chair of the Council only.		Keys are signed for. Existing procedure adequate. Clerk controls the issue of keys.

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Employment of Staff	Attacks on Personnel/accidents/sudden illness	Lone Working policy and procedures in place where necessary. Appropriate insurance cover is in place.	Medium	Existing procedure adequate. At least 2 employees in office most of the time. Risk assessment in place for outside workers.
	Inability to recruit	Jobs advertised are favourable with competitive rates of pay.	Med	Existing procedure adequate
	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. New Clerk and Chairman to received training in carrying out appraisals.
	Loss of key staff	SLCC and/or ALCA will be contacted for help in recruitment of staff when the need arises.	Medium	Clerk was recruited in March 2023..
	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 will network with other Clerks via SLCC meetings etc.	Medium	Annual Training records are kept for both staff and members.
	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 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 Clerk	Medium	
	Loss of money through	Secure arrangements are in place for all monies	Medium	Existing procedure adequate.

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	theft/misappropriation	held at the bank Prompt and proper arrangements are in place for recording and banking of all cash received. 2 signatories sign online payments through the bank account. Clerk provided paperwork to support payments. Bank reconciliations are completed monthly and reported to full council each month. The council has adequate insurance in place.		
	Failure to keep proper financial records	Clerk is also the Responsible 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.	Low	Standing Orders last reviewed in May 2025. Financial Regulations were reviewed in May 2025.
Financial Management cont.	Failure to maintain an effective payments system	Clerk authorises payments All payments are supported by an invoice All details are checked and payments onto Alpha All payments are to be signed by the authorised signatories	Low	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 Clerk 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	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 Clerk
	Poor Financial Management	Clerk has day to day responsibility for the management of the financial affairs of the council 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 Register of Gifts was set up in 2023 and has one entry

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Investments	Financial Loss i.e. theft	Clerk is 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.	Clerk will 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	Clerk keeps a record of bank accounts and checks 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
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 February 2025.
	Defective Electrical Equipment/Machinery	Maintenance agreement/contract in place where appropriate. Covered under H&S	Low	
	Failure to comply with new	Clerk is not CiLCA trained.	Medium	Clerk is commencing CiLCA

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	Regulations/Legislation Disability & Discrimination Act	Training policy is in place Clerk is a member of SLCC Council subscribes to appropriate publications New Councillors are trained Provisions of the act are met	 Low	May 2026.
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	
Covid Pandemic	Financial Risk	Effect of the pandemic by the loss of income and activities *Covid risk assessment in place for outside workers. *Office hygiene Covid checklist with actions in place for the office. *All Government guidelines followed in a timely manner *Working from home measures in place if required	Low Low Low Low	There will be no impact on financial income

For approval at the Parish Council meeting on 19th May 2026. Next review due May 2027.