

CORFE CASTLE PARISH COUNCIL

Corfe Castle Parish Council Risk Assessment and Management Policy

Adopted by Corfe Castle Parish Council on 12th February 2018

Level of Risk: L= Low, M= Medium, H= High **Severity (of consequence should identified risk occur):** L= Low, M= Medium, H= High

Subject	Risk(s) Identified	Level of Risk L/M/H	Severity	Management/ Control of Risk	Assess/ Revise
Financial and administrative risks					
Precept	Precept submitted late to District Council. Precept not adequate for the Council to carry out functions.	L	L	The precept is decided in conjunction with budgeting each year during the period from November the January. The budget is scrutinised by the advisory Finance Committee and secondly by all Councillors prior to adopting the precept and setting the budget. The clerk takes care to anticipate costs for the forthcoming year.	Adequate as is.
Financial Records	The Council holds inaccurate or inadequate financial records	L	M	Clerk keeps full records in accordance with retentions of records advice and the Councils Financial Regulations. Internal audit is scheduled twice a year to ensure recommended practices are being followed.	Adequate as is.
Cheque Payments	Cheques paid by Clerk without consent of Council	L	H	Two signatures are required on a cheque as is counter signing on cheque stubs. All payments are listed and authorised each month and accompanying invoices/notes are brought to each meeting for scrutiny should Councillors / public wish. Cheques are numbered on Cash Book and all spoilt cheques accounted for.	Adequate as is.
Goods received	Invoices not checked properly and payments made inaccurately	L	L	The Clerk cheques invoices against goods received and ensures items have been received prior to settling invoices. Easy to monitor as goods generally come to Clerks home address. If this is not the case clerk will liaise with Councillors.	Adequate as is.
Grants Payable	Grants incorrectly awarded, S137 payments overpaid	M	M	The Council needs to implement a grant awarding policy. The clerk is trained in S137 payments and aware of the limitations, other powers are attributed to grants as a first resort where possible.	Policy drafting required. Review annually
External Audit	Late submission incurring fees, incorrect submission incurs fees	L	L	The Clerk diarises submission of audit. The clerk has requested email correspondence from auditor to prompt this and is attending training on how to correctly complete audit with newly appointed auditor. A full file of audits is retained to reference previous years for advisory notes.	Adequate as is.

CORFE CASTLE PARISH COUNCIL

Corfe Castle Parish Council Risk Assessment and Management Policy

Adopted by Corfe Castle Parish Council on 12th February 2018

Level of Risk: L= Low, M= Medium, H= High **Severity (of consequence should identified risk occur):** L= Low, M= Medium, H= High

Internal Audit	Unqualified auditor, clerk neglects to complete	L	L	A longstanding qualified auditor completes the audit twice a year. This is diarised by the Clerk.	Adequate as is.
Annual Return	Inaccuracies occur or late to complete.	L	L	The Clerk diarises submission of the annual return. Accounts are balanced with bank statements each month to avoid and address any inaccuracies prior to the annual balancing.	Adequate as is.
Salaries	PAYE paid incorrectly	L	L	Salary authorised by Council, paid by cheque and payment made to Clerk noted each month in Clerk's report. The clerk uses HMRC PAYE software to process payments and NI and TAX is deducted accordingly directly through the software.	Adequate as is.
Pension	Non compliance with pension regulations	L	L	The Clerk is enrolled in Pension scheme 'NEST' which automatically advises of updates. The council is also contacted periodically by the pension's regulator.	Adequate as is.
Employing Contractors	Not seeking best value for money	L	L	The Councils Financial Regulations advise on protocol for seeking quotes and tenders to obtain best value for money. Any decisions must be voted from by whole Council and are powers to do so are not delegated.	Adequate as is.
Minutes/ Agendas	Wrongly recorded minutes / unpublished minutes/ Agendas not published in accordance with best practice	L	L	Draft minutes are circulated well in advance of a meeting, they are agreed by all Councillors, signed and a signed copy is retained in the minute's book. Minutes are published online for transparency. Agenda planning is diarised and completed each month in good time by the Chairman, Vice- Chairman and the Clerk.	Adequate as is.
Freedom of Information	Neglecting legislation, not recording or retaining information correctly.	M	L	The Councils has a publication scheme and keeps records in accordance with data retention guidelines.	Ongoing training required. Revise 2018
Data Protection	Breeches of data protection/ not being compliant with legislation	M	H	The Councils has passwords to protect files containing personal information. Paper files containing paper information are stored in unlocked cabinet at clerks home address. The Clerk is signed up to the ICO as a Data Handler. The Clerk has been on a data protection course however legislation is changing in May and additional training may be needed to ensure any information held is	Ongoing training needed to comply with new legislation.

CORFE CASTLE PARISH COUNCIL

Corfe Castle Parish Council Risk Assessment and Management Policy

Adopted by Corfe Castle Parish Council on 12th February 2018

Level of Risk: L= Low, M= Medium, H= High **Severity (of consequence should identified risk occur):** L= Low, M= Medium, H= High

				shared correctly. Email delay could be added to reduce risk of accidental data breach- To do.	
Council Records Paper	Theft, Loss through fire	M	H	Clerk secures home as precaution against theft. Files are stored in a non conspicuous place. Smoke detectors fitted in Clerks home. Some records could be archived and stored at County Hall for greater security.	Review 2019- has Clerk archived files?
Council Records Digital	Corruption of computer, theft of info from computer/ computer malfunction. Loss through fire.	M	H	Clerk backs up the data onto an external hard drive weekly. Emails held on external server. Emails and computer password protected. Sensitive files password protected. Only trusted sources are used to repair /maintain computer. Back up stored separately to computer. Smoke detectors fitted in Clerks home.	Adequate as is.
Insurance	Not seeking best value for money. Inadequate cover for assets. No public liability and fidelity Insurance.	L	H	The Clerk seeks quotes for insurance through broker Came and Company each year. The Clerk must be aware of new assets to include each year. The policy wording must be checked each year to ensure that proposed cover is adequate. The Clerk must enquire Public Liability and fidelity insurance are both integral in policy.	Adequate as is.
VAT	VAT is incorrectly claimed or not claimed at all for a financial year.	L	M	VAT payments are accounted for each month and VAT reg' numbers noted on spreadsheet. This can be easily collated at the end of the year. The Clerk diarises the VAT claim each year and is aware of what can and cannot be claimed. The Clerk is familiar with VAT regulations	Review April 2018 when new process for VAT claim is introduced
Website	Incorrect info published on website Data breach on website Non compliance with required information	M	M	The Clerk has had training on what information should be present on a website; what is requisite and what shows 'quality status'. The Clerk is the only one responsible for updating info on the website, this process is password protected, and is aware of what is sensitive or confidential information.	Adequate as is

CORFE CASTLE PARISH COUNCIL

Corfe Castle Parish Council Risk Assessment and Management Policy

Adopted by Corfe Castle Parish Council on 12th February 2018

Level of Risk: L= Low, M= Medium, H= High **Severity (of consequence should identified risk occur):** L= Low, M= Medium, H= High

Transparency and Accountability	Relevant information not freely available, lack of clarity as to who is responsible for what within a Council. Non compliance with Code of Conduct.	M	H	The council is largely compliant with the Transparency Code, has a publication scheme and publishes all of its minutes, agendas and financial documents on its website. All Councillors have declared interests and have adopted the Code of Conduct which is also in the public domain. They are accountable the Monitoring Officer. There are policies in place to ensure there are procedures to be followed in the event of a complaint which clarify accountability in each incident.	Review annually- date for next review April 2018
Health and Safety	Health and Safety Policy inadequate, Council negligent in the event of an accident	H	H	The Council have a drafted health and safety policy which needs adopting. The Clerk needs to carry out a detailed risk assessment in her home. A detailed risk assessment needs carrying out in the Playground. The Council does hold Public Liability Insurance should an accident occur.	Ongoing. Policies in progress to minimise risk and constantly it is under review.
RISK WITHIN WORKING ENVIRONMENT					
Computer	Injury or harm from misuse, prolonged use	L	L	The Clerk is aware of best practice whilst using computer; posture, taking regular breaks, position of screen.	Adequate as is.
Equipment	Malfunctioning and causing harm	L	M	To check equipment regularly for defects and to ensure it is used in accordance with guidance.	Adequate as is.
Fire	Risk of harm from Fire	L	H	Smoke detectors installed in Clerks home. Paper is stored away from electrical appliances.	Adequate as is.
Trip Hazards	Risk of tripping	M	M	To ensure working environment has clear access and is clutter free.	Adequate as is.
RISKS ARISING IN AREAS THAT ARE THE RESPONSIBILITY OF THE COUNCIL					
Playground	Injury caused by play equipment	M	H	The Play area is inspected monthly by Councillors and annually by the Play Inspection Company. Risks are dealt with as they arrive. Insurance company has been consulted re regularity of cheques and whilst advisable they are not compulsory.	Adequate as is. To review when reviewing insurance.
Playground	Injury caused by contractor to third party	M	H	The contractor would have their own insurance. To ensure any employed contractors hold their own Public Liability Insurance.	Ongoing.

CORFE CASTLE PARISH COUNCIL

Corfe Castle Parish Council Risk Assessment and Management Policy

Adopted by Corfe Castle Parish Council on 12th February 2018

Level of Risk: L= Low, M= Medium, H= High **Severity (of consequence should identified risk occur):** L= Low, M= Medium, H= High

Playground	Injury caused to contractor	L	M	The contractor would have their own insurance however the Council playground inspections should ensure the environment is safe for the contractors to be working in.	Adequate as is.
Defibrillators	Misuse of defibrillators, units not serviced correctly.	L	L	Fully trained volunteer guardians regularly check units to ensure they are functioning correctly and serviced. Actual misuse is practically impossible due to the design of the units.	To review training of guardians and ensure it is up to date annually.
Notice Boards	Doors / hinges broken and injure someone. Smashed glass causing injury.	L	M	Notice boards are regularly inspected by the Clerk. Councillors would alert Clerk if they spotted any damage to a notice board.	Notes to notify clerk of any damage could be posted in boards.
OTHER RISKS					
Meeting Areas	Health and Safety Risks/ Accessible to all? (Equal ops)	L	L	There is no easy wheelchair access to the Town Hall as it is accessed by steps. Assistance would be required. Otherwise no obvious risks posed in meeting area. It is often dark when accessing and leaving in the winter but the Clerk carries a torch to avoid risk.	Security light could be installed outside of Town Hall.