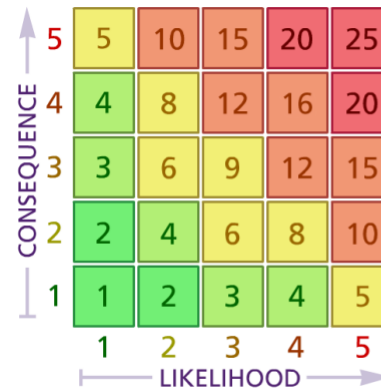


Risk Assessment

Corscombe, Halstock and District Parish council

LIKELIHOOD X SEVERITY / CONSEQUENCE = RISK

<u>LIKELIHOOD</u>	<u>SEVERITY / CONSEQUENCE</u>
1 Very unlikely	1 Very Low
2 Possible	2 Low
3 50/50 chance	3 Medium
4 Very likely	4 High
5 Almost certain	5 Very high



RISK MATRIX

- 17-25 Unacceptable**
 Stop activity and make immediate improvements
- 10-16 Tolerable**
 Look to improve within specified timescale
- 5-9 Adequate**
 Look to improve at next review
- 1-4 Acceptable**
 No further action, but ensure controls are maintained

Risks Identified

TOPIC	Risk Identified	Management of risk	Risk After Controls		
			Likelihood	Severity	Risk Rating
1. Invoices	Incorrect amount on cheque, made payable to wrong party or portion incomplete or blank cheque.	Two signatures are required on cheque/bank transfers, each should check details and initial counterfoil or return email as evidence. Blank cheques must never be signed. RFO retains cheque book apart from when with auditor	1	3	3
2. Bank Statements	Finance report does not reconcile with bank statements	RFO prepares budget monitoring document on a regular basis which reconciles with accounts ledger and bank statements.	1	1	1
3. Financial position	Council is not fully apprised of the financial situation of the council	Budget monitoring and cash position presented to council and recorded in minutes	1	3	3
4. Budgets	Council has not allowed sufficient funds to carry out its duties for the remainder of the financial year	Bimonthly budget monitoring indicates budget against actual for period covered by report against forecast against budget for year. Transfer of money from one budget heading to another budget permitted. Such transfer to be done by resolution of council and recorded in the minutes	1	4	4
5. Precept	Council fails to send precept document to District Council which results in no funds being provided by District Council	RFO informs Council that an acknowledgement has been received or contacts WDDC	1	4	4
6. Contracts	The Council may not be practicing best value techniques therefore not providing the best service for public funds	All contracts to be reviewed on a yearly basis using the principles of best value to award contracts	1	1	1
7. Staff matters	Incorrect expenses claimed, or false claims made	Full documentation to be provided.	1	4	4

<p>8. Sickness, incapacity or loss of Clerk due to retirement or resignation</p>	<p>Inability to undertake council activities.</p>	<p>Sickness absence procedure is in place. See Staff Contract</p> <p>An approach to recruiting a locum Clerk / RFO needs to be agreed.</p> <p>Councillor can be appointed to act as a Clerk on an unpaid basis in accordance with the LGA 1972 s.112(5) subject to full council approval.</p>	<p>2</p>	<p>3</p>	<p>6</p>
<p>9. Salaries and PAYE/NI</p>	<p>Salary incorrectly or not paid. PAYE/NI not paid within timeframe set by Inland Revenue resulting in possible penalties to the council</p>	<p>Council to ensure that PAYE and NI (where applicable) is being deducted from salary and that payment is being made to HM Revenue & Customs as laid down, by checking monthly statement of PAYE / NI on the employee's monthly wage notice.</p>	<p>1</p>	<p>1</p>	<p>1</p>
<p>10. Financial controls</p>	<p>Council not carrying out best practice in line with changes to Government financial legislation resulting in failure of audit</p>	<p>RFO to review financial control documents and prepare draft changes for council as and when necessary. Financial controls to be reviewed annually.</p>	<p>1</p>	<p>4</p>	<p>4</p>
<p>11. Urgent expenditure or late payment of accounts</p>	<p>Urgent items cannot wait until next council meeting: invoice will result in council being surcharged for late payment or non-delivery of important goods if delayed until next meeting; or immediate repair work is needed.</p>	<p>The Clerk has delegated authority up to £500 (as per section 4.5 in the Financial Regulations 2019 adopted in 2021) regarding urgent items. With regards to invoices that would be subject to surcharge or non-delivery if payment were delayed, Clerk may seek payment provided he/she verifies invoice is correct. Matter must be reported to council at next meeting</p>	<p>3</p>	<p>2</p>	<p>6</p>

12. Insurance	Council does not have adequate insurance to cover assets and liabilities, or asset is not covered by insurance. This could result in financial loss or council being sued without adequate insurance protection	Clerk to bring to the attention of council need to insure new assets. Insurance cover to be reviewed annually prior to renewal date of policy, following review of risks, risk management policy and the asset register.	1	4	4
13. Work by councillors and volunteers	Risk of injury to or by persons undertaking work and all other activities on a voluntary basis (such as road / playing field inspection, playground maintenance, litter picking and salt/grit spreading) on behalf of the Parish Council	Clerk to carryout risk assessment and report findings to council. Volunteers to be suitably trained/instructed for the task and appropriate equipment provided. Public liability and Employees liability cover for councillors and Volunteers	2	3	6
14. Cover for work undertaken by contractors	Council receives a claim for injury or damage to property caused, or alleged to have been caused, by a contractor working on behalf of the parish council	The council must ensure before employing any contractor that the contractor has in place Public Liability insurance with a limit of indemnity of not less than £5,000,000.	2	3	6
15. Personal Safety of staff / councillors	Clerk or other council member is attacked or assaulted by member of the public asserting their rights under Data Protection, Government Regulations or Freedom of Information Act	Visits by appointment only with another member of the council or other person present Employees liability cover	1	4	4
16. Display Screen Equipment Regulations	Clerk receives repetitive strain injury or other injury as a result of poor workstation practice and not observing the Display Screen Regulations	Clerk to undertake a risk Assessment of his/her workstation and report any problems to council	1	4	4

<p>17. Loss of Data to include information on websites</p>	<p>Council fails to meet legislation requirements regarding the keeping of records and accessibility of data.</p> <p>Council fails to provide necessary evidence for audit.</p>	<p>Clerk to back up council documents on the computer to a hard drive monthly.</p> <p>Clark's computers to be password protected and appropriate cyber security installed.</p> <p>Councillors who hold data should have appropriate cyber security installed on their computers.</p> <p>Clerk should only use a dedicated Parish Council approved email and councillors should be encouraged to do the same.</p> <p>Council documents (Hard copy) to be stored security.</p> <p>Password List is compiled of all usernames, password and accounts held on behalf of the council and to be stored in a confidential secure place in case of an emergency.</p> <p>Council documents to be archived using Dorset Council's archive facility.</p>	<p>1</p>	<p>4</p>	<p>4</p>
<p>18. Council unable to meet at Village Halls</p>	<p>All meetings of the council are held at the village halls. Should a hall suffer damage due to fire, storm or vandalism, or during repair work, this location may not be available</p>	<p>The Council to book alternative e.g., Halstock community room, St Mary's church Corscombe.</p>	<p>1</p>	<p>4</p>	<p>4</p>

19. Declaration of Interests	<p>Failure to disclose interests may harm individual councillors and / or bring the Council into disrepute.</p>	<p>Councillors declare interests in items on agendas. Updating: any changes to be made on the official form, which is sent to the WDDC Monitoring Officer and a copy retained by the Clerk.</p>	<p>1</p>	<p>4</p>	<p>4</p>
20. Data Protection	<p>Breach of data</p>	<p>A copy of the General Data Protection Regulation Policy and Information Audit Policy will be available on the Council's website. The policies will be considered as a core policy for the Council.</p> <p>The Clerk's Contract and Job Description (if appointed as DPO) will be amended to include additional responsibilities relating to data protection.</p> <p>An information audit will be conducted and reviewed at least annually or when projects and services change.</p> <p>Privacy notices must be issued.</p> <p>Data Protection will be included on the Council's Risk Assessment.</p>	<p>2</p>	<p>2</p>	<p>4</p>

<p>21. Urgent items are required to be dealt with that require action or a reply before the next scheduled council meeting</p>	<p>The Council meets on a bimonthly basis. There may be occasions when items need to be dealt with before the next scheduled meeting. Failure to meet would result in the council possibly not being able to consult on an item, or, possibly, in extreme cases legal action being taken</p>	<p>Extra meetings may be called, if deemed necessary, by the Chairman.</p>	<p>2</p>	<p>2</p>	<p>4</p>
<p>22. Complying with changes in legislation</p>	<p>The council fails to keep up to date with changes in legislation or policy resulting in action being taken against it</p>	<p>The Clerk will endeavour to keep up to date with appropriate changes in legislation and procedures. The council will use the professional services of DAPTC and SLCC to obtain maximum understanding of changes. Councillors and Clerk will attend applicable training events.</p>	<p>1</p>	<p>4</p>	<p>4</p>
<p>23. Playground</p>	<p>Risk of injury to users due to damaged playing equipment or items left on site</p>	<p>Inspections are undertaken on the frequency laid down by ROSPA and recorded. Action is taken where necessary. Annual inspection by ROSPA is acted on as soon as possible. Persons undertaking inspections are adequately trained. Playground is inspected bimonthly, and an inspection report provided. Maintenance of playground equipment is contracted out to specialist company.</p>	<p>2</p>	<p>3</p>	<p>6</p>
<p>24. Bus Shelter</p>	<p>Risk of injury to users due to damaged structure.</p>	<p>Inspections to be regularly carried out and remedial work done.</p>	<p>2</p>	<p>4</p>	<p>6</p>
<p>25. Playground / Bus Shelter</p>	<p>Council is under insured to deal with litigation for claim from Playground/ Bus Shelter user</p>	<p>Council to review Public Liability Insurance on an annual basis to ensure there is adequate protection for a claim.</p>	<p>2</p>	<p>3</p>	<p>6</p>

26. Pandemic-playground	Social distancing and contamination of equipment are the key risks. Note: the likely hood of risk identified has considered the lay-out of our playground and typical number of users as well as the fact that this activity is outside.	Council to place notices at entrance to playground and in the Chimes to ensure the public is aware of protocols. Hands – Face - Space	1	5	5
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26 March 2012 Register of assets and risk assessment were approved by Council (agenda item 9)

25 March 2013 Register of assets and risk assessment were approved by Council (agenda item 9)

31 March 2014 approved

30 March 2015 approved

28th March 2016 approved

27th March 2017 approved

26th March 2018 approved

25th March 2019 approved

30th March 2020 approved, after revaluation of risk ratings

25th January 2021 approved, no change to risk ratings

31st May 2022 approved, no change to risk ratings

27.March 2023 approved with additions of new risks 8 and 17 and updates

25th March 2024 approved

31st March 2025 approved

8th April 2026

Notes

1. If possible, avoid the risk altogether
2. Where possible combat risk at source
3. Give priority to measures which protect the whole workplace
4. Wherever possible, adapt work to the individual
5. Take advantage of technological & technical progress

Having reviewed the hazards and risks, I believe that if the control measures identified are applied the Corscombe, Halstock and District Parish Council will, so far as is reasonably practicable, have met the requirements of this assessment.

Assessor Signature:

Assessor Name:

Date of Assessment: