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# RISK ASSESSMENT

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## Management & Finance

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### RISK MATRIX

Likelihood	4	4	8	12	16
	3	3	6	9	12
	2	2	4	6	8
	1	1	2	3	4
		1	2	3	4
	impact				

<b>Key</b>
High
Medium
Low

The key risks for the council are assessed for impact and likelihood (using the criteria listed above); so that risks are identified as low, medium, or high.

Activity: Employment of Staff						
Duty: Duty to Appoint.				Requirement: To ensure that the Council fulfils its responsibilities.		
Hazard	Risks identified	Control of risk	Likelihood	Impact	Risk Value	Action(s)
Administration & Legal	Failure to comply with employment law.	Obtain two references for all new members of staff.  Issue contracts of employment to all new employees.  Regular reviews of Staff Contracts of Employment.  Awareness of new legislation.  Arrange necessary training to fulfil requirements.	1	4	4	

Professional	<p>Loss of key staff</p> <p>Inability to recruit</p> <p>Employee motivation &amp; efficiency.</p>	<p>Annual Staff Appraisals.</p> <p>Complete exit questionnaire.</p> <p>Policy adopted for training.</p> <p>Highlight training requirements in annual appraisals.</p> <p>Take advantage of localised training.</p> <p>Encourage staff to network with other Clerks in the area.</p> <p>Maintain training records.</p> <p>Review recruitment procedure/policy.</p> <p>Ensure procedures for key functions are documented</p>	1	3	3	
	Personnel safety	<p>Ensure there is an appropriate Lone Worker Policy.</p> <p>Make staff aware of Lone Worker Policy.</p> <p>Ensure appropriate insurance cover held.</p>	1	1	1	

### Activity: Data Protection

Duty: Duty of Notification and Duty to Disclose (subject access).			Requirement: To ensure that statutory requirements are met.			
Hazard	Risks identified	Control of risk	Likelihood	Impact	Risk Value	Action(s)
Administration & Legal	Breach of Confidentiality.  Non-compliance with Assertion 10	The Council maintains a Data Protection Policy.  Data Protection Training is mandatory for the Clerk and Councillors.  Register of GDPR training maintained	1	4	4	Ensure registration with ICO is current  Ensure Assertion 10 compliance

### Activity: Code of Conduct

Duty: Duty to Adopt a Code of Conduct			Requirement: To ensure members comply.			
Hazard	Risks identified	Control of risk	Likelihood	Impact	Risk Value	Action(s)
Administration & Legal	Failure to maintain and Update Register of Interests and gifts	All Council members are reminded of their statutory responsibilities on an annual basis.  The Clerk holds a register of interests file and a register of gifts and hospitality book.  Chairman asks for interests to be declared at the beginning of each meeting (Agenda item).	3	3	9	

## Activity: Computing

**Duty:** Power to facilitate discharge of any function

**Requirement:** Maintain security of computer.

Hazard	Risks identified	Control of risk	Likelihood	Impact	Risk Value	Action(s)
Physical	Loss or damage arising from unauthorised use.  Loss arising from theft or misappropriation.	Restrict access through use of controlled passwords.  Maintain physical security of computer.  Ensure equipment is covered by the insurance	1	3	3	
Technical	Crash of It System.	Ensure regular backup of data.  Ensure that equipment is properly maintained.  Ensure that only approved software is used.  Maintain effective anti-virus software.	1	4	4	

## Activity: Council Meetings

**Duty:** To hold a minimum of four Council meetings a year.

**Duty:** To hold a minimum of four Council meetings a year.

Hazard	Risks identified	Control of risk	Likelihood	Impact	Risk Value	Action(s)
Administration & Legal	Access	Access is available to all.	1	1	1	

		<p>Meetings are held in the Manor Hall which is DDA compliant.</p> <p>Specific areas set aside for Press and Public.</p> <p>All members are notified by way of summons and agenda</p>				
Physical	Failure to meet statutory duty.	<p>All public notices are posted as prescribed.</p> <p>All meetings held are quorate and attendance records are maintained.</p> <p>Minutes of meetings are taken by Clerk and in her absence a named Cllr.</p> <p>All minutes are signed as an accurate record at the next meeting by the Meeting Chairman.</p>	<b>1</b>	<b>2</b>	<b>2</b>	
	Security.	<p>Police are called if issues arise at particular meetings.</p> <p>Health and Safety requirements of the Manor Hall are maintained before, during and after meetings.</p>	<b>1</b>	<b>1</b>	<b>1</b>	
	Personal Injury.	<p>Appropriate regulations/controls are in place to minimise the risk of injury to officers, members &amp; public.</p> <p>Defined standards are being maintained.</p>	<b>1</b>	<b>1</b>	<b>1</b>	

		Where necessary appropriate notices are in place. Council holds appropriate insurance cover which is reviewed annually.				
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**Activity:** Council Property and Documents

**Duty:** Duty to disclose documents and to adopt Publication Scheme.

**Requirement:** To ensure that statutory requirements are met.

Hazard	Risks identified	Control of risk	Likelihood	Impact	Risk Value	Action(s)
Financial	Legal Liability as a result of Asset Ownership.	Ensure that adequate public liability insurance is in place.	1	1	1	
Physical	Loss of assets.	Maintain effective security of assets. Maintain an up-to-date Asset Register. Ensure the Council has adequate insurance against damage and theft	1	2	2	
Professional	Failure to effectively process documents	Allocate responsibility for maintenance of effective control of documentation. Define procedure for recording documents receipt, circulation, response, handling & filing.	1	2	2	

## Activity: Bus Shelters

**Duty:** Power to Provide and Maintain Shelters **Requirement:** To ensure that the Council has adequate insurance cover

Hazard	Risks identified	Control of risk	Likelihood	Impact	Risk Value	Action(s)
Administration & Legal	Adequate insurance cover	Ensure that appropriate action is taken to provide cover for any new risks arising in the year.	1	2	2	
	Absence of Highway Authority Licence.	Maintain register of licence requirements and carry out periodic review				Check this licence and the requirements
Environmental	Design and Position	Ensure that design of all shelters is in keeping with the architectural design of the Council.  Ensure that shelters are properly sited.	1	1	1	
	Cleaning of Bus Shelters	Carry out periodic inspection and take action where appropriate.	1	2	2	
	Vandalism	Arrange regular monitoring of site.  Liaise with local enforcement agencies.  Instigate appropriate action against offenders.	1	3	3	
Physical	Maintenance of Bus Shelters	Maintain records of work carried out.	1	3	3	

		Carry out periodic inspection and take action where appropriate.				
<b>Activity:</b> Recreation/play areas & Land						
<b>Duty:</b> Power to acquire by agreement, to appropriate and to dispose of			<b>Requirement:</b> To ensure that all assets of the Council are properly recorded			
Hazard	Risks identified	Control of risk	Likelihood	Impact	Risk Value	Action(s)
Administration & Legal	Maintenance of Asset Register	Define responsibility for maintenance of asset register.  Ensure that all purchases/disposals are accurately and promptly recorded.	1	1	1	
	Maintenance and Security of Deeds.	Determine responsibility for security.  Ensure that all deeds and relevant documentation held in fire proof cabinets/safe or otherwise deposited with appropriate third party for safe keeping.  Maintain a copy of each deed for administrative purposes.	1	2	2	
Environmental	Vandalism	Review security and monitor all areas on a regular basis.  Maintain liaison with law enforcement agencies.	1	2	2	

		Instigate legal action against perpetrators.				
	Fly tipping	Monitor Site. Report to appropriate agency/authority. Provide proper facilities for control of waste.	<b>1</b>	<b>3</b>	<b>3</b>	
	Maintenance of Land Including Grass Cutting.	Define responsibility for maintenance and ensure a planned programme is in place. Ensure that any service contracts are properly signed. Maintain records of inspection. Enforce penalties for non-performance.	<b>1</b>	<b>1</b>	<b>1</b>	
Financial	Inadequate Budgetary Provision.	Ensure that all anticipated income and expenditure costs are provided for in budgetary process.	<b>1</b>	<b>2</b>	<b>2</b>	
Physical	Public/Personal Injury.	Ensure that all staff/contractors have appropriate training and adhere to approved working practices. Ensure that all appropriate notices and disclaimers are in place. Maintain records of injury.	<b>1</b>	<b>3</b>	<b>3</b>	

		Ensure the Council holds adequate insurance cover				
<b>Activity: Website</b>						
<b>Duty:</b> Power to Provide from “free resource”			<b>Requirement:</b> To ensure proper financial provision			
<b>Hazard</b>	<b>Risks identified</b>	<b>Control of risk</b>	<b>Likelihood</b>	<b>Impact</b>	<b>Risk Value</b>	<b>Action(s)</b>
Administration	Inability to update the content.	Ensure responsibilities for updating the website are defined. Ensure compliance with the Transparency Code. Ensure Assertion 10 compliance.	1	2	2	
Financial	Inadequate budget provision.	Ensure service requirements are included in the annual budgets.	1	1	1	
Technical	Failure of Website.	Website provider backs up website on a regular basis.	1	1	1	

## Activity: Public Conveniences

Duty: Power to provide			Requirement: To ensure proper administrative arrangements			
Hazard	Risks identified	Control of risk	Likelihood	Impact	Risk Value	Action(s)
Administration & Legal	<p>Contract with service providers</p> <p>Service level agreement with principal authority.</p> <p>Disability &amp; Discrimination Act.</p>	<p>Ensure that all contracts are signed.</p> <p>Monitor performance.</p> <p>Ensure that all service level agreements are completed.</p> <p>Monitor performance.</p> <p>Ensure that all conditions of the Act are met.</p>	1	1	1	
Environmental	Vandalism	<p>Ensure they are regularly monitored.</p> <p>Report to appropriate agencies.</p>	1	3	3	
	Cleaning	<p>Ensure contract in place for cleaning.</p> <p>Conduct regular inspections.</p>	1	3	3	
Financial	Inadequate budgetary provision.	Ensure all expenditure is included in the budgetary figures.	1	3	3	

### Activity: Seats

Duty:			Requirement: Minimise risk arising from use			
Hazard	Risks identified	Control of risk	Likelihood	Impact o	Risk Value	Action(s)
Physical	Injury or damage arising from use.	Carry out regular inspections. Arrange repair/renewal where necessary. Ensure adequate insurance provision.	1	1	1	
	Vandalism	Report to appropriate authority.	1	2	2	

### Activity: Bouledrome

Duty:			Requirement: Minimise risk arising from use			
Hazard	Risks identified	Control of risk	Likelihood	Impact	Risk Value	Action(s)
Physical	Injury or damage arising from use.	Carry out regular inspections. Arrange repair/renewal where necessary. Ensure adequate insurance provision.	1	1	1	
	Vandalism	Report to appropriate authority.	1	2	2	

## Activity: Financial Management

**Duty:** Duty to ensure responsibility for financial affairs.

**Requirement:** To minimise the risk of loss.

Hazard	Risks identified	Control of risk	Likelihood	Impact	Risk Value	Action(s)
Administration & Legal	Failure to maintain record of Council assets.	<p>Clerk is responsible for maintenance of Asset Register.</p> <p>Ensure that all acquisitions/disposals are accurately and promptly recorded.</p> <p>Carry out periodic inventory checks.</p>	1	3	3	
	Failure to comply with Inland Revenue Regulations.	<p>Maintenance of comprehensive records of all calculations of income tax, national insurance deducted from pay, regular returns to Inland Revenue prepared by the Clerk and presented to Council on a monthly basis along with salaries.</p> <p>Prompt payment of all sums due.</p> <p>Use of HMRC Basic Tools software is used to calculate PAYE.</p>	1	4	4	
	Incurring expenditure without proper legal authority	<p>The Council has Financial Regulations, which set out the requirements.</p> <p>Financial Regulations are reviewed on a regular basis.</p>	1	4	4	

		All resolutions for the expenditure of monies are recorded in the minutes.				
	Failure to comply with Customs & Excise Regulations	Ensure that value added tax is properly administered and recorded.  Complete and submit VAT refund claims annually.	<b>1</b>	<b>4</b>	<b>4</b>	
Financial	Loss of money through theft or misappropriation.	The Council has Financial Regulations that set out the requirements.  Cash/cheques are banked promptly.  All income is reconciled before being banked.  Income and expenditure reports are presented to Full Council on a monthly basis along with a bank reconciliation.  Procedures have been adopted for management of payments.  Council holds adequate fidelity guarantee.	<b>1</b>	<b>4</b>	<b>4</b>	
	Failure to set a precept within sound budgeting arrangements.  Precept not paid by DCC.	Clerk prepares detailed budgets for all elements of Council business which are presented to Full Council.  The precept is set after Council has agreed next year's budget following the detailed report of income and expenditure for the forthcoming year.	<b>1</b>	<b>4</b>	<b>4</b>	

		<p>Ensure timely submission of Precept request.</p> <p>A budget sheet is maintained through the year.</p> <p>Precept deadline is noted by the Clerk to ensure compliance.</p> <p>Precept request is submitted in writing by the Clerk and checks are made to ensure receipt.</p>				
	Failure to ensure proper use of funds under specific powers/S137	<p>Ensure that all S137 expenditure is recorded separately in the cash book.</p> <p>Ensure the total expenditure does not exceed statutory limit for the Council.</p> <p>Ensure that all grant approvals are recorded in Council minutes.</p> <p>Hold an up-to-date Grant Awarding Policy.</p> <p>Ensure that no alternative statutory authority is available.</p>	<b>1</b>	<b>3</b>	<b>3</b>	
	Failure to keep proper financial records.	<p>Define responsibility through appointment of Proper Financial Officer.</p> <p>Ensure appropriate standing orders and financial regulations in place that are subject to periodic review.</p> <p>Implement Internal Audit.</p>	<b>1</b>	<b>4</b>	<b>4</b>	

		<p>All income and expenditure are presented to the Council on a monthly basis by the Clerk providing financial reports.</p> <p>All financial records are input into the Council's record system.</p> <p>Bank Reconciliations are completed monthly and presented to Full Council with a bank statement.</p> <p>Appropriate insurance cover is in place and reviewed periodically.</p>				
	Risk to third party as a consequence of providing a service.	<p>Risk assessments are periodically reviewed and at least annually.</p> <p>Council has financial regulations which are reviewed annually and clearly state the</p>	<b>1</b>	<b>4</b>	<b>4</b>	
	Failure to maintain an effective payments system.	<p>Council has financial regulations which are reviewed annually and clearly state the responsibility and process for payments.</p> <p>All payments to be supported by an invoice.</p> <p>All details to be checked and entered into accounts by the Clerk.</p>	<b>1</b>	<b>4</b>	<b>4</b>	

		<p>All payments to be approved by Full Council and recorded in the minutes.</p> <p>Nominated Councillor to check invoices against payments raised.</p> <p>All cheques to be signed by at least two members of the Council.</p> <p>Management of the Council's financial affairs are detailed in the financial regulations and reviewed annually.</p>				
	Poor Financial Management.	<p>Clerk keeps a monthly budget sheet which is cross referenced with payments/receipts and the accounts.</p> <p>All transactions are presented to the Council on a monthly basis along with a bank reconciliation.</p> <p>Effective internal audit is maintained.</p>	<b>1</b>	<b>4</b>	<b>4</b>	

Date of Review	Change Description	Minute No.
May 2026	New template and format adopted New risk matrix applied	