|  |
| --- |
| **Risk Assessment****For Leafield Parish Council** |
| **Risk Assessment Completed by: Anne Ogilvie, Clerk to the Parish Council****Date Completed: 01.11.2021 Risk Assessment Review Date: 01.11.2022** |
| **Description of Hazard** | **Who might be harmed and how, or issue** | **Existing Control Measures** | **Risk Rating** | **Further Actions** | **Date Actions Complete** | **Residual Risk Rating** |
| **FINANCE** |  | * Financial Regulations
* Standing Orders
 | Low |  |  |  |
| Precept | Precept not applied forPrecept not received | * Diary entry of relevant dates to apply and receive precept
* Confirmation of precept application
* Confirmation precept receipt through bank statement
* Adequacy of precept through budget and budget monitoring
* Minuted agenda items for precept determination and precept receipt
 | Low |  |  |  |
| Parish Grant | Parish Grant not received | * Confirmation of grant receipt through bank statement
* Minuted report of monies received
 | Low |  |  |  |
| Budget | OverspendingUnauthorised spending | * Minuted agenda items for budget creation and budget monitoring
* Draft budget created showing previous actuals and predictions
* Budget discussions in autumn to discuss plans
* Budget approved by full council
* Budget monitoring report presented to council at least quarterly
 | Low |  |  |  |
| Loans | Compliance with restrictions, repayments | * Legal advice and advice from appropriate bodies sought before and during decision making
* Budget item to ensure repayments are included within council budget and precept
 | Low |  |  |  |
| Salaries | Incorrect salary/hours/ or hourly rate paidIncorrect deductions madeHMRC RTI failure | * Employee timesheet approved by designated Councillor
* Current rate of pay and changes approved by Council
* Pay and deductions report created using HMRC payroll software
* Pay reports checked prior to salaries being paid
* HMRC payments made as required
* Diary entry of payment dates
* Receipt of HMRC RTI checked
 | Low |  |  |  |
|  |  |  |  |  |  |  |
| **Description of Hazard** | **Who might be harmed and how, or issue** | **Existing Control Measures** | **Risk Rating** | **Further Actions** | **Date Actions Complete** | **Residual Risk Rating** |
| Financial records | Inadequate or incorrect records | * Accounts updated at least monthly
* Current account bank balance, accounts update, budget monitoring and bank reconciliation reviewed and minuted at every full council meeting
* Bank reconciliation undertaken monthly and checked by nominated councillor against bank statement
* Internal auditor instructed annually
* Internal auditor review undertaken by council
* Review of effectiveness of internal auditor
* Completion of AGAR
* Annual audit carried out by external auditor
* Financial Regulations followed
 | Low |  |  |  |
| Financial controls | Goods not supplied to Council after paymentInvoice incorrectly calculated or recordedIncorrect payment madeProcessing receiptsFraud, theft, embezzlementValue for money, fairness | * Quote, purchase order, delivery note and invoice checked
* Payment before order only to be made to approved suppliers
* Invoices checked prior to payment
* Monthly bank reconciliation carried out, “checksums” in accounts to monitor input accuracy
* Payment list created and approved at full council meeting
* Majority of receipts transferred into bank account electronically
* Cheque or cash receipts rare and low value
* All receipts received reported at council meetings
* Minimum of two councillor signatories on bank mandate
* Two signatures required on cheque payments
* Two person process for bank transfers
* Cheque signatories check cheque details against invoice, initial invoice and cheque stub
* Bank transfer list made, checked against payment list and approved prior to payment.
* No petty cash float held
* Cash amounts rarely received and usually under £10
* Internal financial controls undertaken at correct intervals
* Review of effectiveness of internal financial controls
* Fidelity Insurance cover in place
* Multiple quotations obtained for works where relevant
* Regular contract review
 | Low |  |  |  |
| VAT | VAT misclaimed or not claimed within time limit for refund | * VAT element accounted for separately within accounting system
* VAT claimed at least on bi-annual basis
* Evidence of claim submitted to council
* Diary entry of relevant date to claim refund
 | Low |  |  |  |
| **Description of Hazard** | **Who might be harmed and how, or issue** | **Existing Control Measures** | **Risk Rating** | **Further Actions** | **Date Actions Complete** | **Residual Risk Rating** |
| Grants and donations | Monies improperly awarded or used | * Council follows S137 legislation
* Grants and Donations Policy
 | Low | * ~~Grants and Donations Policy~~
 |  |  |
| Banking | Safety of investments | * Accounts held with established bank
* Internet banking in place, access controls in place
* Council debit card has £500 limit
 | Low |  |  |  |
| Bank reserves | May not be adequate to cover unexpected costs or delay in receipt of precept | * Council agreement of adequate reserve requirement
* Future reserve requirement considered during budget setting process, and minuted
 | Low |  |  |  |
| **ADMINISTRATION** |  | * Standing Orders
* Financial Regulations
 |  |  |  |  |
| Legal powers | Unlawful activity or decision making | * Standing Orders reviewed and adopted annually
* Financial Regulations reviewed and adopted annually
* GDPR policies reviewed and adopted annually
* Councillor Code of Conduct signed by every councillor
* OALC training available to councillors and staff covering legal powers
* Clerk has access to OALC, SLCC and other bodies to check legality of proposals and actions
* List of legal powers available at council meetings
* Clerk attends training and conference to ensure CPD is up-to-date and knowledge is current
 | Low | * ~~Clerk to undertake training courses as required to ensure CPD is up-to-date and knowledge is current~~
 |  |  |
| Minutes | Inaccurate recordsInadequate storage | * Draft minutes issued to council prior to following meeting
* Minutes reviewed and approved by council, signed by Chairman at following meeting
* Signed minutes are filed in Minute Book
* Full minute books stored at County Archive
 | Low | * ~~Full minute books to be stored at County Archive~~
 |  |  |
| Employer Responsibilities | Non-compliance with employment lawNon-compliance with Pension Regulations | * Staff issued with employment contract and job description
* Staff registered with HMRC as employees
* Employment policies in place
* Council have pension scheme.
* Staff enrolled in pension after probation period if meet criteria
 | Low | * ~~Creation/review of employment policies~~
 |  |  |
| Members’ interests | Conflict of interestHarm to authority’s public reputation | * Register of Interest form completed by every councillor
* Register of Interest form updated if relevant change occurs
* Opportunity to declare interests at every meeting – minuted agenda item
* Councillors free to declare an interest at any point during a meeting, declaration minuted.
* Any potential conflict addressed at council meetings as required
* Monitoring Officer advice sought as required
* Copy of Register of Interest form kept by Council.
* Copy of Register of Interest form held by WODC.
 | Low | * Create Gift and Hospitality Register
 |  |  |
| **Description of Hazard** | **Who might be harmed and how, or issue** | **Existing Control Measures** | **Risk Rating** | **Further Actions** | **Date Actions Complete** | **Residual Risk Rating** |
| Transparency | Failure to comply with Code Failure to comply with ICO FoI Scheme | * Council website updated as required to contain correct information as required by current regulations
* Freedom of Information Scheme adopted
* Systems and website reviewed regularly to ensure FOI Scheme is being adhered to
 | Low | * ~~Adoption of Freedom of Information Scheme~~
 |  |  |
| GDPR | Failure to comply with Regulations | * Data Protection Registration renewed annually
* GDPR polices and notices in place and reviewed annually
 | Low | * Completion of audit of hard and soft documentation as per Documentation Policy
 |  |  |
| Suppliers | Loss or damage due to performance | * Supplier review as part of supplier approval process
* Contract review process
* Financial checks undertaken if required
* Insurance, certifications and risk assessments requested as required
 | Low |  |  |  |
| Document control | Loss or damage | * Leases, legal and archive documents stored in locked metal cabinet in Pavilion
* Current documents stored at Clerk’s address
* Computer documents backed up regularly
 | Low |  |  |  |
| **INSURANCE** |  |  |  |  |  |  |
| Insurance | Management of risk to council – loss, damage, liability | * Annual review of adequacy of insurance cover, including asset and liability cover
* Review of insurance cover for any new activity and change made as required
* Public Liability insurance in place.
 | Low |  |  |  |
| **ASSETS** |  |  |  |  |  |  |
| Protection of physical assets | Loss or damage | * Asset register regularly updated and approved by Council, with photographs and map of asset positions
* Annual inspection of assets
* Repair and maintenance as required
* Adequate insurance level to match current asset register
* Value increased annually by RPI
 | Low | * Creation of asset location map with photographs
 |  |  |
| Security of buildings and equipment | Loss or damage | * Limited distribution of keys to access Pavilion
* Clerk holds key register for Pavilion front door
* Gym Committee hold key register of gym members with key which includes access to rest of Pavilion
* Village Hall security responsibility of Village Hall Committee
* Village Hall Committee hold register of Village Hall keyholders and those with access to keysafe
 | Medium | * Review of Pavilion key holder list
 |  |  |
| Maintenance of buildings |  | * Parish Council responsible for Pavilion maintenance
* Village Hall Committee responsible for Village Hall maintenance as per lease
 | Medium | * Lease required for Gym Committee as now pay rent
 |  |  |
| **Description of Hazard** | **Who might be harmed and how, or issue** | **Existing Control Measures** | **Risk Rating** | **Further Actions** | **Date Actions Complete** | **Residual Risk Rating** |
| Third party protection | Risk or damage to third party property or individuals | * Adequate Public Insurance Liability
* Repair and maintenance as required
 | Low |  |  |  |
| Maintenance | Reduced value of assets | * Supplier approval process to ensure suitably qualified contractors carry out maintenance and repairs
 | Low |  |  |  |
| Protection and security of soft and hard copy documents | Theft or loss of information, financial records | * Council laptop password protected, with security software
* Cloud backup of council documents
* Hard copy documents stored in locked cupboard in Pavilion or at Clerk’s address
* Council Dropbox used to share council documents with councillors
* Access to council email address removed from retired councillors
* Retiring councillors requested to delete/destroy/return any council documents in their possession
 | Low |  |  |  |
| Play areas | Loss or damage, risk or damage to third parties | * Correct insurance in place
* Weekly inspection of play areas, written record kept
* Play area inspection results reported at council meetings for actions to be agreed
* Dangerous/unsafe equipment to be cordoned off and photo taken as evidence of closure
* Annual inspection carried out by RoSPA qualified inspector
* Works carried out as required
 | Low |  |  |  |
| Tree maintenance | Loss or damage, risk or damage to third parties | * Biennial tree survey by qualified inspector
* Regular inspections by council
* Works carried out as required
 | Low |  |  |  |
| Burial ground | Burials not completed to legal requirementsGrounds not correctly managedUnsafe memorials | * Correct forms/paperwork requested
* Competent contractors used
* Relevant polices in place
* Correct record keeping and document storage
* Competent contractors used
* Correct record keeping
* Regular inspections
* H & S inspections
* Memorial safety inspection carried out by qualified contractor
* Works required undertaken by qualified contractors
 | Medium | * ~~Training for Clerk required~~
* Set up record keeping systems and document storage systems
 |  |  |
| Closed churchyard | Burials/cremations not completed to legal requirementsGrounds not correctly managedUnsafe memorials | * Cremations and burials are the responsibility of the Church
* ~~Correct forms/paperwork requested~~
* ~~Competent contractors used~~
* ~~Relevant policies in place~~
* ~~Correct record keeping and document storage~~
* Competent contractors used
* Correct record keeping
* Regular inspections including H&S inspections
* Memorial safety inspection carried out by qualified contractor
* Works required undertaken by qualified contractors
 | Medium | * ~~Training for Clerk required~~
* ~~Set up record keeping systems and document storage systems~~
 |  |  |
| **Description of Hazard** | **Who might be harmed and how, or issue** | **Existing Control Measures** | **Risk Rating** | **Further Actions** | **Date Actions Complete** | **Residual Risk Rating** |
| Defibrillators | Loss or damage | * Regular inspections with written report
* Replacement of parts as required
 | Low |  |  |  |
| **EMPLOYEES** |  |  |  |  |  |  |
| Working at home | Person may suffer ill health, injury or personal attack | * Visits from members of the public ~~to be~~ strictly controlled
* Work-station assessment to be carried out following HSE guidelines
* Display screen equipment assessment to be carried out following HSE guidelines
 | Low |  |  |  |
| Absence | Long term sickness or absence by ClerkResignation of Clerk | * Councillors to take over Clerk duties
* Business Continuity Policy
* Business Continuity Plan
 | Low | * ~~Review/creation of Business Continuity Policy and Plan~~
 |  |  |
| Management | Poor relationshipsLegal actionUnlawful decisions | * Employment Policies reviewed and adopted annually
 | Low | * ~~Review/creation of employment policies~~
 |  |  |
| Knowledge | Actions which may be unlawful, unwise, damaging | * Staff training
* Training and Development Policy
 | Low | * ~~Training and Development Policy~~
 |  |  |
| **HEALTH AND SAFETY** |  | * Health and Safety Policy
 |  |  |  |  |
| Lone working in the parish and on council business | Person may be taken ill, have accident or suffer personal attack | * Second person (staff/councillor/member of family) informed of location and start/end times of task
* Councillors to take on duties until Clerk or nominated Councillor recovered
* Charged mobile phone to be carried at all times when lone working
 | Low |  |  |  |
| Violence and aggression | Person may sustain physical or verbal attack | * Staff/councillor to avoid meeting members of public in remote locations on a one-to-one basis, particularly when handling complaints
* Public invited to speak at council meetings in order that issues and complaints are dealt with as a group
 | Low |  |  |  |
| Manual handling | Physical injury from incorrect lifting or unplanned lift | * Small items only are lifted on an irregular basis
* Larger tasks carried out by trained, competent contractors
* Higher risk tasks to be individually risk assessed prior to carrying out, and suitable safety measures taken
 | Low |  |  |  |
| Work at height | Injury from fall from height | * Minimal low-level use of ladders
* Higher risk tasks are carried out by competent, trained contractors
* Ladders checked regularly for deterioration and rectified
 | Low |  |  |  |
| Electric shock | Shock from faulty electrical equipment or wiring | * All electrical works carried out by competent electrical contractors
* Council owned portable equipment PAT tested/checked by competent person
 | Low |  |  |  |
| First aid emergency | First aid required | * Clerk/councillors to carry or have access to first aid kit if deemed necessary for activity
 | Low |  |  |  |
| **Description of Hazard** | **Who might be harmed and how, or issue** | **Existing Control Measures** | **Risk Rating** | **Further Actions** | **Date Actions Complete** | **Residual Risk Rating** |
| Driving/travelling | Person may suffer injury or be involved in collision with third party | * Minimal driving required for tasks within the parish
* Drivers must be competent, hold adequate insurance, be in good general state of health and not drive when tired
* Vehicles must be well maintained and subject to statutory checks
 | Low |  |  |  |
| Council owned/managed properties | PavilionVillage Hall | * Risk assessments in place and regularly reviewed
* Council owned portable equipment PAT tested/checked by competent person
* Health and Safety Policy in place
* Regular H&S checks
* Correct insurance, policies and risk assessments managed by Village Hall Committee
 | Medium | * Village Hall Fire Risk Assessment review required
* Review of Pavilion H&S checks
 |  |  |
| Slips, Trips and Fall | Injury | * Suitable stout, well-soled shoes for outdoor activities
 | Low |  |  |  |
| **EVENTS AND ACTIVITIES** |  |  |  |  |  |  |
| Council activities | Specific risk linked to activity | * Specific risk assessments carried out prior to event or activity
* Correct insurance in place prior to event or activity
 | Low |  |  |  |
| COVID-19 pandemic | Getting or spreading COVID-19Mental health and well-being of councillors and staffEmployer responsibilitiesLate or reduced level of Precept | * COVID-19 risk assessment updated as required to follow current government guidance
* COVID-19 Employer risk assessment updated as required to follow current government guidance
* General reserves available to cover late receipt of precept
* Budget monitoring shows spending compared to receipts
 | Low |  |  |  |

**Key to Risk Ratings**

Low Risk – Continue with existing control measures

Medium Risk – Proceed with caution. Review whether task can be carried out another way or whether additional control measures are required

High Risk - Do not proceed until an alternative safe system of work or other control measures are put into place

**Risk Matrix**

|  |  |  |  |
| --- | --- | --- | --- |
| Likelihood |  |  |  |
| Highly likely | Medium | High | High |
| Possible | Low | Medium | High |
| Unlikely | Low | Low | Medium |
| Impact | Negligible | Moderate | Severe |

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **13** | Date created | Carried out by (Name) | Signature | Job Title | Approved | Signature | Title |
|  | 01.11.21 | Anne Ogilvie |  | Parish Clerk and RFO | Gina Pearce  |  | Chairman |