

Risk Assessment

For Leaffield Parish Council

Risk Assessment Completed by: Anne Ogilvie, Clerk to the Parish Council
Date Completed: 03.11.2023 Risk Assessment Review Date: 01.12.2024

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		<ul style="list-style-type: none"> Financial Regulations Standing Orders 	Low			
Precept	Precept not applied for Precept not received PC budget	<ul style="list-style-type: none"> Diary entry of relevant dates to apply and receive precept Confirmation of precept application Confirmation of precept receipt through bank statement Adequacy of precept through budget and budget monitoring Minuted agenda items for precept determination and precept receipt 	Low			
Budget	Overspending Unauthorised spending	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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 paid Incorrect deductions made HMRC RTI failure	<ul style="list-style-type: none"> 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, direct debit set up Diary entry of payment dates Receipt of HMRC RTI checked 	Low			

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Financial records	Inadequate or incorrect records	<ul style="list-style-type: none"> 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 Council against bank statement Internal auditor instructed annually Internal auditor review undertaken by Council Review of effectiveness of internal auditor undertaken by Council Completion of AGAR Annual audit carried out by external auditor Financial Regulations followed 	Low			
Financial controls	<p>Goods not supplied to Council after payment</p> <p>Invoice incorrectly calculated or recorded</p> <p>Incorrect payment made</p> <p>Processing receipts</p> <p>Fraud, theft, embezzlement</p> <p>Value for money, fairness</p> <p>Councillor/Clerk expenditure claims</p>	<ul style="list-style-type: none"> 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 Two councillor approval system for electronic payments 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 low value 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 Completed expense forms checked by Clerk Completed expense forms checked by Council before payment 	Low			

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VAT	VAT misclaimed or not claimed within time limit for refund	<ul style="list-style-type: none"> 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			
Grants and donations	Monies improperly awarded or used	<ul style="list-style-type: none"> Council follows GPC legislation Grants and Donations Policy 	Low			
Banking	Safety of investments	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Council agreement of adequate reserve requirement Future reserve requirement considered during budget setting process, and minuted 	Low			
ADMINISTRATION		<ul style="list-style-type: none"> Standing Orders Financial Regulations 				
Legal powers	Unlawful activity or decision making	<ul style="list-style-type: none"> 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			
Minutes	Inaccurate records	<ul style="list-style-type: none"> Draft minutes issued to Council prior to following meeting Minutes reviewed and approved by Council, signed by Chairman at following meeting 	Low			
	Inadequate storage	<ul style="list-style-type: none"> Signed minutes are filed in Minute Book Full minute books stored at County Archive 				
Employer Responsibilities	<p>Non-compliance with employment law</p> <p>Non-compliance with Pension Regulations</p>	<ul style="list-style-type: none"> Staff issued with employment contract and job description Staff registered with HMRC as employees Employment policies in place Council has pension scheme. Staff enrolled in pension after probation period if meet criteria 	Low			

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Members' interests	Conflict of interest Harm to authority's public reputation	<ul style="list-style-type: none"> 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. Gift and Hospitality Register in operation 	Low			
Transparency	Failure to comply with Code Failure to comply with ICO FoI Scheme	<ul style="list-style-type: none"> 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	•		
GDPR	Failure to comply with Regulations	<ul style="list-style-type: none"> Data Protection Registration renewed annually GDPR policies and notices in place and reviewed annually 	Low	• Completion of audit of hard and soft documentation as per Policy		
Suppliers	Loss or damage due to performance	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Leases, legal and archive documents stored in locked metal cabinet in Village Hall Current documents stored at Clerk's address Computer documents backed up regularly 	Low			
INSURANCE						
Insurance	Management of risk to Council – loss, damage, liability	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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 Insurance value increased as required 	Low	• Creation of asset location map with photographs		

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Security of buildings and equipment	Loss or damage	<ul style="list-style-type: none"> 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			
Maintenance of buildings		<ul style="list-style-type: none"> Parish Council responsible for Pavilion maintenance Village Hall Committee responsible for Village Hall maintenance as per lease 	Medium	<ul style="list-style-type: none"> Lease required for Gym Committee as now pay rent 		
Third party protection	Risk or damage to third party property or individuals	<ul style="list-style-type: none"> Adequate Public Insurance Liability Repair and maintenance as required 	Low			
Maintenance	Reduced value of assets	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Council laptop password protected, with security software Cloud backup of council documents Hard copy documents stored in locked cupboard in Village Hall or at Clerk's address Council Dropbox used to share council documents with councillors Access to Council Dropbox removed from retired 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Biennial tree survey by qualified inspector Regular inspections by Council Works carried out as required 	Low			

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Burial ground	Burials not completed to legal requirements Grounds not correctly managed Unsafe memorials	<ul style="list-style-type: none"> • 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 • H & S inspections • Memorial safety inspection carried out by qualified contractor • Works required undertaken by qualified contractors 	Medium	Need to arrange memorial safety inspection		
Closed churchyard	Burials/cremations not completed to legal requirements Grounds not correctly managed Unsafe memorials	<ul style="list-style-type: none"> • Cremations and burials are the responsibility of the Church • 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	Need to arrange memorial safety inspection		
Defibrillators	Loss or damage	<ul style="list-style-type: none"> • Regular inspections with written report • Replacement of parts as required 	Low			
EMPLOYEES						
Working at home	Person may suffer ill health, injury or personal attack	<ul style="list-style-type: none"> • Visits from members of the public 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 Clerk Resignation of Clerk	<ul style="list-style-type: none"> • Councillors to take over Clerk duties • Business Continuity Policy • Business Continuity Plan 	Low			
Management	Poor relationships Legal action Unlawful decisions	<ul style="list-style-type: none"> • Employment Policies reviewed and adopted annually 	Low			
Knowledge	Actions which may be unlawful, unwise, damaging	<ul style="list-style-type: none"> • Staff training • Training and Development Policy 	Low			

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HEALTH AND SAFETY		<ul style="list-style-type: none"> Health and Safety Policy 				
Lone working in the parish and on Council business	Person may be taken ill, have accident or suffer personal attack	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Clerk/councillors to carry or have access to first aid kit if deemed necessary for activity 	Low			
Driving/travelling	Person may suffer injury or be involved in collision with third party	<ul style="list-style-type: none"> 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	Pavilion Village Hall	<ul style="list-style-type: none"> 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	Review of H&S policy		
Slips, Trips and Fall	Injury	<ul style="list-style-type: none"> Suitable stout, well-soled shoes for outdoor activities 	Low			

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EVENTS AND ACTIVITIES						
Council activities	Specific risk linked to activity	<ul style="list-style-type: none"> Specific risk assessments carried out prior to event or activity Correct insurance in place prior to event or activity 	Low			
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COVID-19 pandemic	Getting or spreading COVID-19 Mental health and well-being of councillors and staff Employer responsibilities Late or reduced level of Precept	<ul style="list-style-type: none"> 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

Very Low and 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 and Very 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 (score 3)	Medium (3 x 1)	High (3 x 2)	Very High (3 x 3)
Possible (score 2)	Low (2 x 1)	Medium (2 x 2)	High (2 x 3)
Unlikely (score 1)	Very Low (1 x 1)	Low (1 x 2)	Medium (1 x 3)
Impact	Negligible (score 1)	Moderate (score 2)	Severe (score 3)

Date created	Carried out by (Name)	Job Title
03.11.23	Anne Ogilvie	Parish Clerk and RFO