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| **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 for  Precept 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 | Overspending Unauthorised 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 paid  Incorrect deductions made  HMRC 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 |  |  |  |
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| **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 payment  Invoice incorrectly calculated or recorded  Incorrect payment made  Processing receipts  Fraud, theft, embezzlement  Value 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 |  |  |  |
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| **Description of Hazard** | **Who might be harmed and how, or issue** | **Existing Control Measures** | **Risk Rating** | **Further Actions** | **Date Actions Complete** | **Residual Risk Rating** |
| 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 |  |  |  |
| Grants and donations | Monies improperly awarded or used | * Council follows S137 legislation * Grants and Donations Policy | Low |  |  |  |
| 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 |  |  |  |
| Minutes | Inaccurate records  Inadequate 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 |  |  |  |
| Employer Responsibilities | Non-compliance with employment law  Non-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 |  |  |  |
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| **Description of Hazard** | **Who might be harmed and how, or issue** | **Existing Control Measures** | **Risk Rating** | **Further Actions** | **Date Actions Complete** | **Residual Risk Rating** |
| Members’ interests | Conflict of interest  Harm 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 |  |  |
| 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 |  |  |  |
| 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 |  |  |
| **Description of Hazard** | **Who might be harmed and how, or issue** | **Existing Control Measures** | **Risk Rating** | **Further Actions** | **Date Actions Complete** | **Residual Risk Rating** |
| 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 |  |  |
| 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 |  |  |  |
|  |  |  |  |  |  |  |
| **Description of Hazard** | **Who might be harmed and how, or issue** | **Existing Control Measures** | **Risk Rating** | **Further Actions** | **Date Actions Complete** | **Residual Risk Rating** |
| Burial ground | Burials not completed to legal requirements  Grounds not correctly managed  Unsafe 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 | * Set up record keeping systems and document storage systems |  |  |
| Closed churchyard | Burials/cremations not completed to legal requirements  Grounds not correctly managed  Unsafe memorials | * 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 |  |  |  |
| 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 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 | * Councillors to take over Clerk duties * Business Continuity Policy * Business Continuity Plan | Low |  |  |  |
| Management | Poor relationships  Legal action  Unlawful decisions | * Employment Policies reviewed and adopted annually | Low |  |  |  |
| Knowledge | Actions which may be unlawful, unwise, damaging | * Staff training * Training and Development Policy | 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** |
| **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 |  |  |  |
| 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 | Pavilion  Village 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 |  |  |  |
| **Description of Hazard** | **Who might be harmed and how, or issue** | **Existing Control Measures** | **Risk Rating** | **Further Actions** | **Date Actions Complete** | **Residual Risk Rating** |
| 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 | * 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**

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

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| **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 |