

Leafield Parish Council Risk Assessment March 2020					
Area	Description of Risk	Level Low/Med/High	Existing Control Measures	Recommended Further Actions	Residual Risk Level
Assets	Protection of physical assets	L	Pavilion and assets insured. Value increased annually by RPI. Fixed Asset Register includes all items and updated annually.	Update Fixed Asset Register following revaluation of lych gate	L
	Security of buildings, equipment etc	M	Limit distribution of keys for access to the Pavilion. The adjoining door to the gym allows access for Gym users through the Council's meeting area to access toilets and the kitchen. Village Hall security is the responsibility of the Village Hall Committee as part of their lease and suitable arrangements are in place. Clerk holds a key register for Pavilion front door, Gym Committee hold a register of Gym Members with key which includes access to the adjoining door to the rest of the Pavilion, Cllr Gina Pearce (also Chairman of Village Hall Committee) holds a register of Village Hall Keyholders and those given access to keysafe for hall use.	Clerk to review Pavilion keyholders list	M
	Maintenance of buildings etc	M	Extensive refurbishment work to the Pavilion during 2014 to create current facilities for Gym and Parish Council. Lease required for Gym Committee to determine responsibilities of each party. Village Hall Committee responsible for repairs and maintenance of hall as per their lease but Parish Council assist with costs.	Lease required for the Gym Committee as they now pay rent	L
	Protection and security of soft copy (computer-held) document and records	H	All documents held on the clerk's laptop which is password protected. All information backed up onto Live Drive cloud in case of PC failure. Councillors to have updated, more secure, email addresses following introduction of new website. Retiring Councillors asked to delete all Council documents on leaving their position.	None	L
Finance	Banking of cash/cheques not completed.	M	Receipt of cash or cheques by the Clerk is rare. Cash amounts usually under £10. Income is reported by the Clerk at each meeting. Internal controls checklist completed twice yearly by nominated councillor & Clerk.	None	L
	Banking - safety of investments	L	Accounts held in two separate banks accounts with established bank used by many parish councils. Internet banking set up with Clerk/RFO as administrator, expenditure approved at Council meetings then nominated councillor to approve on-line payments as signatory. Clerk holds debit card for up to £500.00.	None	L
	Risk of consequential loss of income	L	Adequate Insurance cover. All PC documents backed-up to Live Drive.	None	L
	Loss of cash through theft or dishonesty of Clerk	M	No petty cash float held. Cash amounts rarely received and usually under £10. Fidelity insurance cover in place.	None	L
	Financial controls and records not kept adequately or not in prescribed manner on PC laptop.	M	Monthly bank reconciliation prepared by the Clerk and checked by nominated councillor along with bank statement. All receipts and payments recorded on Money Manager by the Clerk. Two signatories on cheques. Internal and external audit. Realtime HRMC software information is backed up to Live Drive. Twice yearly internal controls which include random checks on Money Manager Cashbook entries.	None	L
	Comply with VAT Regulations	M	Advice obtained from specialist recommended by OALC during 2015. VAT claims calculated by the Clerk and submitted at least twice yearly. Evidence of claim submitted to council for signature. Internal auditor checks submissions.	None	L
	Sound budgeting to plan annual precept	L	The Clerk and Council conduct detailed review of year's receipts and payments and list predicted expenditure and projects for following year. Meetings take place during the autumn and a detailed budget and precept required are derived directly from this. Expenditure against budget reported to the Council each month.	None	L
	Complying with borrowing restrictions	L	Two loans currently planned and advice taken from OALC and PWLB on restrictions	None	L
Liability	Risk to third party, property or individuals	L	Public Liability Insurance in place. Open spaces and play areas checked at least monthly and recorded. Tree surveys undertaken at least every two years and recommendations acted upon. Trees investigated and action taken if necessary when damage reported. Clerk has H&S training and experience and aware of potential hazards.	None	L
	Legal liability as consequence of asset ownership (especially play area and skate park)	L	Public Liability Insurance in place. Weekly and monthly checks of playgrounds and skatepark with written records kept and Clerk has received training in Play Area Inspections. Annual checks by ROSPA of playgrounds and skateboard park. Any actions highlighted as a result of Clerk's or ROSPA inspections are acted upon to ensure equipment is fit for purpose. Tree surveys repeated every two years to ensure changes are monitored. Recommended actions from survey are completed.	None	L

	Deficiency in Health and Safety of burial ground and car park construction phases	M	Professionally qualified contractors employed to project manage both projects. Clerk is qualified in H&S to NEBOSH Diploma and Construction levels and able to critically review paperwork and practical activities on site.	None	L
Employer Liability	Comply with Employment Law	M	The Clerk has employment contract and job description. Membership of OALC and SLCC to seek advice when required.	None	L
	Comply with Pensions legislation	M	Clerk enrolled in Nest pension Jan 2019 and switching to LGPS in April 2020 following Council review.	None	L
	Comply with HMRC Requirements	L	HRMC payroll software used. Subscription to regular email advice from HMRC. Monthly payments sent to HRMC for employer's tax and NI. On-going advice received from OALC and the Clerk has attended parish council finance training courses. Internal and external auditor carry out annual checks.	None	L
	Safety of Staff and visitors	M	CCTV camera fitted to village hall which covers part of car park and access to Pavilion and UPS recently fitted to ensure continuation of recording following interruption in power supply. The Clerk undertakes regular site visits to check condition of area around the village hall and play area/recreation ground and these are recorded. Clerk and Councillors monitor car park potholes to determine safe use of car park and annual patching of potholes is carried out. Fire Risk Assessment in place for all areas from 2017.	Actions on FRA to be reviewed again by Clerk, with VH Committee and Playgroup to ensure that actions have been completed. Lights require fixing along fire exit route around rear of building, VH Committee have been requested to action. Review of FRA required but confirmation required of Village Hall future plans.	L
Legal Liability	Ensuring activities are within legal powers	L	Clerk clarifies legal position on any new proposal using reference material or advice from OALC. Legal advice is sought where necessary from OALC, SLCC or Wellers Hedleys Solicitors	Clerk to undertake training courses as required to ensure CPD is kept up to date and knowledge is current.	L
	Proper and timely reporting via the Minutes	L	The Clerk has received training in Parish Council minutes taking. Council meets twelve times a year and the Clerk circulates draft Minutes which are published on the website and noticeboards after councillor approval via email. Draft minutes are circulated to residents and county and district councillors with the next Agenda. Confirmed Minutes are published after approval at the following meeting. Signed Minutes are filed in the Minute Book kept by the Clerk.	None	L
	Proper document control	L	Leases, legal and archive documents are stored in the Pavilion in a locked metal cabinet. Ongoing correspondence and documents held at the Clerk's home. All information held on the PC is backed up regularly.	None	L
	GDPR	H	Suite of GDPR documents and policies created for LPC. Full GDPR audit ongoing on all hard and soft copy documents to ensure requirements are met. Councillors requested to delete PC info from their computer when leaving post.	Continue audit of hard and soft copy documents to ensure Document Retention Policy is met.	L
	Website Accessibility Regulations	M	New website created which is compliant and document library on-line is required to be compliant by Sept 20. Clerk has received training and is attending another webinar on creating accessible documents in April.	Clerk requires training on administration of new website from website provider. Work is required to add content to the new site before it can be launched. Old site will require subscriptions in 2020 if old content is to be retained. Time investment is required in first part of the year to ensure that old website content is migrated in time.	
	Burials in new burial ground not completed to legal requirements	M	Clerk has attended ICCM training course and has previous experience of cemetery management. Examples and advice sought from local burial providers and other Clerks. Membership of ICCM added to 2020-21 budget to ensure advice available.	Time investment required in order to ensure that correct infrastructure is in place to conduct legally compliant burials when construction phase is complete.	
Councillor propriety	Registers of Interests and gifts and hospitality in place	H	Register of Interests held by the Clerk and sent to WODC.	Gifts and hospitality register is required, although in practice would rarely (if ever) be used.	L

Adoped by Leafield Parish Council 08/04/2020