

Risk Assessment For Leaffield Parish Council

Risk Assessment Completed by: Anne Ogilvie, Clerk to the Parish Council
Date Completed: 09.11.2020 Risk Assessment Review Date: 09.11.2021

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	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Confirmation of grant receipt through bank statement Minuted report of monies received 	Low			
Budget		<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 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 nominated councillor against bank statement 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	<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>	<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 Payment list created and approved by Council 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	<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			

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Grants and donations	Monies improperly awarded or used	<ul style="list-style-type: none"> Council follows S137 legislation 	Low	<ul style="list-style-type: none"> Grants and Donations Policy 		
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 	Low	<ul style="list-style-type: none"> Clerk to undertake training courses as required to ensure CPD is up-to-date and knowledge is current 		
Minutes	Inaccurate records Inadequate storage	<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 Signed minutes are filed in Minute Book Full minute books stored at County Archive 	Low	<ul style="list-style-type: none"> Full minute books to be stored at County Archive 		
Employer Responsibilities	Non-compliance with employment law Non-compliance with Pension Regulations	<ul style="list-style-type: none"> Staff issued with employment contract and job description Staff registered with HMRC as employees Council have pension scheme. Staff enrolled in pension after probation period if meet criteria 	Low	<ul style="list-style-type: none"> Creation/review of employment policies 		
Members' interests	Conflict of interest	<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. 	Low	<ul style="list-style-type: none"> Create Gift and Hospitality Register 		

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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 Systems and website reviewed regularly to ensure FOI Scheme is being adhered to 	Low	<ul style="list-style-type: none"> Adoption of Freedom of Information Scheme 		
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	<ul style="list-style-type: none"> Completion of audit of hard and soft documentation as per Documentation 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 Pavilion 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 Value increased annually by RPI 	Low	<ul style="list-style-type: none"> Creation of asset location map with photographs 		
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	<ul style="list-style-type: none"> Review of Pavilion key holder list 		
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 		

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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 Pavilion or at Clerk's address Council Dropbox used to share council document 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	<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			
Burial ground	<p>Burials not completed to legal requirements</p> <p>Grounds not correctly managed</p>	<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 	Medium	<ul style="list-style-type: none"> Training for Clerk required Set up record keeping systems and document storage systems 		
Churchyard	<p>Burials/cremations not completed to legal requirements</p> <p>Grounds not correctly managed</p>	<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 including H&S inspections 	Medium	<ul style="list-style-type: none"> Training for Clerk required Set up record keeping systems and document storage systems 		

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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 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 Clerk Resignation of Clerk	<ul style="list-style-type: none"> Councillors to take over Clerk duties 	Low	<ul style="list-style-type: none"> Review/creation of Business Continuity Policy and Plan 		
Management	Poor relationships Legal action Unlawful decisions	<ul style="list-style-type: none"> Employment Policies reviewed and adopted annually 	Low	<ul style="list-style-type: none"> Review/creation of employment policies 		
Knowledge	Actions which may be unlawful, unwise, damaging	<ul style="list-style-type: none"> Staff training 	Low	<ul style="list-style-type: none"> Training and Development Policy 		
HEALTH AND SAFETY						
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			

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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	<ul style="list-style-type: none"> Village Hall Fire Risk Assessment review required Review of Pavilion H&S checks 		
Slips, Trips and Fall	Injury	<ul style="list-style-type: none"> Suitable stout, well-soled shoes for outdoor activities 	Low			
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			
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

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

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