

Risk Assessment for Spelsbury Parish Council

Risk Assessment Completed by: Anne Ogilvie, Clerk to the Parish Council

Date Completed: 01 July 2023 Risk Assessment Review Date: 01 July 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 precept receipt through bank statement Adequacy of precept through budget and budget monitoring Minuted agenda items for precept determination, 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 | 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 full 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 with 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 Changes reported to payroll company approved by designated Councillor Professional company used to run payroll Pay reports checked prior to salaries being paid Reports sent by payroll company Receipt of report received by Council Diary entry of payment dates HMRC payments made as required Receipt of HMRC RTI report 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 & bank reconciliation reviewed & 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 Financial Regulations followed Annual audit carried out by external auditor if receipts or payments are over £25,000 or by full council decision | 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 full council meeting Minimum of two councillor signatories on bank mandate Two signatures required on cheque payments 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 Internal financial controls undertaken at correct intervals Regular review of effectiveness of internal financial controls Cash amounts rarely received and low value Fidelity insurance cover in place Multiple quotations obtained for works where relevant Regular contract review Completed expense form checked by Clerk Completed expense form approved 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 an 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"> Grants and Donations Policy | Low | | | |
| Banking | Safety of investments | <ul style="list-style-type: none"> Accounts held with established banks Internet banking in place, access controls in place | 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 Reserves Policy | 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 adopted annually Acceptance of Office 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 conferences 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 filed in folder Minutes transferred to County Archive regularly | | | | |
| 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 WODC Gift and Hospitality Register in operation | Low | | | |

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| 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 Employment policies Council has pension scheme Staff enrolled in pension scheme after probation period if meet criteria | 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 Systems and website reviewed regularly to ensure FOI Scheme is being adhered to Freedom of Information Scheme adopted | 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 | | | |
| 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"> Archived documents stored in metal cabinet in Spelsbury Memorial Hall Archive minutes and financial documents stored in County archive 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 by councillor Repair and maintenance as required Adequate insurance level to match current asset register Insurance value increased as required | Low | | | |
| 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 | | | |

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| 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 metal cabinet at Spelsbury Memorial Hall, at County archive, or at Clerk's address Council Dropbox used to share council documents with councillors Access to council Dropbox 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 Monthly 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 Repair/maintenance work carried out 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"> Business Continuity Policy Business Continuity Plan Councillors to take over Clerk duties | 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"> Training and Development policy Staff training | Low | | | |
| 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 | | | |

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| 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"> First Aid kit accessible at Memorial Hall 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 | | | |
| 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

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 |
|--|--------------|--------------------------|----------------------|
| | 30.06.23 | Anne Ogilvie | Parish Clerk and RFO |