

## Risk Assessment for Spelsbury Parish Council

**Risk Assessment Completed by: Anne Ogilvie, Clerk to the Parish Council**  
**Date Completed: 29.10.20 Risk Assessment Review Date: 29.10.21**

Description of Hazard	Who might be harmed and how, or issue	Existing Control Measures	Risk Rating	Further Actions	Date Actions Complete	Residual Risk Rating
<b>FINANCE</b>		<ul style="list-style-type: none"> <li>Financial Regulations</li> <li>Standing Orders</li> </ul>	Low			
Precept	Precept not applied for Precept not received PC budget	<ul style="list-style-type: none"> <li>Diary entry of relevant dates to apply and receive precept</li> <li>Confirmation of precept application</li> <li>Confirmation precept receipt through bank statement</li> <li>Adequacy of precept through budget and budget monitoring</li> <li>Minuted agenda items for budget creation, budget monitoring, precept determination, precept receipt</li> </ul>	Low			
Parish Grant	Parish Grant not received	<ul style="list-style-type: none"> <li>Confirmation of grant receipt through bank statement</li> <li>Minuted report of monies received</li> </ul>	Low			
Salaries	Incorrect salary/hours/ or hourly rate paid  Incorrect deductions made  HMRC RTI failure	<ul style="list-style-type: none"> <li>Employee timesheet approved by designated Councillor</li> <li>Current rate of pay and changes approved by Council</li> <li>Changes reported to payroll company approved by designated Councillor</li> <li>Professional company used to run payroll</li> <li>Pay reports checked prior to salaries being paid</li> <li>Reports sent by payroll company</li> <li>Receipt of report received by Council</li> <li>Diary entry of payment dates</li> </ul>	Low			
Financial records	Inadequate or incorrect records	<ul style="list-style-type: none"> <li>Accounts updated at least monthly</li> <li>Current account bank balance, accounts update, budget monitoring and bank reconciliation reviewed and minuted at every full council meeting</li> <li>Bank reconciliation undertaken monthly</li> <li>Internal auditor review undertaken by council</li> <li>Review of effectiveness of internal auditor</li> <li>Completion of AGAR</li> <li>Financial Regulations followed</li> </ul>	Low			

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Financial controls	<p>Goods not supplied to Council after payment</p> <p>Invoice incorrectly calculated or recorded Incorrect payment made</p> <p>Fraud, theft, embezzlement</p> <p>Value for money, fairness</p>	<ul style="list-style-type: none"> <li>Quote, purchase order, delivery note and invoice checked</li> <li>Payment before order only to be made to approved suppliers</li> <li>Invoices checked prior to payment</li> <li>Monthly bank reconciliation carried out, "checksums" in accounts to monitor input accuracy</li> <li>Payment list created and approved by Council</li> <li>Minimum of two councillor signatories on bank mandate</li> <li>Two signatures required on cheque payments</li> <li>Two person process for bank transfers</li> <li>Cheque signatories check cheque details against invoice, initial invoice and cheque stub</li> <li>Bank transfer list made, checked against payment list and approved prior to payment.</li> <li>Internal financial controls undertaken at correct intervals</li> <li>Review of effectiveness of internal financial controls</li> <li>Multiple quotations obtained for works where relevant</li> <li>Regular contract review</li> </ul>	Low			
VAT	VAT not claimed within time limit for refund	<ul style="list-style-type: none"> <li>VAT element accounted for separately within accounting system</li> <li>VAT claimed at least on an annual basis after the end of the financial year</li> <li>Diary entry of relevant date to claim refund</li> </ul>	Low			
Grants and donations	Monies improperly awarded or used	<ul style="list-style-type: none"> <li>Grants and Donations Policy</li> </ul>	Low			
Bank reserves	May not be adequate to cover unexpected costs or delay in receipt of precept	<ul style="list-style-type: none"> <li>Council agreement of adequate reserve requirement</li> <li>Future reserve requirement considered during budget setting process, and minuted</li> </ul>	Low			
<b>ADMINISTRATION</b>		<ul style="list-style-type: none"> <li>Standing Orders</li> <li>Financial Regulations</li> </ul>				
Legal powers	Unlawful activity or decision making	<ul style="list-style-type: none"> <li>Standing Orders reviewed and adopted annually</li> <li>Financial Regulations reviewed and adopted annually</li> <li>GDPR policies reviewed and adopted annually</li> <li>Councillor Code of Conduct signed by every councillor</li> <li>OALC training available to councillors and staff covering legal powers</li> <li>Clerk has access to OALC, SLCC and other bodies to check legality of proposals and actions</li> <li>List of legal powers available at council meetings</li> </ul>	Low			

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Minutes	Inaccurate records	<ul style="list-style-type: none"> <li>Draft minutes issued to council prior to following meeting</li> <li>Minutes reviewed and approved by council, signed by Chairman at following meeting</li> </ul>	Low			
	Inadequate storage	<ul style="list-style-type: none"> <li>Signed minutes filed in folder</li> <li>Minutes transferred to County Archive regularly</li> </ul>				
Members' interests	Conflict of interest	<ul style="list-style-type: none"> <li>Register of Interest form completed by every councillor</li> <li>Register of Interest form updated if relevant change occurs</li> <li>Opportunity to declare interests at every meeting – minuted agenda item</li> <li>Councillors free to declare an interest at any point during a meeting, declaration minuted.</li> <li>Any potential conflict addressed at council meetings as required</li> <li>Monitoring Officer advice sought as required</li> </ul>	Low			
Transparency	Failure to comply with Code Failure to comply with ICO FoI Scheme	<ul style="list-style-type: none"> <li>Council website updated as required to contain correct information as required by current regulations</li> <li>Systems and website reviewed regularly to ensure FOI Scheme is being adhered to</li> </ul>	Low			
GDPR	Failure to comply with Regulations	<ul style="list-style-type: none"> <li>Data Protection Registration renewed annually</li> <li>GDPR policies and notices in place and reviewed annually</li> </ul>	Low			
Suppliers	Loss or damage due to performance	<ul style="list-style-type: none"> <li>Supplier review as part of supplier approval process</li> <li>Contract review process</li> <li>Financial checks undertaken if required</li> <li>Insurance, certifications and risk assessments requested as required</li> </ul>	Low			
<b>INSURANCE</b>						
Insurance	Management of risk to council – loss, damage, liability	<ul style="list-style-type: none"> <li>Annual review of adequacy of insurance cover, including asset and liability cover</li> <li>Review of insurance cover for any new activity and change made as required</li> </ul>	Low			
<b>ASSETS</b>						
Protection	Loss or damage	<ul style="list-style-type: none"> <li>Asset register regularly updated and approved by Council, with photographs and map of asset positions</li> <li>Annual inspection of assets</li> <li>Repair and maintenance as required</li> <li>Adequate insurance level to match current asset register</li> </ul>	Low			
Third party protection	Risk or damage to third party property or individuals	<ul style="list-style-type: none"> <li>Adequate Public Insurance Liability</li> <li>Repair and maintenance as required</li> </ul>	Low			
Maintenance	Reduced value of assets	<ul style="list-style-type: none"> <li>Supplier approval process to ensure suitably qualified contractors carry out maintenance and repairs</li> </ul>	Low			

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<b>EMPLOYEES</b>						
Working at home	Person may suffer ill health, injury or personal attack	<ul style="list-style-type: none"> <li>• Visits from members of the public to be strictly controlled</li> <li>• Work-station assessment to be carried out following HSE guidelines</li> <li>• Display screen equipment assessment to be carried out following HSE guidelines</li> </ul>	Low			
Absence	Long term sickness or absence by Clerk Resignation of Clerk	<ul style="list-style-type: none"> <li>• Business Continuity Policy</li> <li>• Business Continuity Plan</li> </ul>	Low			
Management	Poor relationships Legal action Unlawful decisions	<ul style="list-style-type: none"> <li>• Employment Policies reviewed and adopted annually</li> </ul>	Low			
Knowledge	Actions which may be unlawful, unwise, damaging	<ul style="list-style-type: none"> <li>• Training and Development policy</li> <li>• Staff training</li> </ul>	Low			
<b>HEALTH AND SAFETY</b>						
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"> <li>• Health and Safety Policy</li> <li>• Second person (staff/councillor/member of family) informed of location and start/end times of task</li> <li>• Councillors to take on duties until Clerk recovered</li> <li>• Charged mobile phone to be carried at all times when lone working</li> </ul>	Low			
Violence and aggression	Person may sustain physical or verbal attack	<ul style="list-style-type: none"> <li>• Staff/councillor to avoid meeting members of public in remote locations on a one-to-one basis, particularly when handling complaints</li> <li>• Public invited to speak at council meetings in order that issues and complaints are dealt with as a group</li> </ul>	Low			
Manual handling	Physical injury from incorrect lifting or unplanned lift	<ul style="list-style-type: none"> <li>• Small items only are lifted on an irregular basis</li> <li>• Larger tasks carried out by trained, competent contractors</li> <li>• Higher risk tasks to be individually risk assessed prior to carrying out, and suitable safety measures taken</li> </ul>	Low			
Work at height	Injury from fall from height	<ul style="list-style-type: none"> <li>• Minimal low-level use of ladders</li> <li>• Higher risk tasks are carried out by competent, trained contractors</li> <li>• Ladders checked regularly for deterioration and rectified</li> </ul>	Low			
Electric shock	Shock from faulty electrical equipment or wiring	<ul style="list-style-type: none"> <li>• All electrical works carried out by competent electrical contractors</li> <li>• Council owned portable equipment PAT tested/checked by competent person</li> </ul>	Low			
First aid emergency	First aid required	<ul style="list-style-type: none"> <li>• First Aid kit accessible at Memorial Hall</li> </ul>	Low			
Driving/travelling	Person may suffer injury or be involved in collision with third party	<ul style="list-style-type: none"> <li>• Minimal driving required for tasks within the parish</li> <li>• Drivers must be competent, hold adequate insurance, be in good general state of health and not drive when tired</li> <li>• Vehicles must be well maintained and subject to statutory checks</li> </ul>	Low			

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Slips, Trips and Fall	Injury	<ul style="list-style-type: none"> <li>Suitable stout, well-soled shoes for outdoor activities</li> </ul>	Low			
<b>EVENTS AND ACTIVITIES</b>						
Council activities	Specific risk linked to activity	<ul style="list-style-type: none"> <li>Specific risk assessments carried out prior to event or activity</li> <li>Correct insurance in place prior to event or activity</li> </ul>	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"> <li>COVID-19 risk assessment updated as required to follow current government guidance</li> <li>COVID-19 Employer risk assessment updated as required to follow current government guidance</li> <li>General reserves available to cover late receipt of precept</li> <li>Budget monitoring shows spending compared to receipts</li> </ul>	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

	Date created	Carried out by (Name)	Signature	Job Title	Approved by	Signature	Title
	29.10.20	Anne Ogilvie		Parish Clerk and RFO	Simeon Harvey		Chairman