

# Risk Assessment

## For Chadlington Parish Council

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

**Date Completed: 09.03.2022 Risk Assessment Review Date: 09.03.2023**

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	<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 precept determination and 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			
Income	Allotment rent not receives	<ul style="list-style-type: none"> <li>Invoices raised and record kept of monies received</li> </ul>	Low			
Budget	Overspending Unauthorised spending	<ul style="list-style-type: none"> <li>Minuted agenda items for budget creation and budget monitoring</li> <li>Draft budget created showing previous actuals and predictions</li> <li>Budget discussions in autumn to discuss plans</li> <li>Budget approved by full council</li> <li>Budget monitoring report presented to council at least quarterly</li> </ul>	Low			
Loans	Compliance with restrictions, repayments	<ul style="list-style-type: none"> <li>Legal advice and advice from appropriate bodies sought before and during decision making</li> <li>Budget item to ensure repayments are included within council budget and precept</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>Professional company used to run payroll</li> <li>Pay reports checked prior to salaries being paid</li> <li>HMRC payments made as required</li> <li>Reports sent by payroll company</li> <li>Diary entry of payment dates</li> <li>Receipt of HMRC RTI report received by council</li> </ul>	Low			

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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 and checked by nominated councillor against bank statement</li> <li>Internal auditor instructed annually</li> <li>Internal auditor review undertaken by council</li> <li>Review of effectiveness of internal auditor</li> <li>Completion of AGAR</li> <li>Annual audit carried out by external auditor</li> <li>Financial Regulations followed</li> </ul>	Low			
Financial controls	<p>Goods not supplied to Council after payment</p> <p>Invoice incorrectly calculated or recorded 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"> <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 at full council meeting</li> <li>Majority of receipts transferred into bank account electronically</li> <li>Cheque or cash receipts rare and low value</li> <li>All receipts received reported at council meetings</li> <li>Minimum of two councillor signatories on bank mandate</li> <li>Two signatures required on cheque payments</li> <li>Cheque signatories check cheque details against invoice, initial invoice and cheque stub</li> <li>No petty cash float held</li> <li>Cash amounts rarely received and usually under £10</li> <li>Fidelity Insurance cover in place</li> <li>Multiple quotations obtained for works where relevant</li> <li>Regular contract review</li> <li>Completed expense form checked by Clerk</li> <li>Completed expense form approved by council before payment</li> </ul>	Low	Internal financial control system to be put in place		

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VAT	VAT misclaimed or 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 annual basis</li> <li>Evidence of claim submitted to council</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>Council follows S137 legislation</li> </ul>	Low	Approve Grants and Donations Policy		
Banking	Safety of investments	<ul style="list-style-type: none"> <li>Accounts held with established bank</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	Approve Reserves Policy		
<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>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> <li>Clerk attends training and conference to ensure CPD is up-to-date and knowledge is current</li> </ul>	Medium	Approve GDPR policies Approve Code of Conduct		
Minutes	Inaccurate records  Inadequate storage	<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> <li>Signed minutes are filed in Minute Folder</li> </ul>	Low	Historic minutes to be transferred to county archive		
Employer Responsibilities	Non-compliance with employment law  Non-compliance with Pension Regulations	<ul style="list-style-type: none"> <li>Staff issued with employment contract and job description</li> <li>Staff registered with HMRC as employees</li> <li>Pension Regulator entries updated as required</li> <li>Staff enrolled in pension after probation period if meet criteria</li> </ul>	Medium	Approve Employment policies		

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Members' interests	Conflict of interest Harm to authority's public reputation	<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> <li>Copy of Register of Interest form kept by Council.</li> <li>Copy of Register of Interest form held by WODC.</li> </ul>	Low	Create Gift and Hospitality Register		
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>	Medium	Approve Freedom of Information Scheme		
GDPR	Failure to comply with Regulations	<ul style="list-style-type: none"> <li>Data Protection Registration renewed annually</li> </ul>	Medium	Approve GDPR policies and notices		
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			
Document control	Loss or damage	<ul style="list-style-type: none"> <li>Leases, legal and archive documents stored in locked metal cabinet in Memorial Hall, or at Clerk's address</li> <li>Current documents stored at Clerk's address</li> <li>Computer documents backed up regularly</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> <li>Public Liability insurance in place.</li> </ul>	Low			
<b>ASSETS</b>						
Protection of physical assets	Loss or damage	<ul style="list-style-type: none"> <li>Asset register regularly updated and approved by Council</li> <li>Annual inspection of assets</li> <li>Repair and maintenance as required</li> <li>Adequate insurance level to match current asset register</li> <li>Value increased annually by RPI</li> </ul>	Low	Create asset location map with photographs Undertake asset inspection		

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Security of buildings and equipment	Loss or damage	<ul style="list-style-type: none"> <li>Memorial Hall security responsibility of Memorial Hall Committee</li> </ul>	Low			
Maintenance of buildings		<ul style="list-style-type: none"> <li>Memorial Hall Committee responsible for Memorial Hall maintenance</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			
Protection and security of soft and hard copy documents	Theft or loss of information, financial records	<ul style="list-style-type: none"> <li>Council laptop password protected, with security software</li> <li>Cloud backup of council documents</li> <li>Hard copy documents stored in locked cabinet or at Clerk's address</li> <li>Council Dropbox used to share council documents with councillors</li> <li>Retiring councillors requested to delete/destroy/return any council documents in their possession</li> </ul>	Low			
Play areas	Loss or damage, risk or damage to third parties	<ul style="list-style-type: none"> <li>Correct insurance in place</li> <li>Weekly inspection of play areas, written record kept</li> <li>Play area inspection results reported at council meetings for actions to be agreed</li> <li>Dangerous/unsafe equipment to be cordoned off and photo taken as evidence of closure</li> <li>Annual inspection carried out by RoSPA qualified inspector</li> <li>Works carried out as required</li> </ul>	Low			
Tree maintenance	Loss or damage, risk or damage to third parties	<ul style="list-style-type: none"> <li>Biennial tree survey by qualified inspector</li> <li>Regular inspections by council</li> <li>Works carried out as required</li> </ul>	Low			

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Defibrillators	Loss or damage	<ul style="list-style-type: none"> <li>Regular inspections with written report</li> <li>Replacement of parts as required</li> </ul>	Low			
<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 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>Councillors to take over Clerk duties</li> </ul>	Low	Approve Business Continuity Policy Create Business Continuity Plan		
Management	Poor relationships Legal action Unlawful decisions	<ul style="list-style-type: none"> <li></li> </ul>	Low	Approve draft Employment Policies		
Knowledge	Actions which may be unlawful, unwise, damaging	<ul style="list-style-type: none"> <li>Staff training</li> <li></li> </ul>	Low	Approve Training and Development Policy		

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<b>HEALTH AND SAFETY</b>				Approve Health and Safety Policy		
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>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 or nominated Councillor 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>Clerk/councillors to carry or have access to first aid kit if deemed necessary for activity</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			
Council owned/managed properties	Memorial Hall	<ul style="list-style-type: none"> <li>Correct insurance, policies and risk assessments managed by Memorial Hall Committee</li> </ul>	Low			
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			

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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

### Risk Matrix

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

<sup>13</sup>	Date created	Carried out by (Name)	Signature	Job Title	Approved	Signature	Title
	09.03.2022	Anne Ogilvie		Parish Clerk and RFO			Chairman