

# KINGSTON BAGUIZE WITH SOUTHMOOR PARISH COUNCIL, RISK ASSESSMENT

Adopted at meeting of 2 November 2020

To be reviewed November 2021

This risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the parish council to identify all potential inherent risks. The parish council, based on a recorded assessment, will take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible.

This document has been produced to enable Kingston Bagpuize with Southmoor Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

Subject	Risk(s) Identified	H/M/L	Management / Control of Risk	Responsibility	Recommendation
<b>FINANCE AND MANAGEMENT</b>					
<b>Precept</b>	Adequacy of the precept in order for the parish council to carry out its statutory duties	L	To determine the precept amount required, the parish council regularly receives budget reviews throughout the year and at the time the precept amount is considered, the parish council receives a budget report showing actual position and projected position to the end of the year and indicative figures/costings obtained by the clerk. With this information, and with consideration of any future projects, the parish council determines the amount of precept required for the following financial year. The budget is agreed at the January parish council meeting and the clerk completes and submits the precept request form to VWHDC. The clerk advises the parish council when the precept monies are received, and this is minuted.	Council / Clerk	Existing procedure adequate
<b>Other Income</b>	Not paid /received	L	Clerk to check regularly for payment of expected income such as grants and CIL monies.	Clerk	Existing procedure adequate
<b>Financial Records</b>	Inadequate records	L	The council has financial regulations which sets out the requirements.	Clerk / Council	Existing procedure adequate
	Financial irregularities	L			

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<b>Banking</b>	Inadequate checks	L	The council has financial regulations which set out banking requirements.	Clerk /Council	Existing procedure adequate
	Fraud	L			
	Lack of signatories	L			
<b>Cash</b>	Loss through theft or dishonesty	L	The council has financial regulations which sets out the requirements.	Clerk	Existing procedure adequate
<b>Reporting and Auditing</b>	Information / communication	L	Financial information is a regular agenda item and discussed/reviewed and approved at each meeting.	Council / Clerk	
	Lack of transparency / errors	L	Financial management statement produced and examined by finance committee regularly. Statement includes expenditure against budget and a breakdown of receipts and payments.	Clerk / Council	Existing procedure adequate
<b>Best value accountability</b>	Work awarded incorrectly	L	Normal parish council practice would be to seek, if possible, more than one quotation for any work to be undertaken. For major work a minimum of three competitive tenders would be sought. Project specification are produced for significant tenders as part of the tender process. If problems are encountered with a contract the clerk or a nominated Councilor would investigate the situation and report to the council.	Clerk / Council	
	Overspend on services	L	No work is carried out without approval at a council meeting.	Council	
<b>Burial Ground</b>	Grave allocation	L	The council has rules and regulations for the burial ground which sets out the requirements.	Clerk / Council	Existing procedure adequate
	Invoices / fees to undertakers	L	Invoices issued by clerk; written records kept of all transactions	Clerk	
	Auditing and governance	L	Council undertakes internal and external independent audits.	Council	
<b>Salaries</b>	Salary paid incorrectly, including incorrect hours and/or rate of pay	L	Payroll outsourced; employees keep detailed monthly timesheet signed by chairman which are sent to the payroll provider. The payroll provider receives authorisation from council regarding an employee's salary scale and contracted hours. (Clerk currently only employee).	Council	Existing procedure adequate
	Unpaid Tax to Inland Revenue	L			

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<b>Pensions</b>	Failure to comply with pension legislation	L	Council to ensure new employees are signed up to a workplace pension if the level of salary requires it.	Council/Clerk	Existing procedure adequate
	Incorrect pension contributions	L	Pension contributions advised by payroll company and authorised by the council. Clerk to ensure monthly completion of pension documentation/contribution payment to provider (OCC)	Council / Clerk	Existing procedure adequate
<b>Financial Regulations</b>	Not complied with	L	The council has financial regulations policy which sets out the requirements.	Council	Existing procedure adequate
<b>VAT</b>	Reclaiming/charging	L	The council has financial regulations which set out the requirements.	Clerk / Council	Existing procedure adequate
<b>Employees</b>	Loss of the clerk through long term illness, resignation, or misconduct	L	Measures have been implemented so all records are held in a central office and/or cloud storage attended by the clerk. The chairman always has access to the office and a list of passwords, including for council's OneDrive account. Clerk to keep updated 'Procedures Manual' in case of absence. Temporary replacements for sickness sought using OALC. Vacancy roles filled using recruitment process.	Council / Clerk	Existing procedure adequate
	Specific task training needs	L	Training sources and budget available	Council	
	Fraud by staff	L	Requirements of fidelity guarantee insurance adhered to with regards to fraud.	Council	
	Health & Safety	M	All employees to be provided with adequate direction and safety equipment, where appropriate to undertake their roles. Health & safety policy regularly reviewed.	Council	
<b>Grants &amp; Support</b>	No power to pay	M	Available power to be ascertained by clerk and minuted	Council / Clerk	Clerk to verify
	Agreement of council to pay	L	Application form to be completed and minuted agreement from council obtained	Council	Updated procedure
	Conditions not complied with		Use reasonable condition. Request update and confirmation from recipient.	Clerk	Updated procedure
	Cheques and invoices	M	Payments only to be made to official bank account of payee according to the council's grants & donations policy.	Clerk	New policy in place (2020)
	Invoice at agreed rate	L	Clerk to check and consider budget	Clerk	RFO to verify

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<b>Cllrs Allowances</b>	Cllr overpaid	M	Claim form to be completed and receipts provided. Item will be approved by the council and minuted.	Council	Existing procedure adequate
<b>Election Costs</b>	Inadequate funds available	L	Budget item to cover costs to be retained	Council	Existing procedure adequate
<b>Training</b>	Lack of training can lead to incorrect decisions being taken	L	The clerk should be provided with relevant training, reference books and access to assistance and legal advice required to carry out the role. Parish councillors should also be provided with training wherever applicable (whether new or refreshers).	Council	Regular review to be carried out
	Training Records	L	Parish council to maintain a training matrix for employees and councillors	Clerk	Establish a training matrix
<b>Risk Assessments</b>	Review and amendment	L	All risk assessments will be reviewed annually and amended as necessary by the clerk. On its anniversary each RA will be presented to the council in meeting for adoption, irrespective of whether the RA has been revised or not. Required by internal audit.	Clerk	Existing procedure adequate Clerk to keep diary note
<b>GDPR Compliance</b>	Council non-compliant	M	The council has a GDPR policy which sets out the requirements.	Clerk / Council	GDPR policy will be updated following the recent change in legislation.
<b>Members' Interests</b>	Conflict of interest	L	Declarations of interest by members at parish council meetings is a regular agenda item to remind members of their duty.	Councillors	Existing procedure adequate
	Register of Members' Interests	M	Register of members' interests' forms reviewed annually. Councillors notify the clerk of any changes throughout the year.	Councillors / Clerk	Existing procedure adequate Regular reminders by Chairman
<b>Minutes Agendas Notices Meetings</b>	Accuracy and legality	L	Minutes and agenda are produced in the prescribed manner by the clerk and adhere to the legal requirements. Minutes are approved and signed at the next council meeting. Agenda displayed according to legal requirements.	Clerk	Existing procedure adequate
	Conduct at meeting	L	Rules for conduct at council meetings is set out in the standing orders and managed by the chairman.	Council / Clerk	Existing procedure adequate

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<b>PHYSICAL ASSETS</b>					
<b>Assets</b>	Loss or damage	L	An annual review of assets is undertaken for insurance provision, storage and maintenance purposes	Council / Clerk	Existing procedure adequate
	Risk/damage to third parties / property	L			
<b>Maintenance</b>	Poor performance of assets or amenities	M	All assets owned by the parish council are regularly reviewed, inspected, and maintained as required. All repairs and relevant expenditure for any repair is actioned/authorised in accordance with the current procedures of the parish council and budgeted for. Assets are insured.	Council / Clerk	Existing procedure adequate
	Risk/Damage to third parties/property	M			
<b>Meeting Location</b>	Adequacy	L	The parish council's meetings are held in the village hall, where the parish council's office also lies. The premises are maintained by the Village Hall Committee (trustees) and are considered to be adequate for the clerk, councillors and the general public who attend from health & safety, disability discrimination and comfort aspects.	Council / Clerk	Existing location adequate
	Health & Safety	L			
<b>Trees</b>	Trees or branches posing a safety problem to the public where unrestrictive right of access is available	M	A biennial inspection and register of trees carried out by a tree surgeon. Regular inspection by councillors and clerk. Purchase of expertise as required for problem areas. Public liability insurance provided.	Council / Clerk	Existing procedure adequate
<b>Parish Records Paper and Electronic</b>	Loss through theft, fire, damage, or corruption of computer	M	Electronic records are stored using OneDrive cloud storage. Paper records are stored in either locked cupboard or filing cabinet in office.	Clerk	Minute books to be sent to county council every few years for archiving