



Risk Assessment April 2018

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the Parish Council to identify any and 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 practically possible.

This document enables Ogbourne St George Parish Council to assess the risks it faces and satisfy itself that it has taken adequate steps to minimise them.

Adopted by Full Council on 10 May 2018 – minute reference: FCXX/18

FINANCIAL AND MANAGEMENT

Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Precept	Adequacy of precept in order for the Council to carry out its statutory duties	L	To determine the precept amount required, the Council regularly receives budget updates, financial statements and bank reconciliation from the Clerk. At the precept meeting Council receives a budget report, including actual position and projected position to the end of the year and indicative figure or costings obtained by the Clerk. With this information the Council maps out the required monies for standing costs and projects for the following year and applies specific figures to budget heading, the total of which is resolved to be the precept amount to be requested from	Existing procedure adequate when budget and precept submitted together in January meeting. The Parish Council will maintain a target of <i>at least</i> three months operating costs in its financial reserves.



			Wiltshire Council. The figure is submitted by the Clerk electronically. The Clerk informs Council when the monies are received.	
Financial Records	Inadequate records. Financial irregularities	L L	The Council has Financial Regulations that set out the requirements	Financial Regs to be reviewed 2018/19
Bank and banking	Inadequate checks Bank mistakes	L L	The Council has Financial Regulations that set out the requirements	Financial Regs to be reviewed 2018/19
Reporting and auditing	Inadequate information and communication	L	Financial information is a regular item and discussed/reviewed and approved at each meeting.	Existing procedure adequate
Grants	Failure to understand, seek secure and spend grants	L	The Parish Council does not presently have any Grants. In the event that they do they following will apply: Regular financial reporting to the Parish Council by the Clerk	Procedure would be invoked if requested
Charges – rents	Payment of rents	L	The Parish Council does not presently collect rents	Procedure would be invoked if requested
Grants and support payable	Power to pay Authorisation of Council to pay	L	The Parish Council does not presently pay Grant. In the event that they do the following will apply: All such expenditure goes through the required council process of approval, minuted and listed	Procedure would be invoked if requested



Value for money/accountability	Work awarded incorrectly. Overspend on services.	L M	Normal Parish Council practice would be to seek , if possible, more than one quotation for any substantial work to be undertaken. For major work competitive tenders would be sought. If problems encountered with a contract the Clerk would investigate the situation and report to the Council.	Existing procedure adequate Financial Regs to be reviewed 2018/19
Salaries and associated costs	Salary paid incorrectly. Unpaid Tax to Inland Revenue	L	The Parish Clerk presents salary and expense payments, including the amount owing to HMRC for formal approval at Council meetings.	Reports to HMRC available for inspection.
Employees	Fraud by Staff and Parish Councillors Health and Safety	L L	Requirement of Fidelity Guarantee insurance adhered to with regards to fraud. The Clerk has PPE if required to work off site	Existing procedures adequate. Monitor Health and Safety requirements and insurance annually. Review H&S risk assessment as and when required.
VAT	Reclaiming	L	VAT is reclaimed up to twice a year by the Clerk and reported to the Council	Procedure adequate
Annual Return	Submit complete and approve within time limits	L	Annual Return is completed and submitted to council for approval and signature by the Chairman. It is submitted to the Internal Auditor for completion and sign off within	Existing procedures adequate. The Parish Council will resolve its exemption



			the set time limit.	from External Audit procedures at the beginning of the new financial year 2018/19.
Legal Powers	Illegal activity or payments	L	All activity and payment within the power of the Parish Council be resolved at Full Council meetings, including reference to the power where appropriate.	Existing procedures adequate
Minutes/agendas/Notices/Statutory Documents	Accuracy and legality	L	Minutes and agendas are prepared in accordance with legislation. Agendas are prepared in time to give the three clear days' statutory notice and displayed within the legal requirement. Draft minutes of meeting are produced and on the website and noticeboard within 14 days of the meeting. Minutes are signed at the following council meeting. The business on the agenda is managed by the Chair and the Clerk offers legal advice where required at the meeting.	Existing procedures adequate. Members abide by their own adopted code of conduct.
Members interests	Conflicts of interest Register of Members' interests	L M	Declarations of interest by members are made at each council meeting (where necessary). An agenda item also prompts members to do so.	Existing procedure adequate
Insurance	Adequacy Cost	L L	An annual review is undertaken of all insurance arrangements. Employers and Employee	Existing procedure adequate. Insurance reviewed annually



	Compliance Fidelity Guarantee	L M	liabilities a necessity and within policies. Ensure compliance measures are in place. Fidelity checks in place.	
Data Protection	Policy Provision	L	The Parish Council does not have to register with the ICO	The Clerk is currently working towards compliance with the new GDPR legislation. Policy to be approved by council in the new financial year 2018/19 ACTION
Freedom of Information	Policy Provision	M	The council will be review its publication scheme. In the financial year 2017/18 there have been no FOI requests. Any request involve extra work for the Clerk and there is provision in the budget to cover payment for additional hours.	Monitor and review publication scheme. Monitor requests for FOI and the Clerk will report to council.
Transparency and accountability	Policy Provision	M	The new transparency code for Smaller Authorities in accordance with the Local Audit and Accountability Act 2014	Will review if any implications from GDPR legislation

PHYSICAL EQUIPMENT OR AREAS

Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Assets	Loss or damage Risk/damage to third	L	An annual review of assets is undertaken for insurance provision	Existing procedure adequate



	party (ies) property	L		
Maintenance	Poor performance of assets or amenities	L	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for any repair is auctioned/authorised in accordance with the correct procedures of the Parish Council. Assets are insured.	Existing procedure adequate
Notice Board	Risk of damage	L	Councillors inspect the notice board when pinning up agendas and minutes. Any defects will be reported and attended to in accordance with council procedures.	Existing provision is adequate
Play Area Open Recreational spaces	Risk of damage Injury to users	M H	The play area is subjected to a ROSPA inspection each year. Any defects are assessed and repairs/remedial work carried out by an authorised play equipment installer. Visual checks are carried out periodically by members.	Ensure the ROSPA report is an agenda item and any defects reports and repaired correctly. The council should consider a more robust inspection regime using guidance from ROSPA. All inspections should be recorded in the event they are required as evidence in an insurance claim. ACTION
Council records – paper	Loss through: Theft, fire, damage or corruption of computer	L M	The Parish Council records are stored at the home of the Clerk and the Village Hall. Records include historical correspondences, minutes, insurance, bank records. Some records should be stored in a lockable fireproof cabinet.	Review storage records held at the Clerk's home. Otherwise provision is adequate. ACTION
Council records – electronic	Loss through: Theft, fire, damage or corruption of computer	L M	The Parish Council electronic records are stored on the Council's laptop and accessed via a third party server provider with all the necessary security and back up provisions.	Existing provision is adequate.