

## Scampton Parish Council Risk Assessment 2023

### Risk Assessment

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 is practically possible.

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

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 update information. At the precept meeting Council receives a budget report, including actual position and projected position to the end of the year and indicative figures 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 headings, the total of which is resolved to be the precept amount to be requested from West Lindsey District Council. The figure is submitted by the Clerk in writing. The Clerk informs the Council when the monies are received.	Existing procedure is adequate.

Financial Records	Inadequate records Financial irregularities Failure to comply with legislation	M	The Council has financial regulations which set out the requirements. Internal and external audit to offer advice as appropriate. Quarterly checking of accounts.	Existing procedure is adequate. Review Financial Regulations when necessary
Bank and Banking	Inadequate checks Bank mistakes, arithmetic errors. Failure to comply with Legislation. Cashbook/Account maintained up to date. Fraud	M	The Council has financial Regulations which set out banking requirements. All payments over £500 are to authorised at Full Council, minute and signed by two signatories. All entries verified against Bank Statement. Cashbook reconciliation signed by Chairman. Monthly reconciliation. Internal & external audits.	Existing procedure is adequate.
VAT	Reclaiming/charging	L	The Council has financial regulations which set out the requirements. The Council is not VAT registered but can claim VAT back.	Existing procedure is adequate
Insurance	Adequacy/Cost Assets adequately covered. Compliance. Damage or injury to 3 <sup>rd</sup> Party sustained by lack of maintenance of Council assets.	M	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities are a necessity within policies. Ensure compliance measures in place. Ensure all events are properly supervised. All repairs carried out by Scampton Parish Council volunteers are agreed and reported to the Council. Health and Safety risks addressed. Correct IPE available and First Aid Facilities/Equipment supplied.	Existing procedure is adequate. Insurance policies reviewed annually depending on contract in place.
Grants	Incorrect receipt of grant procedures. Incorrect expenditure/accounting.	L	The Council has financial regulations which set out the requirements and procedures for receiving grants. Grant expenditure is to be recorded in accordance with the financial regulations and grant source regulations.	Existing procedure is adequate.

Grants and support payments	Incorrect process/authorisation of payments.	L	All such expenditure goes through the required Council process of approval, minute and listed accordingly if a payment is made using Section 137, Powers of Expenditure.	Existing procedure is adequate.
Formally adopt Standing Orders	Failure to comply with Statutory Obligations. Failure to operate with transparency and accountability. Suffer loss of reputation or legal challenge. Council unable to deliver services.	M	Standing Orders are put before the Council, approved and regularly reviewed. The Council is quorate, and all decisions are made after due consideration and in the best interest of its residents. It is to comply with current legislation and acts in a professional manner. Standing Orders are to be available for public inspection at any time.	Existing procedure is adequate. Reviewed as required.
Formally adopt Financial Standing Orders.	Failure to align Financial Regulations with current legislation. Work awarded incorrectly. Overspending or unauthorised spend on services. Incorrect procurement procedures. Failure to meet budget. Inappropriate use of public money. Loss from 3 <sup>rd</sup> party damage on assets.		Council is to act legally at all times and within the Financial Regulations. Estimates/quotations obtained in accordance with Financial Regulations. Council to deliver best value (more than one quotation for any substantial work to be undertaken). Formally minute to commit to expenditure. For any major work, competitive tenders are to be sought. Contractual problems to be investigated by Clerk and reported to the Council. Ensure contractors are insured. To ensure contracts are not taken on with no future supporting funds. To ensure Council reserves are not depleted below recommended level. Correct auditing procedures.	Existing procedure is adequate.  Included in Financial Regulations.

Payments	Incorrect Invoicing. Incorrect payments. Late payments. Expenses incorrectly claimed. Theft or dishonesty.	M	Financial loss due to settlement of double or false invoiced. The Clerk is to ensure accuracy of work, timely payments with monthly payment list. Ensure banking statements and cashbook are regularly up to date with Council to accept financial reports monthly. Dual signatory process followed.	Existing Procedures adequate.
Reporting and Auditing	Incorrect information/communication. Risk of Bank errors. Loss of control on spending. Fraud.	M	Financial Information is a regular agenda item (Finance Statement) and discussed/reviewed and approved at each meeting. Reconciliation of all Bank records to Cashbook. All payments (except regular payments by the Clerk of up to £500) must be authorised, minute and signed by Two Bank Mandate Signatories. Finance Chairman reviews spend against budget.	Existing procedure is adequate.  Included in Financial Regulations.
Minutes agendas Notices and Statutory Documents	Failure in Accuracy and Legality. Failure to operate in fairness and accountability. Incorrect Business conduct.	L	Minutes and agendas are produced in the prescribed manner by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the following Council meeting. Minutes are posted on the Council website. Agenda is displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair. Clear audit trail of documents.	Existing Procedures adequate.  Member adhere to the Code of Conduct.
Members Interests	Conflict of Interests. Failure to register members interests. Failure to operate in fairness and accountability.	M	Declaration of interest by members of the Council at meetings. Register of members interest forms are reviewed regularly.	Existing Procedures adequate. Members take responsibility to update the register through the Clerk.

Annual Return	Not submitted within time limits.	L	Annual return to be completed and signed by the Council, submitted to the internal auditor for completion and signing. Then checked and sent to external auditor within correct time frames.	Existing Procedures adequate.
Legal Powers	Illegal activity or payments. Failure to operate in openness and accountability. Failure to comply with Statutory obligations.	M	Standing Orders are put before Council and reviewed regularly. All activity and payments within the powers of the Parish Council to be resolved at full Council Meetings, including reference to the power used under the Finance Section of agenda and the Monthly Finance Report. Members of registered bodies as a reference source. Regular updates from WLCC.	Existing Procedures adequate.
Council Records - Paper	Loss of document or audit trail through – Incomplete financial records. Loss of cheque book. Theft/ Fire or damage.	L	Records are stored at home by the Clerk. Digital records are kept online. Clerk is responsible for the safe keeping of the Cheque book. Records to be kept include historical correspondences, minutes, insurance and bank records. Members hold copies of historic agendas and minutes. Hard copies are destroyed after 6 years.	Damage (apart from fire and theft) is unlikely.  Existing Procedures adequate.
Council Records - Electronic	Loss through – Theft/Fire damage or corruption of computer. Data protection breach.		The Parish Council electronic records are stored on the Council Laptop held with the Clerk at home. Back ups of electronic data are done at regular intervals. The laptop is secured after use.	Existing Procedures adequate.

Website	<p>Virus attacks or malicious hackers. Parish Council host provider server unable to support. Out of date product. Misleading / inaccurate statements. Publication of personal data without prior consent that infringes data protection regulations. No social connectivity. Unable to read. Apply new government legislation.</p>	M	<p>Design a new website that is fit for purpose. Accessibility rules apply from 2020. Encryption and Protection in website security. Have full control of the website and be responsible for its content. The website should be easy to maintain and update. Google analytics to identify website usage. To ensure that the links provided by our website are to valid reputable sites not selling goods.</p>	<p>Full Compliance with data protection legislation. Disclaimer statement to be displayed on website. Website host is secure.</p>
Freedom of Information	<p>Incorrect policy and provision. Failure to comply with statutory obligations.</p>	L	<p>The Council will react as necessary to requests. The Parish Council is aware that if a substantial request was to be placed, this could create a number of additional hours worked for Council members. The Council can request a fee to supplement the additional hours. At this time the Council has not appointed a Data Protection Officer (DPO).</p>	<p>Monitor all requests made under Freedom of Information (FOI).</p>

## PAYROLL CONTROLS AND EMPLOYMENT LEGISLATION

Salaries and associated costs.	Salary paid without appropriate deductions. Staff over or underpaid. Unpaid tax / National Insurance. Unauthorised payments. Fraud. Failure to comply with legislation.	L	The Council has Financial Regulations which set out requirements and procedures.  All salary increases are approved by the Council at monthly meetings. Salaries are authorised , minute and signed by two signatories.	Existing procedure adequate.
Employees	Fraud by Staff Inadequate Health and Safety direction.	L	Requirements of insurance adhered to with regards to fraud. All employees are to be provided with adequate direction and safety equipment to undertake their roles.	Existing procedure adequate.  Monitor Health and Safety requirements and insurance annually.

## SAFEGUARDING ASSETS

Assets	Loss or damage. Risk / Damage to third party or property. Not all assets listed. Assets not adequately insured.	L	An annual review of assets is undertaken annually for insurance provision. All asset registers maintained and updated. All acquisitions and disposals are documented.	Existing procedure adequate.
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Maintenance Village Hall Bus Shelters. Benches. Lamp posts. Speed. indicator signs. Defibrillators. Refuse Bins. Public Footpaths	Poor performance of assets or amenities. Risk to public. Poor Housekeeping. Damage due to vandalism. Unsafe work by contractors or Council Volunteers. Natural deterioration and wear.	L	All assets owned by the Parish Council are regularly reviewed, inspected and maintained. All repairs and relevant expenditure for repair or maintenance is actioned / authorised in accordance with the correct procedures of the Parish Council. Assets are insured. Proper procedures followed in tender documents; risk assessed prior to work being carried out. All work to be inspected on completion. Annual Electrical inspection of Village Hall and PAT Testing. Reports from the general public on faults are recorded and actioned accordingly.	Existing procedure adequate.  The village Hall is owned by a Management Committee and copies/records of their building Insurance, public liability and maintenance records are to be obtainable by the Parish Council.
Notice Boards	Risk of Damage Out of date information. Deterioration	L	The Parish Council notice boards have no formal inspection procedures in place. It is checked when updating information. Any reports of damage by members of the public are dealt with by the Parish Council in accordance with correct procedures.	Existing procedure adequate.

#### HEALTH AND SAFETY


Councillors Activities	Claims made against an individual or council as a whole. Volunteers injure themselves or others during work.	M	Full insurance cover in place to cover negligence, libel or slander, corporate manslaughter and errors. Personal insurance cover within insurance policies.	Review cover within insurance policies and procedures annually.
Contractors and Volunteers undertaking	Inflicting injury (Directly or indirectly) on members of the public	M	Request Risk Assessments and where appropriate Method Statements.	Review regularly and on each project.



work in the Parish	whilst carrying out work.		Request contractor to carry Public Liability Insurance and ask for sight of Insurance Certificate prior to work commencing. Council have £10,000,000 Public Liability Cover.	
Public injury whilst using Parish Council assets.	Damaged assets due to poor maintenance or vandalism.	L	Regular visual inspections. Repairs to be carried out quickly when faults identified.	Review regularly and conduct annual maintenance.
Open spaces.	Risk to public. Public Abuse of the facility.	L	Issue a disclaimer notice that is clearly shown on entrance.	Existing procedure adequate.
Meeting Location	Claims made by Councillors or the Council as a whole. Injury sustained by Council members undertaking duties.	L	The Parish Council meetings are held in a venue considered to have the appropriate facilities for the Clerk, members and the general public. Full Insurance liability and personal accident.	Existing procedure adequate

Completed by - Tony Somerville (Risk Assessment Practitioner).

Signed



Date 26/07/23

Approved by - Christopher Bulteel (Chairman Parish Council).

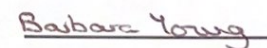
Signed



Date 3 Aug 23

Approved by - Barbara Young (Clerk – Parish Council).

Signed



Date 03/08/2023.

**Valid until – 01 June 2024**

Scampton Parish Council Risk Assessment 07<sup>th</sup> January 2023