

LEVINGTON & STRATTON HALL PARISH COUNCIL May 2019

Topic	Risk identified	Risk level H/M/L	Management of risk	Action
Precept	Application not submitted	L	Considered at January meeting & minutes - RFO to follow up & submission notified to Finance Group; SCDC would grant same amt as in prev year if not submitted	Diarise for PC meeting consideration Diarise to check receipt & monitoring by Finance Group
	Not paid by SCDC Inadequate amount	L M	Confirm receipt in bank a/c 6 mthly review of budget to actual by full PC; 1/4ly by Finance group	Diarise monitoring by Finance Group
Other income	Cash handling	L	Cash handling is avoided but where necessary appropriate controls are in place. A year's worth of expenditure is retained as a reserve.	Annual review of documented controls by full Council
	Cash banking	L	Check of bank statements & monthly bank reconciliation of statements to book balances monthly; two Cllr sigs on all cheques & invs; pre check by clerk	Review of reconciliations by Finance Group
Clerk's salary	Wrong hours/rate paid	M	Check of rate and hours worked	Review by two Councillors when agreeing payment
	PAYE status	M	The PC is registered as an employer with HMRC, PAYE applied to Clerk's salary bi-monthly from Payslip (SALC payroll services). Cheque for the PAYE authorised & drawn at each meeting.	Timesheet/invoice for Clerk's hours authorised & compared to payslip at each PC meeting as part of payment authorisation process.
Direct costs & overhead expenses	Goods not supplied to Council	M	Follow up of all orders	Approval check by Clerk/RFO.
	Invoice incorrectly calculated or recorded Cheque payable is excessive or to wrong party	L M	Check arithmetic on invoices & perform bank recs on monthly basis Two Councillors to sign all cheques & supporting invoice; initial chq stub	Clerk/RFO to check arithmetic on invoices; Two councillors to verify. Approval check by two councillors
VAT	VAT analysis	M	All items listed in bank reconciliation	Review by Finance Group
	Claimed within time limits	M	Agree Annual VAT Return submitted	Diarise review by Finance Group
Reserves - General	Adequacy of amount held	L	Consider at budget setting; level normally kept at approx total of one year's expenses; regular monitoring of income & expenditure against budget	Finance group review
	Adequacy of amount held	L	Consider at budget setting & review of accounts	Finance group review
Reserves - earmarked	Adequacy of amount held	L	Consider at budget setting & review of accounts	Finance group review

Topic	Risk identified	Risk level H/M/L	Management of risk	Action
	Unidentified earmarked or contingent liability	L	Review minutes	Finance group review
Assets	Loss, damage etc	M	Periodic inspection, update insurance & asset registers annual review	Diarise annual review by full PC
	Risk or damage to third party	M	Review adequacy of Public Liability cover	Diarise
Staff	Loss of key personnel: Clerk	L	Hours, health, stress, training, long term sick, early departure - risk monitored & managed as appropriate	Annual appraisal & review by a Parish Councillor
	Fraud	L	Fidelity guarantee value appropriately set	Council to review annually
Data	Insecure hardcopy storage and loss of computer records	M	1. Required hardcopy stored in locked cabinet and required digital data backed up regularly onto memory stick kept at a Parish Clerk's address 2. Key data shared with with parish councillors and minuted	Diarise plus audit and comply with 2018 Data Protection legislation
Loss	Consequential loss due to critical damage or third party performance	M	Review adequacy of insurance cover	Diarise
Maintenance	Reduced value of assets or amenities; third party injury	M	Annual maintenance inspection	Diarise & report to full PC
Legal powers	Illegal activity or payment	M	Educate Council as to their legal powers; facilitate Clerk to advise Council	Appropriate training
Financial records	Inadequate records	L	Periodic review by Fin group; internal & external audits	Diarise
Minutes	Accurate & legal	L	Review at following meeting	Diarise
Members' interests	Conflict of interest	M	Regular reminder of code; Declarations of interest to be documented/minuted & any conflict addressed as appropriate	Diarise
Website	1. Inappropriate access could lead to allegation of defamation 2. Monitor for compliance with Data Protection Act 2018	L	Management of website; password-controlled; restricted access; insurance cover for defamation	Periodic of website

LEVINGTON & STRATTON HALL PARISH COUNCIL

Topic	Risk identified	Risk level H/M/L	Management of risk	Action
Precept	Application not submitted	L	Considered at January meeting & minutes - RFO to follow up & submission notified to Finance Group; SCDC would grant same amt as in prev year if not submitted	Diarise for PC meeting consideration Diarise to check receipt & monitoring by Finance Group
	Not paid by SCDC	L	Confirm receipt in bank a/c	Diarise monitoring by Finance Group
	Inadequate amount	M	6 mthly review of budget to actual by full PC; 1/4ly by Finance group	
Other income	Cash handling	L	Cash handling is avoided but where necessary appropriate controls are in place. A year's worth of expenditure is retained as a reserve.	Annual review of documented controls by full Council
	Cash banking	L	Check of bank statements & monthly bank reconciliation of statements to book balances monthly; two Cllr sigs on all cheques & invs; pre check by clerk	Review of reconciliations by Finance Group
Clerk's salary	Wrong hours/rate paid	M	Check of rate and hours worked	Review by two Councillors when agreeing payment
	PAYE status	M	The PC is registered as an employer with HMRC, PAYE applied to Clerk's salary bi-monthly from Payslip (SALC payroll services). Cheque for the PAYE authorised & drawn at each meeting.	Timesheet/invoice for Clerk's hours authorised & compared to payslip at each PC meeting as part of payment authorisation process.
Direct costs & overhead expenses	Goods not supplied to Council Invoice incorrectly calculated or recorded	M	Follow up of all orders	Approval check by Clerk/RFO.
		L	Check arithmetic on invoices & perform bank recs on monthly basis	Clerk/RFO to check arithmetic on invoices. Two councillors to verify.
	Cheque payable is excessive or to wrong party	M	Two Councillors to sign all cheques & supporting invoice; initial chq stub	Approval check by two councillors
VAT	VAT analysis	M	All items listed in bank reconciliation	Review by Finance Group
	Claimed within time limits	M	Agree Annual VAT Return submitted	Diarise review by Finance Group
Reserves - General	Adequacy of amount held	L	Consider at budget setting; level normally kept at approx total of one year's expenses; regular monitoring of income & expenditure against budget	Finance group review
Reserves - earmarked	Adequacy of amount held	L	Consider at budget setting & review of accounts	Finance group review

Topic	Risk identified	Risk level H/M/L	Management of risk	Action
	Undertaken earmarked or contingent liability	L	Review minutes	Finance group review
Assets	Loss, damage etc	M	Periodic inspection, update insurance & asset registers annual review	Diarise annual review by full PC
	Risk or damage to third party	M	Review adequacy of Public Liability cover	Diarise
Staff	Loss of key personnel: Clerk	L	Hours, health, stress, training, long term sick, early departure - risk monitored & managed as appropriate	Annual appraisal & review by a Parish Councillor
	Fraud	L	Fidelity guarantee value appropriately set	Council to review annually
Data	Insecure hardcopy storage and loss of computer records	M	1. Required hardcopy stored in locked cabinet and required digital data backed up regularly onto memory stick kept at a Parish Clerk's address 2. Key data shared with parish councillors and minuted	Diarise plus audit and comply with 2018 Data Protection legislation
Loss	Consequential loss due to critical damage or third party performance	M	Review adequacy of insurance cover	Diarise
Maintenance	Reduced value of assets or amenities; third party injury	M	Annual maintenance inspection	Diarise & report to full PC
Legal powers	Illegal activity or payment	M	Educate Council as to their legal powers; facilitate Clerk to advise Council	Appropriate training
Financial records	Inadequate records	L	Periodic review by Fin group; internal & external audits	Diarise
Minutes	Accurate & legal	L	Review at following meeting	Diarise
Members' interests	Conflict of interest	M	Regular reminder of code; Declarations of interest to be documented/minuted & any conflict addressed as appropriate	Diarise
Website	1. Inappropriate access could lead to allegation of defamation 2. Monitor for compliance with Data Protection Act 2018	L	Management of website; password-controlled; restricted access; insurance cover for defamation	Periodic of website

**RISK ASSESSMENT:**

**GATE and JUBILEE BENCH on LEVINGTON VILLAGE FIELD**

The gate and bench, both owned by the Parish Council, were originally erected in different positions, but were brought together in their current locations in May 2018. The aim was to create a new entrance to and from the Village Field and make it suitable for wheel chair access.

Came & Co, the Parish Council insurers, have guaranteed liability cover if a Risk Assessment on this facility is passed by the Parish Council & reviewed annually.

The risk assessment was initially carried out by two experienced individuals, each working independently, one of whom has recently retired from running his own Health and Safety company.

RISK	DETAIL	IMPACT	LIKELIHOOD	TOTAL SEVERITY	ACTION	IMPACT	LIKELIHOOD	RESIDUAL SEVERITY
Injury from land profile	The land is level from gate to bench, but slopes away (3ft down) some 6ft in front and immediately to the right of the bench	3	2	6	Two strategically placed notices pegged into the ground: (BE AWARE OF SLOPE) (White on green)	3	1	3
Injury from passing traffic	Gate has been re-sited back from the pavement and at an angle to the road	5	2	10	Notice on gate-post on exit (White lettering on green background) (BE AWARE OF TRAFFIC)	5	1	5
Injury from slipping	Special matting has reduced risk	1	2	2	Not in use until grass has grown through matting	1	1	1
Injury using gate latch	No spring mechanism on gate	1	1	1				1
Lack of insurance cover	Cover is guaranteed if Risk Assessment is kept current	2	1	2	Put annual review on annual tasks list (i.e. when considering insurance)	2	0	0

Scale: 1 – 5 (Impact x Likelihood = Risk Severity)

IMPACT: 5 = Life threatening: 4 = Severe injury: 3 = Possible injury: 2 = Temporary hurt: 1 = Inconvenience: 0 = Negligible

# Risk Assessment for HMO92 Beacon Lighting and Gate Dedication, Leighton and Stratton Hall:

Location: CHURCH FIELD

on Saturday 21<sup>st</sup> April 2018

Hazard	Likelihood of occurrence	Severity	IMPACT	Action taken to avoid occurrence	Notices
Stranger Danger	1	5	5	Children must be accompanied by members of their family or another responsible adult	
Traffic	1	5	5	Parents to be responsible for their own children; event all to take place on Field; notices outside the Ship and Walnut Tree Cottage: Beware Pedestrians; access to field via Pilot's Way	Beware Pedestrians
Trips, slips and falls	2	2	4	Rough areas of grass to be mown before event; Organised event to take place on mown sections of Church Field. Ask attendees to bring Torches and to wear sensible footwear. First Aider to be present.	
Fire	1	3	6	Beacon to be gas-type. Two responsible persons to be i/c of beacon at all times, to wear appropriate clothing/gloves and to site it at a suitable distance from buildings. Cordon to be placed around beacon.	
Hypothermia	1	3	3	Attendees to be advised to dress appropriately for the weather	
Food poisoning	1	3	3	All refreshments optional and to be supplied by the Ship.	
Stings, scratches from nettles, brambles	2	1	2	Organised event will take place on mown sections of Church Field	

- 1 Minimal
- 2
- 3 Medium