

LAUNTON PARISH COUNCIL

Risk Assessment 2018 / 2019

Previous Review Date:

5 July 2018

Resolved by Council on:

5 July 2018

Next Review Date:

April 2019

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 Launton 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	Area of Risk	H / M / L	Management / Control of Risk	Review / Assess / Revise	Responsibility
1. Insurance	a. General adequacy	L	The insurance arrangements are reviewed fully on a three-year basis with interim annual checking. Review of risk and adequacy of cover (loss / damage, public liability, consequential loss and fidelity guarantee) should be conducted annually. Full review of renewal costs every three years – next 2019	Check limits annually and review full policy every three years	Clerk and Councillors
	b. Cost	L			
	c. Compliance	L			
	d. Public Liability (statutory)	L	Insurance at £12,000,000		Clerk and Councillors
	e. Employers Liability (statutory)	L	Insurance at £10,000,000		Clerk and Councillors
	f. Money	L	Insurance at £250,000		Clerk and Councillors

FINANCIAL AND MANAGEMENT					
Subject	Area of Risk	H / M / L	Management / Control of Risk	Review / Assess / Revise	Responsibility
			In transit £5,000 Private residence of member or employee £500 In custody or under supervision £5,000 In locked safe or strongroom £5,000 In locked receptacle other than strongroom £250		
	g. Fidelity Guarantee	M	Insurance at £250,000		Clerk and Councillors
	h. Property	L	Wall: £9,271.15 Mowers and Machinery: £2,387.49 War Memorials: £9,728.89 Gates & Fences: £4,993.44 Street Furniture: £29,754.66 Outside equipment: £1,422.09		Clerk and Councillors
	i. Libel and Slander	L	Insurance at £250,000 (excess greater – 10% of claim or £1,000 whichever is lower)	Consider an Excess Reserve	Clerk and Councillors
	j. Personal Accident	L	Insurance at £50,000 (capital sum), £200 (weekly sum)		Clerk and Councillors
	k. Excess	L	£250 to be set aside as a Reserve in case of claim		Clerk and Councillors
2. Precept	a. 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 year and	Review starting in December with budget process. Confirm precept requirement in January	Clerk and Councillors

FINANCIAL AND MANAGEMENT					
Subject	Area of Risk	H / M / L	Management / Control of Risk	Review / Assess / Revise	Responsibility
			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 Cherwell District Council. The figure is submitted by the Clerk in writing. The Clerk informs the Council when the monies are received.		
3. Budget Provision and Reserves	b. Insufficient available funds	L	A full budget needs to be submitted prior to the Precept request. This should include funds placed in reserve for future projects, a contingency fund and three months' running costs - £5,000	Existing procedure adequate	Clerk and Councillors
4. Best Value Accountability	c. Work awarded incorrectly	L	Normal Parish Council practise would be to seek, if possible, more than one quotation for any substantial work undertaken. For major work competitive tenders must be sought. If problems encountered with a contract, the Clerk would investigate the situation and report to the Council.	Procedure in Financial Regulations	Clerk and Councillors
	d. Overspend on services	M		Procedure in Financial Regulations	Clerk and Councillors

FINANCIAL AND MANAGEMENT					
Subject	Area of Risk	H / M / L	Management / Control of Risk	Review / Assess / Revise	Responsibility
5. Contracts and contractors	a. Maintenance contractors	M	Standing orders for award of contracts and capital expenditure. Initial contracts awarded for 12 months. Subject to satisfactory performance, subsequent contracts are for three years.	Report on performance and review when appropriate	Clerk and Councillors
6. Payroll and Salary	a. HMRC RTI Information – submit within time limits	L	The Clerk's salary payment should be entered on the RTI Tools software and uploaded to HMRC on a monthly basis Clerk adds date RTI Tools updated on salary sheet for inspection at monthly PC meeting	Current procedure adequate	Clerk / Councillor responsible for Internal Control
	b. HMRC End of Year Submission / P60 – submit within time limits	L	The Council must complete the End of Year Submission online within the HMRC timeframe	Current procedure adequate	Clerk / Councillor responsible for Internal Control
	c. Salary paid incorrectly	L	Salary agreed and paid at monthly PC Meeting. Councillors who sign cheques to sign salary sheet.		Councillor cheque signatories
	d. Unpaid tax to HMRC	L	Current Clerk is under the threshold, but additional payments would be monitored using the HMRC RTI Tools software		Clerk / Councillor responsible for Internal Control
7. Employees	a. Fraud by staff	L	Requirements of Fidelity Guarantee Insurance adhered to with regards to fraud.	Existing procedures adequate	Clerk and Councillors

FINANCIAL AND MANAGEMENT					
Subject	Area of Risk	H / M / L	Management / Control of Risk	Review / Assess / Revise	Responsibility
	b. Health and safety	L	All employees (currently the Clerk) to be provided adequate direction and safety equipment needed to undertake their role.	Monitor health and safety requirements and insurance annually	Clerk and Councillors
	c. Clerk resignation / sickness	L	Councillors may act in a temporary capacity at nil pay. Contingency required for advertising, sickness cover etc	Review contingency in budget annually	Clerk and Councillors
8. Bank and Banking	a. Inadequate checks		The Council has Financial Regulations which set out banking requirements	Financial Regulations to be reviewed ASAP	Clerk
	b. Bank mistakes		Monthly reconciliation	Existing procedure adequate	Clerk
	c. Cheque mistakes		Cheques to be written by the Clerk following inspection of the invoices and signed by two Councillors on production of the Payment Schedule agreed at the PC Meeting. Cheque, cheque counterfoil, invoice and schedule to be signed or initialled	Existing procedure adequate	Clerk and cheque signatories
	d. Credit references		The Bank performs credit references on cheque signatories	Existing procedure adequate	Bank
	e. Non-performance / delivery of third parties		Avoid pre-payments wherever possible. Vet suppliers thoroughly	Existing procedure adequate	Clerk and Councillors
9. Financial reporting	a. Information communication		Financial information is a regular agenda item (Finance Report) and discussed / reviewed and approved at each meeting		Clerk and Councillors
	b. Annual accounts	L	Accounts to be closed at Council Year End 31 March and final Statement	Existing procedure adequate	Clerk and Councillors

FINANCIAL AND MANAGEMENT					
Subject	Area of Risk	H / M / L	Management / Control of Risk	Review / Assess / Revise	Responsibility
			submitted to April / May Parish Council meeting for scrutiny and agreement. Clerk / RFO and Chairman to sign off.		
10. Financial Records	a. Inadequate records	L	The Council has Financial Regulations which set out the requirements	Existing procedure adequate	Clerk and Councillors
	b. Financial irregularities	L	The Council should have a Councillor responsible for Internal Control who inspects the finance records regularly. Any irregularities should be identified on inspection.	Recommend appointing a Councillor responsible for Internal Financial Control	Councillors
11. Grants	a. Receipt of grant	L	Clerk to ensure that the Grass Cutting Grant is received by August and to chase OCC if not received	Review annually	Clerk
	b. Payment of Grants and Power to pay using S137		Ensure that the donation is acceptable to pay under S137 or General Power of Competence. All such expenditure goes through the required Council process of approval, minuting and listing accordingly if a payment is made using S137 power of expenditure	Existing procedure adequate	Clerk and Councillors
12. Charges – rents receivable	a. Payment of rents	L	The Parish Council receives no rents, but does receive a contribution to the insurance from the Allotments		
13. VAT	a. Reclaiming	L	The Council will make at least one reclaim using the 126 form annually after the close of the year end provided the reclaim is for more than one calendar month and is over	Existing procedure adequate	Clerk

FINANCIAL AND MANAGEMENT					
Subject	Area of Risk	H / M / L	Management / Control of Risk	Review / Assess / Revise	Responsibility
			£100. The order must have been placed by the Council, the invoice made out to the Council and the payment made from Council funds.		
	b. Charging	L	The Council is not currently registered for VAT	Existing procedure adequate	
14. Audit	a. Annual Return - complete and publish within time limits	L	External Audit Annual Return completed and signed by the Internal Auditor and then completed and signed by the Chariman and Clerk / RFO before 30 June and published on the website. If the PC payments and receipts fall below £25,000 the PC may agree that there is no need for a Limited Assurance Review and that Exemption is acceptable; the Certificate of Exemption must be completed and sent to the External Auditor by 30 June. All paperwork must still be completed and published whether or not it is sent to the External Auditor. The PC may still have a Limited Assurance Review and the paperwork must be completed and sent to the External Auditor and	New procedures for year end 2017/18	Clerk and Chairman

FINANCIAL AND MANAGEMENT					
Subject	Area of Risk	H / M / L	Management / Control of Risk	Review / Assess / Revise	Responsibility
			published on the website in the usual way.		
	b. Public inspection of documents	L	By appointment only, at the Parish Hall or other convenient public place. For the safety of the Clerk, the public are welcome to inspect documents, but with a Councillor present.	Existing procedure adequate	Clerk and Councillors
	c. Internal Audit	L	Appoint an independent Internal Auditor	Existing procedure adequate	Councillors (with advice from Clerk)
	d. Review of Effectiveness of Audit	L	The Council must review its requirements of the internal Audit including scope, independence, competence, relationships and planning following the completion of the Internal Audit.	Existing procedure adequate	Council
15. Legal Powers	a. Illegal activity or payments	L	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 Finance Report.	Existing procedure adequate	Clerk and Councillors

FINANCIAL AND MANAGEMENT					
Subject	Area of Risk	H / M / L	Management / Control of Risk	Review / Assess / Revise	Responsibility
16. Minutes / agenda / Notices and Statutory Documents	a. Accuracy and legality	L	Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements including publishing on the Agenda and Minutes section of the Parish Council website (www.launton-pc.gov.uk). Minutes are circulated in advance of the meeting, approved and signed at the next full Council meeting.	Existing procedure adequate	Clerk
	b. Standing Orders	L	Adopted in February 2018	Revision now due to changes in legislation	Council
	c. Financial Regulations	L	Adopted in September 2010	Revise as soon as possible	Council
	d. Business conduct	L	Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chairman	Existing procedure adequate	Clerk and Chairman
17. Council Records	a. Paper	L	Loss through, fire, theft, damage. The Parish Council records are stored at the home of the Clerk and in the filing cabinets in the Parish Hall. Records include historical correspondences, minutes, insurance, bank records.	Damage (apart from fire) and theft is unlikely and so provision is adequate. Further archiving of papers in Parish Hall necessary.	Clerk and Council

FINANCIAL AND MANAGEMENT					
Subject	Area of Risk	H / M / L	Management / Control of Risk	Review / Assess / Revise	Responsibility
	a. Electronic	M	The Parish Council electronic records are stored on the Council's laptop in a Dropbox Cloud held with the Clerk at her home. The data is constantly backed up to Drobox in the Cloud and a physical backup is taken weekly. Sophos antivirus to be kept up-to-date	Existing procedure adequate	Clerk
18. Data Protection	a. Policy provision		The Parish Council is registered with the Information Commissioner	Existing procedure adequate	
	b. Data Protection Officer		Is not currently necessary	Review when systems have settled down	
	c. GDPR		Policies for Data Protection, Document Retention, Freedom of Information, Disclosure Log and Privacy Notice have been adopted and published	Review annually	Council
19. Freedom of Information and Environmental Information Regulations	a. Policy	L	The Council has a model publication scheme in place. To date there have been no requests under FOI or EIR	Existing procedure adequate	Clerk
	b. Provision		The Parish Council is aware that if a substantial request came in it could create a number of additional hours work.		Clerk / Council
20. Councillors	a. Losing a Councillor	L	When a vacancy arises there is a legal process to follow which leads to either a by-election or a co-option process. The more usual is a co-	A Councillor Vacancy procedure will be adopted	Clerk / Council

FINANCIAL AND MANAGEMENT					
Subject	Area of Risk	H / M / L	Management / Control of Risk	Review / Assess / Revise	Responsibility
			option which starts with an advert, acceptance of applications, consideration of applicants and co-option vote at a Council meeting. The Council tries to draw members from around the Parish to make sure each area is represented.		
	b. Losing more than five Councillors to make the Council inquorate	M	If there are more than four vacancies at any one time, the Council becomes inquorate and the District Council will take over the running of the Council (at the Village's expense).	Procedures of Cherwell District Council are adequate	
21. Election Costs	a. Risk of an election cost	L	Risk is higher in an election year. The Council sets aside a sum each year to a maximum of £1,600 in case of an election.	Existing procedure is adequate for the four-yearly elections but inadequate in the unlikely event of a by-election.	
22. Members' Interests and Code of Conduct	a. Conflict of interests	L	Declarations of interest by members at Council meetings. Legally Councillors need only declare 'pecuniary interests', but many choose to declare other interests and withdraw from discussion if necessary. All interests are recorded.	Existing procedure adequate	
	b. Code of Conduct	L	Code issued by CDC and adopted in June 2012. It is issued to each Councillor on election to Office	Existing procedure adequate	

FINANCIAL AND MANAGEMENT					
Subject	Area of Risk	H / M / L	Management / Control of Risk	Review / Assess / Revise	Responsibility
	c. Register of members' interests	M	Councillors must complete a form on election which must be sent to CDC for publication on their website. Councillors are responsible for ensuring that their own register of members interests is kept up to date.	Review Annually	Councillors
23. Council Meetings	a. Recording of meetings	M	Members of the public are requested to inform the Chairman if they wish to record the meeting. The Parish Council will also make a recording if necessary		Chairman

PHYSICAL EQUIPMENT OR AREAS					
Assets					
Subject	Location	H / M / L	Management / Control of Risk	Review / Assess / Revise	Responsibility
1. Filing Cabinets	In Parish Council room in the Parish Hall	L	Ensure location is secure with controlled access (Clerk has key)	Check room regularly for water / damp / rodents	Clerk
2. Bus shelters	i. Bicester Road outside The Bull ii. Bicester Road outside the Old Post Office ii. Station Road	M	Physical condition monitored annually and results reported in July. Any reports of damage to be included on next agenda Security not possible	Responsibility for inspection decided at May meeting. Quarterly inspection to be conducted	Clerk Councillors

PHYSICAL EQUIPMENT OR AREAS					
Assets					
Subject	Location	H / M / L	Management / Control of Risk	Review / Assess / Revise	Responsibility
3. War Memorial	Junction of Bicester Road and The Poplars	M	Security not possible	Six monthly inspection to be conducted	Councillors
4. Benches	i. Blenheim Drive ii. Bicester Road by War Memorial iii. Sherwood Close iv. Station Road by Chapel v. Sycamore Road	M	All secured by bolts, screws etc. Regular monitoring, annual maintenance and repair or replacement as required using personnel deemed qualified by the Council. Any reports of damage to be included on the next agenda. Annual inspection conducted each June and reported to Council	Existing procedure adequate	Councillors
5. Bus shelter benches	i. The Bull ii. The Old Post Office iii. Station Road	M	Regular monitoring, annual maintenance and repair or replacement as required using personnel deemed qualified by the Council. Any reports of damage to be included on the next agenda. Annual inspection conducted each June and reported to Council	Existing procedure adequate	Councillors
6. Wall	At the Poplars	L	Annual inspection		
7. Waste bins	i. Sherwood Close	M	Annual inspection in June.	Existing procedure adequate	

PHYSICAL EQUIPMENT OR AREAS					
Assets					
Subject	Location	H / M / L	Management / Control of Risk	Review / Assess / Revise	Responsibility
	ii. Bicester Road Old PO bus shelter iii. Bicester Road by War Memorial iv. Station Road by Chapel v. Blenheim Drive vi. Sherwood Close grass area vii. Sycamore Road viii.		Regular monitoring, annual maintenance and repair or replacement as required using personnel deemed qualified by the Council. Any reports of damage to be included on next agenda		
8. Dog waste bins	i. West End (400) ii. Blenheim Drive opposite duck pond ((401) iii. Sycamore Road (402) iv. Blackthorn Road Garages (403) v. The Glades (404) vi. West end turning area (405)	M	Annual inspection in June. Regular monitoring, annual maintenance and repair or replacement as required using personnel deemed qualified by the Council. Any reports of damage to be included on next agenda	Existing procedure adequate	

PHYSICAL EQUIPMENT OR AREAS					
Assets					
Subject	Location	H / M / L	Management / Control of Risk	Review / Assess / Revise	Responsibility
	vii. Bicester Road Sports Ground (406) viii. Bicester Road (Church Walk) (407) ix. West End (408) x. Bicester Road Sports Ground (409) xi. [Plus one more]				
9. Grit bins	i. Railway bridge, Bicester Road ii. Old PO bus shelter iii. The Bull iv. Station Road bus shelter	M	Annual inspection conducted in June. Ensure filled with salt by OCC in the autumn and top up from bag stored by Peter Cox if necessary. Check maintenance.	Existing procedure adequate	
10. Noticeboards	i. Bicester Road by War Memorial ii. Parish Hall	L	Full annual inspection. Regular monitoring when Clerk posts notices, annual maintenance and repair or replacement as required using personnel deemed qualified by the Council. Any reports of damage to be included on next agenda		

PHYSICAL EQUIPMENT OR AREAS					
Assets					
Subject	Location	H / M / L	Management / Control of Risk	Review / Assess / Revise	Responsibility
11. Defibrillator	The Bull Pub Car Park	L	Replacement of battery and pads every four years if unused – budget required. If used, SCAS will replace	Existing procedure adequate	Cllr Thompson
12. Roadside gates	i. Blackthorn Road north side ii. Blackthorn Road south side iii. Station Road north side iv. Station Road south side		Full annual inspection, cleaning and painting may be necessary. Budget required		
13. Land	i. The Glades ii. The Poplars iii. Yew Tree Close iv. Sherwood Close	L	Full annual inspection		
14. Maintenance of land and assets	Village-wide: Grass cutting Verge cutting Tree pruning Shrubbery maintenance	M	Take copies of all contractors' Public Liability Certificates or obtain written confirmation of cover Ensure terms of all new undertakings include indemnity of the Council by the Contractor Schedule review of contracts including responsibility and performance	Existing procedure adequate	Clerk
		M			
		M			