# LAUNTON PARISH COUNCIL

## Risk Assessment 2020 / 2021

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| Previous Review Date: | 2 May 2019 |
| Resolved and adopted by Council on: | 5 November 2020 |
| Next Review Date: | April 2021 |

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** | | | | | |
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| **Subject** | **Area of Risk** | **Likelihood (1-3) x Impact (1-3)** | **Management / Control of Risk** | **Review / Assess / Revise** | **Responsibility** |
| **1. Insurance** | a. General adequacy | (1 x 1) = 1 | The insurance arrangements are reviewed fully on a three-year basis with interim annual checking.<br>Review of risk and adequacy of cover (loss / damage, public liability, consequential loss and fidelity guarantee) should be conducted annually.<br>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 | (1 x 1) = 1 | | | |
| | c. Compliance | (1 x 1) = 1 | | | |
| | d. Public Liability (statutory) | (1 x 1) = 1 | Insurance at £12,000,000 | | Clerk and Councillors |

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| | e. Employers Liability (statutory) | (1 x 1) = 1 | Insurance at £10,000,000 | | Clerk and Councillors |
| | f. Money | (1 x 1) = 1 | Insurance at £250,000<br>In transit £5,000<br>Private residence of member or employee £500<br>In custody or under supervision £5,000<br>In locked safe or strongroom £5,000<br>In locked receptacle other than strongroom £250 | | Clerk and Councillors |
| | g. Fidelity Guarantee | (1 x 2) = 2 | Insurance at £250,000 | | Clerk and Councillors |
| | h. Property | (1 x 2) = 2 | Wall: £9,271.15<br>Mowers and Machinery: £2,387.49<br>War Memorials: £9,728.89<br>Gates & Fences: £4,993.44<br>Street Furniture: £29,754.66<br>Outside equipment: £1,422.09 | | Clerk and Councillors |
| | i. Libel and Slander | (1 x 2) = 2 | 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 | (1 x 2) = 2 | Insurance at £50,000 (capital sum), £200 (weekly sum) | | Clerk and Councillors |
| | k. Excess | (1 x 1) = 1 | £250 to be set aside as a Reserve in case of claim | | Clerk and Councillors |

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| **2. Precept** | a. Adequacy of precept in order for the Council to carry out its statutory duties | (1 x 2) = 2 | To determine the precept amount required, the Council regularly receives budget update information.<br><br>At the precept meeting Council receives a budget report, including actual position and projected position to the end of 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 Cherwell District Council. The figure is submitted by the Clerk in writing.<br><br>The Clerk informs the Council when the monies are received. | Review starting in December with budget process.<br><br>Confirm precept requirement in January | Clerk and Councillors |
| **3. Budget Provision and Reserves** | b. Insufficient available funds | (1 x 2) = 2 | A full budget needs to be submitted prior to the Precept request. This should include funds placed in reserve for future projects, a | Existing procedure adequate | Clerk and Councillors |

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| | | | contingency fund and three months' running costs - £5,000 | | |
| **4. Best Value Accountability** | c. Work awarded incorrectly | (1 x 2) = 2 | 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 | (1 x 2) = 2 | | Procedure in Financial Regulations | Clerk and Councillors |
| **5. Contracts and contractors** | a. Maintenance contractors | (1 x 2) = 2 | 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 | (1 x 1) = 1 | The Clerk's salary payment should be entered on the HMRC PAYE Tools software and uploaded to HMRC on a monthly basis<br><br>Clerk adds submission date 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 | (1 x 1) = 1 | The Council must complete the End of Year Submission online within the HMRC timeframe | Current procedure adequate | Clerk / Councillor responsible for Internal Control |

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| | – submit within time limits | | | | |
| | c. Salary paid incorrectly | (1 x 1) = 1 | Salary agreed once NALC briefing has been published and paid by Standing Order. Councillors who sign cheques to sign salary sheet. | | Councillor cheque signatories |
| | d. Unpaid tax to HMRC | (1 x 2) = 2 | Current Clerk is under the threshold, but additional payments would be monitored using the HMRC PAYE RTI Tools software | | Clerk / Councillor responsible for Internal Control |
| **7. Employees** | a. Fraud by staff | (1 x 2) = 2 | Requirements of Fidelity Guarantee Insurance adhered to with regards to fraud. | Existing procedures adequate | Clerk and Councillors |
| | b. Health and safety | (1 x 2) = 2 | 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 | (1 x 2) = 2 | 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 | (1 x 2) = 2 | The Council has Financial Regulations which set out banking requirements | Financial Regulations to be reviewed ASAP | Clerk |
| | b. Bank mistakes | (1 x 1) = 1 | Reconciliation is monthly to pick up on any mistakes | Existing procedure adequate | Clerk |
| | c. Cheque mistakes | (1 x 1) = 1 | Cheques to be written by the Clerk following inspection of the invoices | Existing procedure adequate | Clerk and cheque signatories |

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| | | | 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 | | |
| | d. Credit references | (1 x 1) = 1 | The Bank performs credit references on cheque signatories | Existing procedure adequate | Bank |
| | e. Non-performance / delivery of third parties | (1 x 1) = 1 | Avoid pre-payments wherever possible.<br>Vet suppliers thoroughly | Existing procedure adequate | Clerk and Councillors |
| **9. Financial reporting** | a. Information communication | (1 x 1) = 1 | Financial information is a regular, monthly, agenda item (Finance Report) and discussed / reviewed and approved at each meeting | | Clerk and Councillors |
| | b. Annual accounts | (1 x 1) = 1 | Accounts to be closed at Council Year End 31 March and final Statement submitted to April / May Parish Council meeting for scrutiny and agreement. Clerk / RFO and Chairman to sign off. | Existing procedure adequate | Clerk and Councillors |
| **10. Financial Records** | a. Inadequate records | (1 x 1) = 1 | The Council has Financial Regulations which set out the requirements | Existing procedure adequate | Clerk and Councillors |
| | b. Financial irregularities | (1 x 1) = 1 | The Council should have a Councillor responsible for Internal Control who inspects the finance | Recommend appointing a Councillor responsible | Councillors |

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| | | | records regularly. Any irregularities should be identified on inspection. | for Internal Financial Control | |
| **11. Grants** | a. Receipt of grant | (1 x 1) = 1 | 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 | (1 x 1) = 1 | Ensure that the grant is acceptable to pay under General Power of Competence. All such expenditure goes through the required Council process of approval, minuting and listing accordingly | Existing procedure adequate | Clerk and Councillors |
| **12. Charges – rents receivable** | a. Payment of rents | (1 x 1) = 1 | The Parish Council receives no rents, but does receive a contribution to the insurance from the Allotments. Ensure that the invoice is sent out annually. | | |
| **13. VAT** | a. Reclaiming | (1 x 1) = 1 | 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 £100. The order must have been placed by the Council, the invoice made out to the Council and the payment made from Council funds. | Existing procedure adequate | Clerk |
| | b. Charging | (1 x 1) = 1 | The Council is not currently registered for VAT | Existing procedure adequate | |

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| **14. Audit** | a. Annual Return - complete and publish within time limits | (1 x 1) = 1 | External Audit Annual Return completed and signed by the Internal Auditor and then completed and signed by the Chairman and Clerk / RFO before 30 June and published on the website.<br><br>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.<br><br>The PC may still have a Limited Assurance Review and the paperwork must be completed and sent to the External Auditor and published on the website in the usual way. | Existing procedure adequate | Clerk and Chairman |
| | b. Public inspection of documents | (1 x 1) = 1 | By appointment only, at the Parish Hall or other convenient public place. For the safety of the Clerk, | Existing procedure adequate | Clerk and Councillors |

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| | | | the public are welcome to inspect documents, but with a Councillor present. | | |
| | c. Internal Audit | (1 x 1) = 1 | Appoint an independent Internal Auditor | Existing procedure adequate | Councillors (with advice from Clerk) |
| | d. Review of Effectiveness of Audit | (1 x 1) = 1 | 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 | (1 x 1) = 1 | 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 |
| **16. Minutes / agenda / Notices and Statutory Documents** | a. Accuracy and legality | (1 x 1) = 1 | 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).<br><br>Minutes are circulated in advance of the meeting, approved and | Existing procedure adequate | Clerk |

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| | | | signed at the next full Council meeting. | | |
| | b. Standing Orders | (1 x 1) = 1 | Adopted in June 2019 | Review June 2020 | Council |
| | c. Financial Regulations | (1 x 1) = 1 | Adopted in December 2019 | Review December 2020 | Council |
| | d. Business conduct | (1 x 1) = 1 | Agenda displayed according to legal requirements.<br><br>Business conducted at Council meetings should be managed by the Chairman | Existing procedure adequate | Clerk and Chairman |
| **17. Council Records** | a. Paper | (1 x 2) = 2 | 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 or flood) and theft is unlikely and so provision is adequate. Further archiving of papers in Parish Hall necessary. | Clerk and Council |
| | a. Electronic | (1 x 2) = 2 | 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.<br><br>Sophos antivirus to be kept up-to-date | Existing procedure adequate | Clerk |

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| **18. Data Protection** | a. Policy provision | (1 x 1) = 1 | The Parish Council is registered with the Information Commissioner | Existing procedure adequate | Clerk and Council |
| | b. Data Protection Officer | | Is not currently necessary | Review when systems have settled down | |
| | c. GDPR | (1 x 1) = 1 | 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 | (1 x 1) = 1 | 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 | (1 x 2) = 2 | 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 | (1 x 1) = 1 | 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-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. | A Councillor Vacancy procedure will be adopted | Clerk / Council |

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| | b. Losing more than five Councillors to make the Council inquorate | (1 x 3) = 3 | 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 | (1 x 2) = 2 | 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 | (1 x 1) = 1 | 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 | (1 x 1) = 1 | Code issued by CDC and adopted in June 2012. It is issued to each Councillor on election to Office | Existing procedure adequate | CDC |
| | c. Register of members' interests | (1 x 1) = 1 | 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 | Review Annually | Councillors |

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| | | | of members interests is kept up to date. | | |
| **23. Council Meetings** | a. Recording of meetings | (1 x 1) = 1 | 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<br>Assets | | | | | |
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| **Subject** | **Location** | **Likelihood (1-3) x Impact (1-3)** | **Management / Control of Risk** | **Review / Assess / Revise** | **Responsibility** |
| **1. Filing Cabinets** | In Parish Council room in the Parish Hall | (1 x 2) = 2 | 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<br>ii. Bicester Road outside the Old Post Office<br>ii. Station Road | (2 x 1) = 2 | Physical condition monitored annually and results reported in July.<br><br>Any reports of damage to be included on next agenda<br><br>Security not possible | Responsibility for inspection decided at May meeting.<br><br>Quarterly inspection to be conducted | Clerk<br><br><br>Councillors |
| **3. War Memorial** | Junction of Bicester Road and The Poplars | (2 x 1) = 2 | Security not possible | Six monthly inspection to be conducted | Councillors |

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| **4. Benches** | i. Blenheim Drive<br>ii. Bicester Road by War Memorial<br>iii. Sherwood Close<br>iv. Station Road by Chapel<br>v. Sycamore Road | (2 x 1) = 2 | All secured by bolts, screws etc. Regular monitoring, annual maintenance and repair or replacement as required using personnel deemed qualified by the Council.<br><br>Any reports of damage to be included on the next agenda.<br><br>Annual inspection conducted each June and reported to Council | Existing procedure adequate | Councillors |
| **5. Bus shelter benches** | i. The Bull<br>ii. The Old Post Office<br>iii. Station Road | (2 x 1) = 2 | Regular monitoring, annual maintenance and repair or replacement as required using personnel deemed qualified by the Council.<br><br>Any reports of damage to be included on the next agenda.<br><br>Annual inspection conducted each June and reported to Council | Existing procedure adequate | Councillors |
| **6. Wall** | At the Poplars | (1 x 1) = 1 | Annual inspection | | |
| **7. Waste bins** | i. Sherwood Close | (1 x 1) = 1 | Annual inspection in June. | Existing procedure adequate | |

| PHYSICAL EQUIPMENT OR AREAS<br>Assets | | | | | |
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| | ii. Bicester Road Old PO bus shelter<br>iii. Bicester Road by War Memorial<br>iv. Station Road by Chapel<br>v. Blenheim Drive<br>vi. Sherwood Close grass area<br>vii. Sycamore Road<br>viii. West End | | 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)<br>ii. Blenheim Drive opposite duck pond ((401)<br>iii. Sycamore Road (402)<br>iv. Blackthorn Road Garages (403)<br>v. The Glades (404) | (1 x 1) = 1 | Annual inspection in June.<br><br>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<br>Assets | | | | | |
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| | vi. West end turning area (405)<br>vii. Bicester Road Sports Ground (406)<br>viii. Bicester Road (Church Walk) (407)<br>ix. West End (408)<br>x. Bicester Road Sports Ground (409)<br>xi. Wyndham Hall Footpath | | | | |
| **9. Grit bins** | i. Railway bridge, Bicester Road<br>ii. Old PO bus shelter<br>iii. The Bull<br>iv. Station Road bus shelter | (1 x 1) = 1 | Annual inspection conducted in June.<br><br>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<br>ii. Parish Hall | (1 x 1) = 1 | Full annual inspection.<br><br>Regular monitoring when Clerk posts notices, annual maintenance | | |

| **PHYSICAL EQUIPMENT OR AREAS**<br>**Assets** | | | | | |
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| | | | and repair or replacement as required using personnel deemed qualified by the Council. Any reports of damage to be included on next agenda | | |
| **11. Defibrillator** | The Bull Pub Car Park | (1 x 1) = 1 | Monthly inspection. Replacement of battery every five years and pads every two years if unused – budget required. If used, SCAS will replace | Existing procedure adequate | Cllr Thompson |
| **12. Roadside gates** | i. Blackthorn Road north side<br>ii. Blackthorn Road south side<br>~~iii. Station Road north side~~<br>iv. Station Road south side | (1 x 1) = 1 | Full annual inspection, cleaning and painting may be necessary. Budget required | Existing procedure adequate | |
| **13. Land** | i. The Glades<br>ii. The Poplars<br>iii. Yew Tree Close<br>iv. Sherwood Close | (1 x 1) = 1 | Full annual inspection | Existing procedure adequate | |
| **14. Village Pump** | Station Road | (1 x 1) = 1 | Full annual inspection, cleaning and painting may be necessary. Budget required | Existing procedure adequate | Cllr Sanders |
| | | | | | |

| PHYSICAL EQUIPMENT OR AREAS<br>Assets | | | | | |
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| **15. Maintenance of land and assets** | Village-Wide<br>Grass cutting<br>Verge cutting<br>Tree pruning<br>Shrubbery maintenance | (1 x 1) = 1<br>(1 x 1) = 1<br>(1 x 1) = 1 | Take copies of all contractors' Public Liability Certificates or obtain written confirmation of cover<br>Ensure terms of all new undertakings include indemnity of the Council by the Contractor<br>Schedule review of contracts including responsibility and performance | Existing procedure adequate | Clerk |

Risk Prioritisation

The table below is recommended in the Joint Panel on Accountability and Governance (JPAG) Practitioners' Guide

Risk prioritisation is an assessment of the severity of impact if something were to happen and how likely it is to happen
Likelihood x Impact = Risk Priority

| | | | | |
|---|---|---|---|---|
| How Likely | Highly likely | 3 | 6 | 9 |
| | Possible | 2 | 4 | 6 |
| | Unlikely | 1 | 2 | 3 |
| | | Negligible | Moderate | Severe |
| | Impact | | | |

Taken from the JPAG 2020 from Section 5.97

Addressing risks:
Risk is unavoidable, and every organisation needs to take action to manage risk in a way which it can justify to a level which is tolerable. The response to risk, which is initiated within the organisation, is called 'internal control' and may involve one or more of the following standard responses:

- Tolerate the risk - for risks where the downside is containable with appropriate contingency plans; for some where the possible controls cannot be justified (e.g. because they would be disproportionate); and for unavoidable risks, e.g. terrorism.
- Treat the risk - a common response which can mean imposing controls so that the organisation can continue to operate; or setting up prevention techniques.
- Transfer the risk – buying in a service from a specialist external body or taking out insurance. Some risks cannot be transferred, especially reputational risk.
- Terminate the activity giving rise to the risk - it may be best to stop (or not to start) activities which involve intolerable risks or those where noresponse can bring the risk to a tolerable level.

Areas where there may be scope to use insurance to help manage risk include the following:

- The protection of physical assets owned by the authority – buildings, furniture, equipment, etc. (loss or damage).
- The risk of damage to third party property or individuals as a consequence of the authority providing services or amenities to the public (public liability).
- The risk of consequential loss of income or the need to provide essential services following critical damage, loss or non-performance by a third party (consequential loss).
- Loss of cash through theft or dishonesty (fidelity guarantee).
- Legal liability as a consequence of asset ownership (public liability).

The limited nature of internal resources in most authorities means that those wishing to provide services often buy them in from specialist external bodies. Areas where there may be scope to work with others to help manage risk include the following:

- Security for vulnerable buildings, amenities or equipment.
- Maintenance for vulnerable buildings, amenities or equipment.
- The provision of services being carried out under agency/partnership agreements with principal authorities.
- Banking arrangements, including borrowing or lending.
- Ad hoc provision of amenities/ facilities for events to local community groups.
- Markets management.
- Vehicle or equipment lease or hire.
- Trading units (leisure centres, playing fields, burial grounds, etc.).
- Professional services (planning, architects, accountancy, design, etc.).

This risk assessment was reviewed and adopted on 5 November 2020