

BADGER FARM PARISH COUNCIL RISK ASSESSMENT

FINANCE AND MANAGEMENT				
Subject	Risk Identified	Risk Factor	Management/control of risk	Review/Assess/Revise
Business continuity	Risk of Council not being able to continue its business due to unexpected or tragic circumstances preventing business continuity.	L	All files and recent records are kept at the Clerk's home. The Clerk takes a regular back-up of files to a memory stick which is not kept at the home. which enables continuity of parish business in the event of a fire or burglary. The back-up system is Cloud storage, U.K. held. The Chairman has a copy of all the passwords to enable him/her to access BFPC files should the Clerk be hospitalised and out of action for a period of time or die. BFPC are covered in their insurance policy for any financial costs against loss of business e.g. hiring/purchasing new equipment.	Existing procedures adequate. Review when necessary. Check annually that cover for continuity of business, Consequential Loss is included in the insurance policy.
Precept	Adequacy of precept – to ensure that the council can carry out its statutory duties.	L	The Council reviews the Precept requirement annually at the November meeting. It takes into account cost of running the parish for the previous 3 years to establish how much is required for the next year. Cost is also factored in for any proposed projects. Council are covered financially under the insurance policy should the precept not be forthcoming due to unforeseen circumstances.	Existing procedure adequate. Keep under review and change.as necessary. Insurance policy covers any unforeseen circumstances which would prevent the precept being paid to the parish and consequential loss.
Financial records	Inadequate records Financial irregularities	L L	The Council adheres to the statutory Financial Regulations as advised by N.A.L.C.. Internal financial controls are in place to ensure there is no opportunity for fraudulent activity by the officer or members. The insurance has a fidelity guarantee of £500,000.	Existing procedure adequate. Review the Financial Regulations when guidance regulation changes and continue to update controls. Ensure the cover for fidelity guarantee is sufficient to cover fraudulent activity by a member or officer.

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Reporting and auditing	Information communication Compliance	L M	A quarterly budget monitoring statement is distributed to all members before each full council meeting with the agenda. Copies are also available at the meeting for the public and on the website. The report is discussed and approved at the meeting by full council. A full list of payments (authorised by two signatories) and the invoices are provided at the meeting and signed off by the Clerk/RFO and Chairman. The bank reconciliation and bank statement are agreed by the Chairman and signed at each meeting. Council regularly audit internally to comply with the Fidelity Guarantee.	Existing communication procedures adequate. Council annually to appoint a Councillor to check financial records for Fidelity compliance.
Direct costs Overhead expenses Debts	Goods not supplied but billed Incorrect invoicing Unpaid invoices	L L L	Clerk/RFO checks for correctness any invoice received before arranging payment. At each Council meeting the list of invoices awaiting approval is distributed to Councillors and considered. Council approves the list of requests for payment. Invoices signed by chairman and Clerk/RFO and two signatories authorise online payment which will be scheduled for the day after the meeting. The Fidelity guarantee within the insurance policy covers any fraudulent activity providing the procedures are followed.	Existing procedure adequate. Review the Financial Regulations when necessary.
Grants and support - payable	Power to pay Authorisation of Council to pay	L	Grant applications for consideration are submitted to council along with their legal paperwork (ensures the charity is bona fide) and minuted. If the grant is approved it is accordingly entered into the grants or S137 column as appropriate.	Existing procedure adequate.
Grants - receivable	Receipts of Grant	L	Grants received entered into the receipts page of the cash book.	Existing procedures adequate.

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Best value Accountability	Work awarded incorrectly Overspend on services	L L	BFPC seek 3 quotations for any goods or substantial work (over £2,000) required to be undertaken. For major contract services, formal competitive tenders would be sought. The Clerk/RFO has delegated authority to spend up to £100 as per Fin.Reg. If a problem occurs with a contract the Clerk would investigate the situation, check the quotation/tender, research the problem and report to Council.	Existing procedure adequate. Review Financial Regulations regularly.
Salaries and assoc. costs	Salary paid incorrectly Wrong hours paid Wrong rate paid False employee Wrong deductions of NI or Tax Unpaid Tax & NI contributions to the Inland Revenue	L L L L L L	The Parish Council authorises the appointment of all employees at Council meetings. Salary rates are assessed annually (increases in line with N.J.C.), by the Council and applied on 1st April each year. All financial transactions including payroll are completed by the Clerk/RFO. Payroll is done using H.M.R.C. Basic Tools. Salary is paid monthly by bank transfer less tax and pension which are then paid separately. All Tax and NI payments are submitted on the Inland Revenue Annual Return. The Clerk provides a timesheet to council, the hours are checked by the Chairman and council, verified, signed off and the clerk paid the following day.	Existing appointment and payment system is adequate.
Clerk/Other workers (voluntary/casual)	Loss of Clerk Fraud Actions undertaken Health & Safety	L L L L	The Parish Council has sufficient reserves to enable training for the CiLCA qualification in the event of the Clerk leaving the council's employment. Stringent internal financial controls in place for compliance with insurance policy. A new Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role.	Existing procedure adequate. Continue membership of the SLCC. and N.A.L.C. to assist the Clerk/new Clerk. Monitor working conditions, safety requirements and insurance regularly.

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Election costs	Risk of an election cost	L / M	Risk is higher in an election year. The Parish Council make provision by annual contribution to an election Reserve Fund of £1,000.	Existing procedure adequate.
Annual return	Submission could be late Ext. Auditor does not receive satisfactory replies to questions, would result in financial penalty to council.	L	Internal audit takes place in 1 st week of April. AGAR gets approved and signed off at the April full council meeting. It is then sent to the external auditor the following day to be inspected and signed off.	Existing procedures adequate.
Legal powers	Illegal activity or payments	L	Clerk advises if the council has the power to act on activity and payments to be resolved and minuted at Full Parish Council Meetings. No payments are made without council approval and the signature of two authorised signatories. This prevents fraudulent activity.	Include the legal power when the resolution is minuted.
Council records	Loss through: theft fire damage	L	The Parish Council records are stored at the home of the Clerk in a metal filing cabinet and backed up monthly on a memory stick for the chairman and automatically on U.K. Cloud storage. Older records are archived with H.C.C. We have adequate insurance to cover the cost of replacing all equipment and costs incurred in loss of continued service. Records include correspondence, minute books, invoices, bank statements, receipts, insurance, salaries etc.,	Damage (apart from fire) and theft is unlikely and so provision adequate. Deeds/leases copied and retain, originals deposited off-site.
Data protection	Policy Provision	L	The personal data of employees is retained as is councillors' Acceptance of office and declaration of interests. No data on children is kept.	Ensure annual renewal of registration of I.C.O.

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Freedom of Information Act	Policy Provision	L M	The Council has a model publication scheme in place and is able to request a fee for any information requested to cover the cost of consumables and the clerk's time.	Monitor and report any impacts of requests made under the FOI Act.
Meeting location	Adequacy Health & Safety	L M	The Parish Council Meetings are held at the Badger Farm Community Centre. The premises and the facilities are considered to be adequate for the Clerk, Councillors and Public who attend from Health & Safety and comfort aspects. The meeting room is compliant with the Equality Act 2010. The building is insured by the leaseholder.	Existing location adequate.
ASSETS				
Subject	Risk Identified	Risk Factor	Management/control of risk	Review/Assess/Revise
Street Furniture, Play Area Equipment and Open Spaces	Loss or Damage Risk/damage to third party property	L L	Council has two play grounds and open spaces with street furniture and play equipment. All these are adequately insured and comply with the insurers requirements e.g. signs displaying contact details and address of the playground. Risk/damage to third party/ies is negligible. Weekly visual inspections are carried out by a councillor who is Rospa qualified. The quarterly mechanical/working inspections are carried out by a certified playground inspection company and photographic evidence and written report sent and retained. The annual inspection is carried out by a qualified contractor (different from the quarterly contractor) and the photographic and written documents are retained by the Clerk.	Existing procedure adequate. Review insurance requirements when a new asset is acquired by the council, when a contractor is engaged (public liability) and annually. It is also good practice to compare quotes from several insurance brokers.
Noticeboards	Risk/damage/injury to third parties Road side safety	L L	Parish Council has two notice boards sited in the Parish. both noticeboards have approval by relevant parties and are insured. They are inspected regularly by the Chairman - any repairs/maintenance requirements brought to the attention of the Parish Clerk who instigates appropriate action. Keys held by the Chairman.	Existing procedure adequate.

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LIABILITY				
Subject	Risk Identified	Risk Factor	Management/control of risk	Review/Assess/Revise
Minutes/Agendas/ Notices/Statutory documents	Accuracy and legality Business conduct	L L	Minutes and agenda are produced in the prescribed method by the Clerk. Minutes are approved and signed at the next Council meeting. Minutes and agenda are displayed according to the L.G.A. 1972 sch 12, para 15(2) (4). Business conducted at Council meetings should be managed by the Chair.	Existing procedure adequate. Guidance/training to Chair should be given (if required). Members to adhere to Code of Conduct.
Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessments regularly carried out to comply with requirements.	Existing procedures adequate. Ensure risk assessments are carried out.
Employer Liability	Non-compliance with employment law	L	Adequate training is provided and advice available from the Hampshire Association of Local Councils. If a breach does occur and the council is sued, the insurance policy has provision for legal representation and compensation if required.	Existing procedures adequate.
Legal Liability	Legality of activities Proper and timely reporting via Minutes Proper document control	M L L	Clerk to clarify legal position on proposals and to seek advice if necessary. Council always receives and approves Minutes at monthly meetings. Retention of document policy in place.	Existing procedures adequate.

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COUNCILLORS' PROPRIETY				
Subject	Risk Identified	Risk Factor	Management/control of risk	Review/Assess/Revise
Members interests	Conflict of interest Register of Members interests	M M	Councillors have a duty to declare any interests at the start of the meeting L.G.A. 1972, s.117. Register of Members Interest forms to be reviewed regularly. Members have responsibility for updating their details if they should change.	Existing procedure adequate. Members to take responsibility to update their Register.
CONTRACTORS				
Various injuries	Risk to contractor and public	M	All contractors are asked for their Health and Safety Policy – HASWA 1974 – Employers must protect the 'health, safety and welfare' at work of all their employees, as well as others on their premises, including temps, casual workers, the self-employed, clients, visitors and the general public. Contractors asked to produce risk assessments for the associated work activities. Contractor to have public liability insurance cover of at least £5 million. Work of all contractors is monitored by the Clerk and a councillor. Records of monitoring activities are kept.	Existing procedure adequate. Contractor to take responsibility to update their records and certification.
Working at height	Falls from height	M	Use competent contractor for all tree work. Where steps and ladders are used, they are footed or properly staked and securely tied. Ensure contractors are trained in safe use of ladders/steps.	Review/assess when using a new contractor. Review existing contractor annually.

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Maintenance operations	Various risks to contractor and members of the public	L	Contractor instructed to clear area prior to Tree Maintenance and cordon off. No members of public within 30 feet of equipment when it is in use. No maintenance conducted near electrical supply equipment without permit to work in place.	Check permits as necessary.
OPEN SPACES AND PARKS				
Open Space	Potholes in grass, risk to public.	L	Contractor to inspect grass/park after cutting and backfill any identified holes.	Contractor to review and report back to Clerk.
Fixed furniture, e.g. benches etc.	Risk to public.	L	Benches are bolted to the ground. Dog bins inspected and emptied weekly, unless more frequent emptying is requested. Litter bins emptied and inspected regularly. Any damage/vandalism formally reported and repaired asap. Ensure public liability is included in insurance.	Annual repairs of benches done if appropriate. Dog and litter bins inspected annually and replaced if necessary.
Use of drugs	Public coming into contact with drugs, needles, body fluids etc.	L	Contractor advised of safe working procedure to deal with sharps and to have suitable safety equipment. Prompt response to complaints of sharps by public.	Police to be advised of problem if continuous.
PLAY AREAS				
Subject	Risk Identified	Risk Factor	Management/control of risk	Review/Assess/Revise
Play equipment	Public using defective play equipment could cause serious accidental injury.	L	Weekly inspections carried out and recorded by playground Inspection certificated councillor. All weekly records are filed and kept for 10 years. Quarterly engineering inspections by accredited company and annual engineering inspection done by independent inspection company to ensure nothing is missed. Any dangerous area/equipment which has been identified must be blocked off with hazard tape and a sign erected to warn the public not to use the	Councillor responsible for inspections to renew his/her certificate as necessary. Clerk to inspect playgrounds quarterly.

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			<p>equipment. Clerk to be notified asap of the problem and action repairs/replacement asap by contracted person.</p> <p>Playground signs (one by each entry) with address and postcode of playground (for emergency services) and telephone numbers to report defects to the Clerk.</p> <p>Insurance policy to cover for accidental injury if necessary.</p>	
Defective paths playground surfaces, grass	Slips, trips, falls by public.	M	<p>Regular inspections for safety defects e.g. pot holes, glass etc. (recorded).</p> <p>Rapid response to defects requiring repairs.</p> <p>Warning signs erected as necessary.</p> <p>Mossy areas cleared regularly.</p> <p>Grass cutting swept up from walkways.</p> <p>Any unauthorised vehicular use monitored e.g. off road motor bikes, cars, vans etc., Police notified.</p>	<p>Council to effect repairs in response to public notifying Clerk/councillors. Paths, playgrounds, fences and furniture inspected annually and recorded.</p>

Key: **L** = Low risk assumed

M = Medium risk assumed

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The H.& S.E. promotes using the five steps below to identify and manage risks, these steps can be aligned with all functions of the parish council.

1. Identify the hazards
2. Decide who might be harmed and how
3. Evaluate the risks and decide on control measures
4. Record your findings and implement them
5. Review your assessment and update if necessary

Date effective from:	14 th May, 2019
Last review date:	
Next review:	11 th May, 2020