

## 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 Lavant Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

### MAINTAINING FINANCIAL RECORDS

Subject	Risk(s) indentified	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 monthly. 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 Chichester District Council. The figure is submitted by the Clerk in writing. The Clerk informs the Council when the monies are received.	Existing procedure adequate.

Financial Records	Inadequate records Financial irregularities Failure to comply with legislation.	M	The Council has Financial Regulations which set out the requirements. Formally Adopting Financial Standing Orders. Subscribing to associations of local publications-SSALC & SLCC Internal Audit to offer advice as appropriate	Existing procedure adequate Review the Financial regulations when necessary
Bank and banking	Inadequate checks Banks mistakes Arithmetic Errors Failure to comply with Legislation Cashbook Maintained up to date. Fraud	M	The Council has Financial Regulations which set out banking requirements. All payments authorised at Full Council, minute and signed by two signatories All entries verified against Bank Statement. Cashbook reconciliation signed by Chairman Monthly reconciliation	Existing procedure adequate Existing procedure adequate
VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out the requirements.	Existing procedures adequate
Insurance	Adequacy Cost Assets adequately covered. Compliance. Damage injury to 3 <sup>rd</sup> party for injuries sustained by lack of maintenance of council assets	M	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity and within policies. Ensure compliance measures are in place. All events are properly supervised. All repairs carried out by Lavant Volunteers reports regularly given to council Health & safety risks addressed. First Aid Facilities supplied.	Existing procedure adequate. Insurance reviewed annually or tri-annually if three-year contract in place
Grants	Receipt of grants	L	The RFO keeps records for the spend of the grant in accordance with the grant-giver's regulations	

Grants and support payable	Power to pay Authorisation of Council to pay	L	All such expenditure goes through the required Council process of approval, minute and listed accordingly if a payment is made using S137 powers of expenditure.	
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## FINANCIAL CONTROLS & GOVERNANCE

Formally Adopt Standing Orders	Failure to comply with Statutory Obligations Fairly to operate with openness and accountability Suffer loss or reputation or legal challenge. Council unable to deliver services.	M	Standing Order are put before council, approved and regularly reviewed. The council is quorate, and all decisions are made after due consideration in the best interests of its residents. To comply with current legislation and acts in a professional manner/ Standing orders are available for Public Inspection (FOIA)at any time	Existing procedures adequate
Formally Adopted Financial Standing Orders	Financial regulations align with current legislation. Work awarded incorrectly. Overspend on services. Unauthorised spend Procurement process fails Failure to meet budget Inappropriate Use of public money. Loss from 3 <sup>rd</sup> party damage on assets. Adverse Cash Flow	M	Council acts legally Estimates quotations obtained where possible in accordance to 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 major work competitive tenders would be sought. If problems encountered with a contract the Clerk would investigate the situation and report to the Council. To ensure the contractors are insured. To ensure contracts are not taken on for services with no supporting funds making correct financial decisions. To ensure the council reserves are not depleted below recommended level. Internal Audit	Existing procedure adequate. Included in Financial regulations.
Reporting and auditing	Information communication Risk of Bank making errors No control over spend 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 must be authorised, minute and signed by Two Bank Mandate Signatories. Finance Chairman reviews spend against budget.	Existing procedures adequate.

<p>Minutes/agendas/ Notices Statutory Documents</p>	<p>Accuracy and legality  Failure to operate in fairness and accountability  Business conduct</p>	<p>L</p>	<p>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. Posted to council website. Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair. Clear audit trail of documents</p>	<p>Existing procedures adequate.  Members adhere to Code of Conduct</p>
<p>Members interests</p>	<p>Conflict of interests Register of members interests Failure to operate in fairness and accountability. In breach of required standards of public life.</p>	<p>M</p>	<p>Declarations of interest by members at Council meetings. Register of members' interests' forms reviewed regularly.</p>	<p>Existing procedures adequate. Members take responsibility to update register through clerk</p>
<p>Insurance</p>	<p>Adequacy Cost Compliance. Council sued for injuries sustained by members of public</p>	<p>M</p>	<p>An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity and within policies. Ensure compliance measures are in place. All events are properly supervised. First Aid Facilities supplied.</p>	<p>Existing procedure adequate. Insurance reviewed annually or tri-annually if three-year contract in place</p>

Annual Return	Submit within time limits	L	Annual Return completed and signed by the Council, submitted to internal auditor for completion and signing. Then checked and sent to External Auditor within time frame.	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 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 Finance report monthly. Members of registered bodies as a reference source. Subscribe to SLCC and SSALC updates.	Existing procedures Adequate
Council records – paper	Loss of document audit trail through: Incomplete Financial Records Loss of Cheque Book Theft Fire Damage	L	Records are stored at the Memorial Hall. In CDC archive. Digital records are kept in the cloud and also back-up on a Seagate external drive. Regular back up to external drive. Clerk is responsible for safe keeping of Cheque Book and Bank Cards securely kept. Records include historical correspondences, minutes, insurance and bank records. Hard Copied Destroyed after 6years.	Damage (apart from fire) and theft is unlikely and so provision is adequate.
Council records – electronic	Loss through: Theft, fire damage or corruption of computer Data protection breach. Financial or resource requirements of responding to FOI requests Legal Challenge	L	The Parish Council electronic records are on the Clerk's computer saved to the cloud and on a separate external hard drive. The Clerk takes the computer home with her after every workday. Safety of the transportation from Office to Home to ensure the computer is safely transported. Consultation with council to consider freedom of interest requirements.	Existing procedures considered adequate
Payments	Incorrect invoicing Incorrect Payments Late Payments Expenses incorrectly claimed.	M	Financial Loss due to settlement of double or false invoices. The Clerk to ensure accuracy of work with monthly payment list. Ensure banking statements and cashbook regularly up to date with council to accept financial reports monthly. Dual signatory	Existing procedures considered adequate

	Data protection breach Theft or dishonesty			
Budgeting	Inadequate Precept does not deliver budget	M	Clerk and Financial Chair are to take dual responsibility to produce an effective budget yearly to ensure against financial loss. Review of all services provided not to have impact on reserves. Budget brought to council and agreed yearly.	Existing procedures considered adequate
Freedom of Information	Policy Provision Failure to comply with statutory obligations	L	The Council releases all information on demand. The council has employed a DPO. The Parish Council is aware that if a substantial request came in it could create a number of additional hours work. If this equates to more than £450 then the council can ask for fees. Standing orders are available on by members public inspection	Monitor any requests made under FOI

WEBSITE

<p>Website</p>	<p>Virus Attacks or malicious hackers.          Parish Council host provider server unable to support.          Out of date product.          Mislead or 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>	<p>M</p>	<p>Achieve an Affordable solution for a new website fit for purpose          Accessibility rules apply from September 2020.          Encryption and Protection in website security and reliable afforded by Supplier.          Build a new website and have full control, easy to maintain and are responsible for content.          Google Analytics to identify website usage.          To ensure the links provided by our website are to valid reputable sites not selling goods.</p>	<p>Extensive research for a Supplier to be sourced.          Full Compliance.          Disclaimer statement to be displayed on site.          Website host secure.</p>
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PAYROLL CONTROLS & EMPLOYMENT LEGISLATION

Salaries and assoc. costs	Salary paid without appropriate deductions. Staff over or underpaid Unpaid tax / NI to Inland Revenue. Unauthorised payments. Fraud. Failure to comply with legislation. Financial Penalties	L	WSCC process payroll. Clerk's salary paid by monthly by BACS from WSCC through PAYE who acquit tax and NI contributions. In accordance with Automatic enrolment regulations the council pays a pension on the clerk salary. Chairman signed authority for contractual agreement. Salaries are authorised, minutes and signed by two signatories	Existing procedure adequate
Employees	Shield Vulnerable Workers increased risk from illness– Work from Home Health & safety risk Contingency Planning for long term sick Fulfil obligations	H	Contract of employment in place and approved by council. Contingency plan in place in case of long-term sickness. HR advice available through SSALC policies in place as required by statue. Kept up to date by employment legislation Requirements of insurance adhered to with regards to fraud. All employees to be provided adequate direction and safety equipment needed to undertake their roles. Chair adjustments. Screen Adjustments. Prolonged use of screen. Fire Alarm fitted on premises. Carry our Fire Drills and be aware of fire exits. Memorial Hall regular fire alarm checks. Always carry fully charged mobile phone. First Aid Certificate in workplace. First aid Kit	Existing procedures adequate. Monitor health and safety requirements and insurance annually. Clear indication of Fire Exits and assembly by Memorial Hall Management.

			regularly reviewed.	
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### SAFEGUARDING ASSETS

Assets	Loss or damage Risk/damage to third party (i.e.) property Not All Assets Listed. Assets not adequately insured.	L	An annual review of assets is undertaken for insurance provision. All Asset register maintained, and all acquisitions and disposals are documented.	Existing procedures adequate
Maintenance	Poor performance of assets or amenities. Risk to the public. Poor Housekeeping Damage due to Vandalism Tripping, falling incurring injury. Inflict injury on members of public whilst working.	M	All assets owned by the Parish Council are regularly review inspections and maintained. All repairs and relevant expenditure for any repair is actioned / authorised quickly in accordance with the correct procedures of the Parish Council. Assets are insured. Use of Outside Contractors Or: Lavant Volunteers to carry out Risk Assessment. Carry Public liability Insurance.	Existing procedures adequate
Notice Board	Risk of damage	L	The Parish Council currently has one notice board. Regular inspection Any reports of damage or faults are reported to the Parish Council and dealt with in accordance with the correct procedures of the Council.	Existing procedures adequate

HEALTH & SAFETY.

Councillors Activities	Claims made against an individual or council as a whole. Volunteers injure themselves or others during work Coronavirus - Avoid Spread of Virus	M	Full insurance cover in place to cover negligence, libel or slander. Corporate manslaughter and errors. Personal Injury cover within Insurance. Social Distancing Guidelines	Review cover within Insurance with procedures annually.
Contractors / Volunteers undertaking work in the parish	Inflicting injury on members of public whilst carrying out work	M	Request Risk assessments and where appropriate Method Statements. Request Contractor to carry public liability Insurance and ask for sight of Insurance certificate Council have £10m Public Liability	Review regularly upon each project
Public Injury whilst using Benches	Damaged Benches due to vandalism	L	Regular visual inspections Repairs carried out quickly when problem identified. Reviewed when cutting grass and undergrowth.	Review regularly
Open Spaces	Risk to Public Public Abuse of the facility Coronavirus - Social Distance Guidelines Spread of Virus	L	Issue a disclaimer clearly shown on entrance Notices to display reminder social distance. Hand washing facilities to stay safe	Adequate provision
Meeting locations	Claims made by councillors or the council as a whole. Health & Safety	L	The Parish Council meeting is held in a venue considered to have appropriate facilities for the Clerk, members and the general public.	Existing procedures carried out by St Marys Church.

	<p>Injury sustained by members undertaking duties. Corona Virus Regulations - Promote Zoom Meetings First Aid</p>		<p>Full Insurance liability. &amp; Personal Accident First aid facilities are supplied Coronavirus Pandemic -NO face-to-face meeting. – Face Masks if so. PPE Regular Hand washing / Stickers to promote extra sanitising to cleaning equipment used. Social Distance Guideline advice stickers</p>
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