

BADBY PARISH COUNCIL

RISK ASSESSMENT

Reviewed on 15th May 2017 and adopted: 12th June 2017

Definition of Risk Management

Risk is the threat that an event or action will adversely affect the Parish Council's ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements.

This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. The Parish Council is aware that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic and focused approach to managing risk.

Signed by Chairman _____

Signed by Clerk _____

ADMINISTRATION

Subject	Risk(s) identified	High/Medium/Low risk	Management/Control of risk	Action
Annual return	Not submitted within time limits	L	Annual Return is completed and signed by the Parish Council, submitted to the internal auditor for completion and signing and sent to external auditor within the time limit	Existing provision adequate. Diary for May.
Business continuity	Council not able to continue its business due to an unexpected or tragic circumstance	L	All files and recent records are kept at Clerk's home. Clerk makes a monthly back-up of files. In the event of Clerk becoming indisposed, Chairman to contact NCALC for advice.	Review when necessary. Ensure procedures followed.
Clerk	Actions undertaken	L	Clerk should be provide with relevant training, reference books, access to assistance and legal advice.	Existing provision adequate
Financial records	Inadequate records	L	Quarterly reconciliation prepared by RFO and checked by Internal Finance Controller. Two signatories on cheques. Internal and external audit. All financial obligations must be clearly minuted before any commitment. Any s137 payments must be recorded at time of approval.	Existing procedures adequate
Freedom of Information Act	Policy provision	L	The Parish Council has adopted a model publication scheme.	Existing provision adequate
Legal powers	Illegal activity or payment	H	Educate Council as to their legal powers.	Power shown on agenda and minutes.
Meeting location	Adequacy, health and safety	L	Meetings held in Badby village hall which has disabled access. Clerk has a key. In the event of Clerk being indisposed, contact Catrina Signey (Caretaker). Premises and facilities are	Existing provision adequate.

			considered adequate for Clerk, Councillors and any public who attend from a health, safety and comfort aspect.	
Members' interests	Register of members' interests	L	Register form to be reviewed at least on an annual basis	Members to take responsibility to update their register
Members' interests	Conflict of interest	M	Councillors have a duty of care to declare any interest at the start of the meeting. All declarations of interest to be minuted and any conflict addressed as appropriate.	Existing procedures adequate
Minutes, agenda, statutory documents	Non-compliance with statutory requirements	L	Minutes are reviewed, approved and signed at the next meeting. Minutes and agendas are displayed according to legal requirements. Business conducted at Council Meetings should be managed by the Chairman.	Existing provision adequate
Staff	Fraud by staff	L	Fidelity Guarantee value appropriately set	Council to review annually when insurance is due
Staff	Loss of key personnel (Clerk)	L	Hours, health, stress, training, long term sick, early departure – risk monitored and managed as appropriate	RFO/Councillor view

ASSET MANAGEMENT AND INSURANCE

Subject	Risk(s) identified	High/Medium/Low risk	Management/Control of risk	Action
Assets	Risk or damage to third party property or individuals	M	Review adequacy of Public Liability Insurance	Diary
Assets	Loss, damage etc	M	Annual inspection, update insurance and asset registers	Diary
Insurance	Compliance	L	Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement	Existing procedure adequate. Review annually.
Insurance	Cost	L	An annual comparison is made of other insurances available	Diary – April
Insurance	Adequacy	L	An annual review is undertaken of all insurance arrangements in place	Diary – April
Loss	Consequential loss due to critical damage or third party	L	Review of adequacy of insurance cover	Diary – May
Maintenance	Reduced value of assets or amenities – loss of income or performance	M	Annual maintenance inspection	Diary

FINANCIAL MANAGEMENT

Subject	Risk(s) identified	High/Medium/Low risk	Management/Control of risk	Action
Direct costs and overhead expenses	Cheque payable is excessive or to wrong party	M	Cheque signatories to initial stub and invoice	Councillors to verify
Direct costs and overhead expenses	Invoice incorrectly calculated or recorded	L	Check arithmetic on invoices and perform bank reconciliation on monthly basis	Councillor to verify
Direct costs and overhead expenses	Goods not supplied to Council	M	Follow up on all orders	Approval clerk
Election costs	Invoice at agreed rate	L	RFO to check and consider budget	RFO and Councillors to verify
Grants	Receipt of grant when due	M	Clerk/RFO as required	Grant receipts log kept
Grants	Claims procedure	M	Clerk/RFO as required	
Grants and support	Conditions agreed	L	Agree and fully document any reasonable conditions in Minutes	Clerk to action as and when appropriate
Grants and support	No power to pay or no evidence of agreement of Parish Council to pay	M	Minutes Parish Council agreement with the power used to authorise payment	Clerk to show on agenda and minutes. Councillors to verify.
Investment income	Surplus funds	L	Review levels and investment policy	
Investment income	Receipt when due	L	Clerk/RFO check as required	
Other income	From allotments	M	Check allotment/cricket club rental in	Diary – April, September
Other income	From cemetery	M	Burial Register updated regularly for grave allocations. Check of burial register to invoices to undertakers. Check of memorial fees work docketts to invoicing.	Councillor to verify on 6-monthly basis

Other income	Cash banking	L	Segregate duties. Check to bank statements. Quarterly bank reconciliation by RFO with Internal Finance Controller.	Internal Finance Controller to verify on quarterly basis with RFO.
Other income	Cash handling	L	Cash handling is avoided but where necessary, appropriate controls are in place – cash book with 2 signatures required. The Parish Council has no petty cash or float.	Annual review of documented controls.
Precept	Adequacy of precept	M	Quarterly review of budget to actual	Diary – July, October, January and April
Precept	Not paid by DDC	L	Confirm receipt	Diary – April, October
Precept	Not submitted	L	Full minute – RFO	Diary – January
Reserves – earmarked	Unidentified earmarked or contingency liability	L	Review minutes	RFO/Internal Finance Controller to review annually
Reserves – earmarked	Adequacy	L	Consider at Budget and review of final accounts	RFO opinion
Reserves – general	Adequacy	L	Consider at budget setting	Diary – November
Salaries	Challenge made on employment status	M	Clerk employed by Parish Council as in contract. PAYE/NIC to be paid where applicable	Contract
Salaries	Wrong deductions – NI and income tax	M	Check to PAYE calculators	Councillor to verify
Salaries	Wrong salary/hours/rate paid	M	Check salary to be minuted, check hours and rate to contract	Internal Finance Controller to verify
VAT	Claimed within time limits	M	Agree returns submitted	RFO verify

VAT	Charged on purchases	L	Consider all items per cash book lists	RFO verify
VAT	Charged on sales	M	Consider annually	RFO verify
VAT	VAT analysis	M	All items in cash book lists	RFO verify

Risk Assessment Form

Activity: Outdoor Working			Assessment Date: 15.05.17		Review Date: May 2018	
Hazard and Risk	People at risk	Optional Controls	Our Controls	Our Future Controls	Risk Level	Target date & by whom
High temperatures Heat exhaustion Dehydration Sunburn	Employees	Staff have good access to water/welfare facilities to take breaks as necessary. Hats worn in sunny conditions. Long-sleeved shirts in sunny conditions. Sunblock used if particularly sensitive. Staff instructed to regularly check skin for new moles/dis-colouration and for any growths on face and hands. Heavy manual work in hot weather restrict. Staff trained to recognise symptoms of dehydration, heat exhaustion etc.	Staff have good access to water/welfare facilities to take breaks as necessary. Hats worn in sunny conditions. Long-sleeved shirts in sunny conditions. Sunblock used if particularly sensitive. Staff instructed to regularly check skin for new moles/dis-colouration and for any growths on face and hands. Heavy manual work in hot weather restrict. Staff advised to recognise symptoms of dehydration, heat exhaustion etc.		Low	
Low Temperatures - Frostbite - Slips/ trips	Employees/ Public	Suitable PPE used. Outdoor work in extreme conditions restricted. Work access/egress routes gritted. Handrails provided in high risk areas.	No outdoor working to be undertaken in low temperatures.	No outdoor working to be undertaken in low temperatures.	Low	

<p>Wet Weather - Ill-health/ colds/ flu</p>	<p>Employees/ Public</p>	<p>Suitable PPE used. Adequate heating in welfare facilities. Suitable area for drying wet clothes. Outdoor work in extreme conditions restricted. Work access/egress routes gritted Good lighting in slippery areas Handrails provided in high risk areas.</p>	<p>No outdoor working to be undertaken in wet weather.</p>	<p>No outdoor working to be undertaken in wet weather.</p>	<p>Low</p>	
--	------------------------------	---	--	--	------------	--

Risk Assessment (Continued)

Activity: Outdoor Working			Assessment Date: 15.05.17	Review Date: May 2018		
Hazard and Risk	People at risk	Optional Controls	Our Controls	Our Future Controls	Risk Level	Target date & by whom
Windy Conditions - Dust inhalation - Falls	Employees/ Public	Work creating dusty conditions minimised. Working at height restricted. Public to be aware of mowing in progress.	Work creating dusty conditions minimised. Notice to advise public of mowing in progress.	Notice to advise public of mowing in progress.	Low	
Poor visibility	Employees/ public	High visibility clothing worn. Staff instructed not to work on highway in adverse weather conditions	No mowing to be undertaken during poor visibility.		Low	
Poor light	Employees	Adequate lighting available to work safety, especially in storage areas and for when using equipment. Any lighting source is well maintained	No mowing to be undertaken during poor light.		Low	
Electrical storms - Electrical strike	Employees	No outdoor working in electrical storms	No outdoor working in electrical storms		Low	
In case of accident / Lone working	Employees	Mobile phone to be carried at all times.	Mobile phone to be carried at all times. If operator working alone someone should be made aware and contact made at regular intervals.		Low	
Assessor's signature:			Clerk's signature			
Date:			Date:			

Risk Assessment Form

Activity: Mowing/ Strimming			Assessment Date: 15.05.17	Review Date: June 2018		
Hazard and Risk	People at risk	Optional Controls	Our Controls	Our Future Controls	Risk Level	Target date & by whom
Use of equipment - Cuts/ lacerations	Operative	All operatives to wear steel toe capped boots, ear defenders, visors, protective gloves, hi-viz jacket and overalls. Equipment fitted with appropriate safety cut-off switches. Operatives advised in safe use of equipment Staff monitored to ensure PPE worn. Protective equipment hygienically stored, properly maintained and suitable for use.	All operatives to wear steel toe capped boots, ear defenders, visors, protective gloves, hi-viz jacket and overalls. Ensure equipment fitted with appropriate safety cut-off switches. Operatives advised in safe use of equipment Staff monitored to ensure PPE worn. Protective equipment hygienically stored, properly maintained and suitable for use.	To monitor	Low	To advise mowing contractor
Stones/glass thrown up	Operative and general public	Stone guards fitted to equipment. Staff instructed to check area for glass/stones before cutting grass Staff ensure there are no members of public within 15 feet of equipment when in use. Sign to be posted that mowing	Stone guards fitted to equipment. Staff instructed to check area for glass/stones before cutting grass Staff ensure there are no members of public within 15 feet of equipment when in use. Sign to be provided to contractor	Clerk to provide notice to contractor re Mowing in Progress	Low	Clerk asap

		in progress in cemetery				
Manual Handling	Operative	Own equipment to be used				
Vibration	Operative	Equipment serviced every year and maintained when necessary. Operatives wear gloves. Operatives not to use strimmer for more than 1 hour at any one time. Equipment is subject to a regular, routine servicing and maintenance programme. Staff monitored to ensure gloves are worn, procedures followed.	Equipment serviced every year and maintained when necessary. Operatives wear gloves. Operatives not to use strimmer for more than 1 hour at any one time. Equipment is subject to regular, routine servicing and maintenance. Staff monitored to ensure gloves are worn, procedures followed.	Review at regular intervals	Low	

Risk Assessment (Continued)

Activity: Mowing/ Strimming			Assessment Date: 15.05.17	Review Date: June 2018		
Hazard and Risk	People at risk	Optional Controls	Our Controls	Our Future Controls	Risk Level	Target date & by whom
Noise	Operative	Staff monitored to ensure ear defenders are being worn. Ear defenders provided and worn when equipment is in use. Ear defenders hygienically stored and properly maintained. Equipment with low noise levels purchased.	Staff monitored to ensure ear defenders are being worn. Ear defenders provided and worn when equipment is in use. Ear defenders hygienically stored and properly maintained.		Low	
Slips/trips	Operative and general public	Leaf blower used on footpath and/or footpath swept to remove the leaves.	Footpath to be swept to remove excess. Anti-slip surface on cemetery footpath.		Low	
Contact with pollen, dust, grass etc.	Operative and general public	Filter masks provided to staff on request.	Filter masks provided to staff on request.		Low	
Dog faeces disturbed by equipment	Operative	Land inspected prior to use of equipment. Operatives wash footwear before removing them. Operatives made aware of potential hazards. Antiseptic wipes to be available First Aid available.	Land inspected prior to use of equipment. Operatives wash footwear before removing them. Operatives made aware of potential hazards. Antiseptic wipes available. First Aid available.	First aid kit and antiseptic wipes to be installed in cemetery shed Operator to be given code to shed	Low	
Clearing blockages	Operative	Mowers/trimmers fitted with safety cut off devices. Operatives wear safety gloves/goggles when carrying out this duty. Equipment is switched off.	Mowers/trimmers fitted with safety cut off devices. Operatives wear safety gloves/goggles when carrying out this duty. Equipment is switched off.	Ensure equipment is fitted with cut off device	Low	

Risk Assessment (Continued)

Activity: Mowing/ Strimming			Assessment Date: 15.05.17	Review Date: June 2018		
Hazard and Risk	People at risk	Optional Controls	Our Controls	Our Future Controls	Risk Level	Target date & by whom
Clearing blockages	Operative	Operatives monitored to ensure that protective equipment is being used.	Operatives monitored to ensure that protective equipment is being used.		Low	
Refilling mower/trimmer with fuel mixture	Operative	Rubber gloves to be worn by operatives Use of glove monitored. Staff provided with adequate personal hygiene facilities and instructed to wash hands at regular intervals. Sterile wipes available.	Rubber gloves to be worn by operatives. Use of glove monitored. Staff provided with adequate personal hygiene facilities and instructed to wash hands at regular intervals. Sterile wipes available in first aid kit.	Sterile wipes to be included in first aid kit	Low	
Weather	Operative	PPE provided. Suitable welfare facilities available. See separate Risk Assessment 'OUTDOOR WORK'	PPE provided. Suitable welfare facilities available. See separate Risk Assessment 'OUTDOOR WORK'		Low	
Assessor's signature:			Clerk's signature			
Date:			Date:			