Risk Assessment
for Spelsbury Parish Council

Risk Assessment Completed by: Anne Ogilvie, Clerk to the Parish Council
Date Completed: 25 June 2025 Risk Assessment Review Date: 01 July 2026

Description of Hazard	Who might be harmed and how, or issue	Existing Control Measures	Risk Rating	Further Actions	Date Actions Complete	Residual Risk Rating
FINANCE		• Financial Regulations • Standing Orders	Low			
Precept	Precept not applied for Precept not received PC budget	• Diary entry of relevant dates to apply and receive precept • Confirmation of precept application • Confirmation precept receipt through bank statement • Adequacy of precept through budget and budget monitoring • Minuted agenda items for precept determination, precept receipt	Low			
Parish Grant	Parish Grant not received	• Confirmation of grant receipt through bank statement • Minuted report of monies received	Low			
Budget	Overspending Unauthorised spending	• Minuted agenda items for budget creation and budget monitoring • Draft budget created showing previous actuals and predictions • Budget discussions in autumn to discuss plans • Budget approved by full council • Budget monitoring report presented to full council at least quarterly	Low			
Loans	Compliance with restrictions, repayments	• Legal advice and advice from appropriate bodies sought before and during decision making • Budget item to ensure repayments are included with council budget and precept	Low			
Salaries	Incorrect salary/hours/ or hourly rate paid Incorrect deductions made HMRC RTI failure	• Employee timesheet approved by designated Councillor • Current rate of pay and changes approved by Council • Changes reported to payroll company approved by designated Councillor • Professional company used to run payroll • Pay reports checked prior to salaries being paid • Reports sent by payroll company • Receipt of report received by Council • Diary entry of payment dates • HMRC payments made as required • Receipt of HMRC RTI report checked	Low			

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Financial records	Inadequate or incorrect records	• Accounts updated at least monthly • Current account bank balance, accounts update, budget monitoring & bank reconciliation reviewed & minuted at every full council meeting • Bank reconciliation undertaken monthly and checked by council against bank statement • Internal auditor instructed annually • Internal auditor review undertaken by council • Review of effectiveness of internal auditor undertaken by Council • Completion of AGAR • Financial Regulations followed • Annual audit carried out by external auditor if receipts or payments are over £25,000 or by full council decision	Low			
Financial controls	Goods not supplied to Council after payment Invoice incorrectly calculated or recorded Incorrect payment made Processing receipts Fraud, theft, embezzlement Value for money, fairness Councillor/Clerk expenditure claims	• Quote, purchase order, delivery note and invoice checked • Payment before order only to be made to approved suppliers • Invoices checked prior to payment • Monthly bank reconciliation carried out, “checksums” in accounts to monitor input accuracy • Payment list created and approved at full council meeting • Majority of receipts transferred into bank account electronically • Cheque or cash receipts rare and low value • All receipts received reported at full council meeting • Minimum of two councillor signatories on bank mandate • Two signatures required on cheque payments • Two councillor approval system for electronic payments • Cheque signatories check cheque details against invoice, initial invoice and cheque stub • Bank transfer list made, checked against payment list and approved prior to payment. • No petty cash float held • Internal financial controls undertaken at correct intervals • Regular review of effectiveness of internal financial controls • Cash amounts rarely received and low value • Fidelity insurance cover in place • Multiple quotations obtained for works where relevant • Regular contract review • Completed expense form checked by Clerk • Completed expense form approved by council before payment	Low			

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VAT	VAT misclaimed or not claimed within time limit for refund	• VAT element accounted for separately within accounting system • VAT claimed at least on an annual basis • Evidence of claim submitted to council • Diary entry of relevant date to claim refund	Low			
Grants and donations	Monies improperly awarded or used	• Grants and Donations Policy	Low			
Banking	Safety of investments	• Accounts held with established banks • Internet banking in place, access controls in place	Low			
Bank reserves	May not be adequate to cover unexpected costs or delay in receipt of precept	• Council agreement of adequate reserve requirement • Future reserve requirement considered during budget setting process, and minuted • Reserves Policy	Low			
ADMINISTRATION		• Standing Orders • Financial Regulations				
Legal powers	Unlawful activity or decision making	• Standing Orders reviewed and adopted annually • Financial Regulations reviewed and adopted annually • GDPR policies reviewed and adopted annually • Councillor Code of Conduct adopted annually • Acceptance of Office signed by every councillor • OALC training available to councillors and staff covering legal powers • Clerk has access to OALC, SLCC and other bodies to check legality of proposals and actions • List of legal powers available at council meetings • Clerk attends training and conferences to ensure CPD is up-to-date and knowledge is current	Low			
Minutes	Inaccurate records Inadequate storage	• Draft minutes issued to council prior to following meeting • Minutes reviewed and approved by council, signed by Chairman at following meeting • Signed minutes filed in folder • Minutes transferred to County Archive regularly	Low			
Members' interests	Conflict of interest Harm to authority's public reputation	• Register of Interest form completed by every councillor • Register of Interest form updated if relevant change occurs • Opportunity to declare interests at every meeting – minuted agenda item • Councillors free to declare an interest at any point during a meeting, declaration minuted. • Any potential conflict addressed at council meetings as required • Monitoring Officer advice sought as required • Copy of Register of Interest form kept by WODC • Gift and Hospitality Register in operation	Low			

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Employer Responsibilities	Non-compliance with employment law Non-compliance with Pension Regulations	• Staff issued with employment contract and job description • Staff registered with HMRC as employees • Employment policies • Council has pension scheme • Staff enrolled in pension scheme after probation period if meet criteria	Low			
Transparency	Failure to comply with Code Failure to comply with ICO FoI Scheme	• Council website updated as required to contain correct information as required by current regulations • Systems and website reviewed regularly to ensure FOI Scheme is being adhered to • Freedom of Information Scheme adopted	Low			
GDPR	Failure to comply with Regulations	• Data Protection Registration renewed annually • GDPR polices and notices in place and reviewed annually	Low			
Suppliers	Loss or damage due to performance	• Supplier review as part of supplier approval process • Contract review process • Financial checks undertaken if required • Insurance, certifications and risk assessments requested as required	Low			
Document control	Loss or damage	• Archived documents stored in metal cabinet in Spelsbury Memorial Hall • Archive minutes and financial documents stored in County archive • Current documents stored at Clerk's address • Computer documents backed up regularly	Low			
INSURANCE						
Insurance	Management of risk to council – loss, damage, liability	• Annual review of adequacy of insurance cover, including asset and liability cover • Review of insurance cover for any new activity and change made as required • Public Liability insurance in place	Low			
ASSETS						
Protection of physical assets	Loss or damage	• Asset register regularly updated and approved by Council, with photographs and map of asset positions • Annual inspection of assets by councillor • Repair and maintenance as required • Adequate insurance level to match current asset register • Insurance value increased as required	Low			
Third party protection	Risk or damage to third party property or individuals	• Adequate Public Insurance Liability • Repair and maintenance as required	Low			

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Maintenance	Reduced value of assets	• Supplier approval process to ensure suitably qualified contractors carry out maintenance and repairs	Low			
Protection and security of soft and hard copy documents	Theft or loss of information, financial records	• Council laptop password protected, with security software • Cloud backup of council documents • Hard copy documents stored in metal cabinet at Spelsbury Memorial Hall, at County archive, or at Clerk's address • Council Dropbox used to share council documents with councillors • Access to council Dropbox removed from retired councillors • Retiring councillors requested to delete/destroy/return any council documents in their possession	Low			
Play areas	Loss or damage, risk or damage to third parties	• Correct insurance in place • Monthly inspection of play areas, written record kept • Play area inspection results reported at council meetings for actions to be agreed • Dangerous/unsafe equipment to be cordoned off and photo taken as evidence of closure • Annual inspection carried out by RoSPA qualified inspector • Repair/maintenance work carried out as required	Low			
EMPLOYEES						
Working at home	Person may suffer ill health, injury or personal attack	• Visits from members of the public strictly controlled • Work-station assessment to be carried out following HSE guidelines • Display screen equipment assessment to be carried out following HSE guidelines	Low			
Absence	Long term sickness or absence by Clerk Resignation of Clerk	• Business Continuity Policy • Business Continuity Plan • Councillors to take over Clerk duties	Low			
Management	Poor relationships Legal action Unlawful decisions	• Employment Policies reviewed and adopted annually	Low			
Knowledge	Actions which may be unlawful, unwise, damaging	• Training and Development policy • Staff training	Low			
HEALTH AND SAFETY		• Health and Safety Policy				
Lone working in the parish and on council business	Person may be taken ill, have accident or suffer personal attack	• Second person (staff/councillor/member of family) informed of location and start/end times of task • Councillors to take on duties until Clerk or nominated councillor recovered • Charged mobile phone to be carried at all times when lone working	Low			

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Violence and aggression	Person may sustain physical or verbal attack	• Staff/councillor to avoid meeting members of public in remote locations on a one-to-one basis, particularly when handling complaints • Public invited to speak at council meetings in order that issues and complaints are dealt with as a group	Low			
Manual handling	Physical injury from incorrect lifting or unplanned lift	• Small items only are lifted on an irregular basis • Larger tasks carried out by trained, competent contractors • Higher risk tasks to be individually risk assessed prior to carrying out, and suitable safety measures taken	Low			
Work at height	Injury from fall from height	• Minimal low-level use of ladders • Higher risk tasks are carried out by competent, trained contractors • Ladders checked regularly for deterioration and rectified	Low			
Electric shock	Shock from faulty electrical equipment or wiring	• All electrical works carried out by competent electrical contractors • Council owned portable equipment PAT tested/checked by competent person	Low			
First aid emergency	First aid required	• First Aid kit accessible at Memorial Hall • Clerk/councillors to carry or have access to first aid kit if deemed necessary for activity	Low			
Driving/travelling	Person may suffer injury or be involved in collision with third party	• Minimal driving required for tasks within the parish • Drivers must be competent, hold adequate insurance, be in good general state of health and not drive when tired • Vehicles must be well maintained and subject to statutory checks	Low			
Slips, Trips and Fall	Injury	• Suitable stout, well-soled shoes for outdoor activities	Low			
EVENTS AND ACTIVITIES						
Council activities	Specific risk linked to activity	• Specific risk assessments carried out prior to event or activity • Correct insurance in place prior to event or activity	Low			
COVID-19 pandemic	Getting or spreading COVID-19 Mental health and well-being of councillors and staff Employer responsibilities Late or reduced level of Precept	• COVID-19 risk assessment updated as required to follow current government guidance • COVID-19 Employer risk assessment updated as required to follow current government guidance • General reserves available to cover late receipt of precept • Budget monitoring shows spending compared to receipts	Low			

Key to Risk Ratings
Low Risk – Continue with existing control measures
Medium Risk – Proceed with caution. Review whether task can be carried out another way or whether additional control measures are required
High Risk - Do not proceed until an alternative safe system of work or other control measures are put into place

Risk Matrix

Likelihood			
Highly likely (score 3)	Medium (3 x 1)	High (3 x 2)	Very high (3 x 3)
Possible (score 2)	Low (2 x 1)	Medium (2 x 2)	High (2 x 3)
Unlikely (score 1)	Very low (1 x 1)	Low (1 x 2)	Medium (1 x 3)
Impact	Negligible (score 1)	Moderate (score 2)	Severe (score 3)

	Date created	Carried out by (Name)	Job Title
	25.06.25	Anne Ogilvie	Parish Clerk and RFO