

# Baldons Parish Council

## Risk Assessment and Management (Financial and Health and Safety) 2021/22

Topic	Risk identified	H/ M/ L	Management of risk	Resp.	Freq.
<b>Income</b>					
Precept	Not submitted	H	Full PC minute; RFO to follow up	JM/RFO	12 mth
	Not paid by SODC	H	Check and report to PC	JM/RFO	6 mth
	Adequacy of precept	H	Review of financial status at PC meetings	JM/RFO	2 mth
<b>Expenditure</b>					
Clerk's salary	Wrong salary paid	M	Check minutes and RFO's report	DT	3 mth
	Wrong rate of pay	M	Check minutes and agreed rate of pay	DT	12 mth
	False employee	L	Additional signature on pay cheque	DT/SD/RFO	12 mth
Direct costs/ expenses	Goods not supplied to PC	M	RFO and chairman to confirm prior to signing cheque	DT/RFO	A & W
	Invoice incorrectly calculated	M	Check calculation – chairman to check before sign-off	DT/RFO	A & W
	Cheque payable is excessive	M	Check cheque against invoice – Chairman to sign-off	DT/RFO	A & W
	Cheque payable to wrong party	M	RFO/Chairman to check before sign-off	DT/RFO	A & W
Councillors' expenses	Councillor over/underpaid	M	Claim form and receipts checked verified by RFO	DT/RFO	2 mth
Online payments	Incorrect payments	M	All payments need to be authorised by two signatories, at least one must be the Chairman. Chairman receives invoice when asked to authorise a payment to check correct amount.	DT/RFO	12 mth
Support/Donations	Ability/Power to pay	H	Minute all donations and check legal powers	DT/RFO	A & W
	Agreement of PC to pay	M	Check minutes/standing Orders/Delegated powers	DT/RFO	A & W
	Follow up	M	RFO to check and consider budget	RFO	A & W
VAT	VAT analysis	M	All items in cash book / Claim annually/6mths	JM/RFO	6 mth
	Charged on purchases	M	Consider all items in cash book	JM/RFO	6 mth
	Claim within time limits	M	Agree returns submitted	JMRFO	6 mth
	Unpaid by HM Custom and Excise	M	RFO to check and reconcile against bank statement	RFO	6 mth
Financial reserves	Adequacy	M	Consider at Budget meeting and minute	All/RFO	12 mth
	Earmarked or contingent	M	Review with councillors	All/RFO	12 mth
Insurance	Risk or damage to third party	H	Review adequacy of Public Liability Insurance	JM/RFO	12 mth
	Fraud by staff	M	Review adequacy of Fidelity Guarantee Insurance	JM/RFO	12 mth
Cash	Loss through theft or dishonesty	L	Council or RFO do not hold any cash. Review adequacy of Fidelity Guarantee Insurance	DT	12 mth
Maintenance	Poor performance by suppliers	M	Monitor suppliers eg mowing, tree services	DT/SD/RFO	A & W
Legal powers	Illegal activity or payment	H	Train Clerk and educate councillors	DT/RFO	12 mth

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Best value	Overspend on services	H	Ensure correct tendering for services required	DT/RFO	A & W
<b>Health and Safety</b>					
Contractors engaged by the council	Contractors injured while carrying out maintenance work on the Green and elsewhere	H	Ensure all contractors carry the necessary liability insurance and all staff appropriately trained. Council to hold sufficient insurance to cover accidents	DT/RFO	12 mth
	Member of public injured while contractors working on the Green and elsewhere	H	Ensure all contractors carry the necessary liability insurance and all staff appropriately trained. Council to hold sufficient insurance to cover accidents	DT/RFO	12 mth
Accidents	Member(s) of the public injured on the Green eg falling tree or falling out of a tree	M	Trees are regularly checked by qualified arborists. Council holds sufficient insurance to cover such events.	DT/RFO	12 mth

DT = Dorothy Tonge (Chairman)

JM = Cllr. John Maskell

SD = Stephen Dance (Vice-chairman)

Reviewed and agreed:	10.05.21	Minute:	030/21	Review date:	May 2022
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