

Council & Financial Risk Assessment

Name of Organisation:	Kings Hill Parish Council	Start Date:	15/05/2019
Person Responsible:	Full Council	Date of Assessment:	20/05/2020
Name of Risk Assessor:	Full Council	Date of Review:	

No	Hazard & Potential Consequences	Persons at Risk	Control Measures	Potential Severity of Harm (High, Med, Low)	Additional Control Measures Necessary	Likelihood of harm occurring (High, Med, Low)	Action by Whom	Action by When
PHYSICAL ASSETS								
1.	<u>Protection of Physical Assets owned or managed by the Parish Council</u> <ul style="list-style-type: none"> Community Centre building Youth Facility Extension Sports Park Pavilion Contents of the Community Centre, Youth Facility, Sports Park & Bar Machinery and tools at Sports Park Contents of the Offices Allotments Play equipment – Anson Avenue Play equipment – Sports Park. 	Parish Council Staff Members of the public	<ul style="list-style-type: none"> Insured: Liberty (CNA Policy PR0003876) Insured: Hiscox (Policy 1891376) Asset lists and inventory undertaken & reviewed at least annually Disposals always reported and approved by Full Council and included in the minutes. 	High		Low		

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	<ul style="list-style-type: none"> • Notice boards • Bus shelter • Salt bins • Benches • Stage • Village Sign 							
2.	<u>Maintenance of physical assets owned by the Parish Council</u> See list of assets categories above	Parish Council Staff Members of the public Hirers	Regular periodic in-house & independent inspections & reviews undertaken for all physical assets	Medium	Health and Safety Audit flagged up the necessity for more regular spot checks	Medium	Clerk	Ongoing
3.	<u>Protection of Security of Building and Contents</u> <ul style="list-style-type: none"> • Community Centre • Parish Office • Youth Extension • Sports Pavilion 	Parish Council Staff	Insured: • Hiscox (Policy 1891376) Provision of CCTV system and regular reviews Provision of well-maintained fire alarm Provision of security alarm at SP pavilion	High		Low		
PUBLIC LIABILITY								
4.	<u>Safety of the public in areas under the Parish Council's responsibility</u>	Parish Council Staff Members of the public Hirers	Anson Avenue playground, open space, Garden Way & Lapins Lane – open spaces and KH Sports Park – quarterly inspection undertaken External contractor undertakes regular maintenance work	Low		Low		

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			Review contractor's quality of work during quarterly inspection. Regular inspections by officer. Ensure appropriate certificates are held by contractors					
5.	<u>Events organised by the Parish Council</u>	Parish Council Staff Members of the public Hirers	Individual event risk assessments undertaken and approved by the Clerk.	Medium		Low		
6.	<u>Events organised by others on Parish Council Property</u>	Parish Council Staff Members of the public Hirers	Risk assessment to be undertaken by organiser and approved by Clerk. Parish Council risk assessment to be undertaken where appropriate.	Medium		Low		
SECURITY								
7.	<u>Buildings</u>	Parish Council Staff Members of the public Hirers	CCTV Policy in place & controlled by senior staff only to reduce abuse. Information released to police only. Security alarm in place at the Sports Park Key-holders notified to Liberty All hirers with keys have signed a disclaimer and	Low	Up to date key list to be checked	Medium Medium	Clerk	30/11/2017

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			an up to date list of kept of key-holders.					
8.	<u>Bar – security – Community Centre and Sports Park</u>	Parish Council Staff Members of the public Hirers	Stock rooms locked and controlled by Bar supervisors. Stock insured: Hiscox (Policy 1891376) Keep stock at minimal levels reasonable Conduct monthly stock takes as a minimum	Medium		Medium		
LEGAL LIABILITIES								
9.	<u>Protection for Legal Liabilities</u> <ul style="list-style-type: none"> • Public Liability • Hirer’s Indemnity • Officials indemnity • Employers Liability • Libel & Slander • Personal Accident • Fidelity Guarantee 	Parish Council Staff Members of the public Hirers	Insured: • Hiscox (Policy 1891376)	High		Low		
10.	<u>Compliance with Employment Law and Inland Revenue Regulation including VAT</u>	Parish Council Staff Members of the public Hirers	Quarterly VAT returns to HM Revenue and Customs Use of computerised accounting system to prepare VAT returns Reconciliation of VAT returns to balance sheet Use of Sage computerised Payroll system	Medium		Low		

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			<p>Monthly payment of PAYE & NIC</p> <hr/> <p>Council is now subscribed to Ellis Whittam HR advice.</p> <hr/>		Council to procure HR and legal advisor on retainer agreement	High	Clerk	30/11/2017

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11.	<u>Health and Safety</u> <ul style="list-style-type: none"> Risk Assessments 	Parish Council Staff Members of the public Hirers	<p>The following risk assessments undertaken annually and reviewed periodically:</p> <ul style="list-style-type: none"> Council, Financial & Staff including COSHH, manual handling, lone working Buildings & sites Open Spaces Allotments Events Covid 19. 	High	Additional measures in place for Covid 19.	Medium		
			Incidents reported through the Clerk and records maintained.					
			Accident books kept at the Community Centre and Sports Park.					
			Regular item on Full Council agenda to allow reporting to be done if required.					
12.	<u>Fire Training and Fire Emergency Plan</u>	Parish Council Staff Members of the public	<p>Emergency plan given to all hirers with booking</p> <p>Emergency plan displayed prominently in building</p>	High		Low		

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		Hirers	Training for Fire Marshall course undertaken. New employees to undergo training as part of their induction. Action plan required after additional training. Regular fire alarm drills. All staff to undergo regular fire training.					
13.	<u>Contracts</u>	Parish Council Staff	Receive legal advice at appropriate level for the following: Leases Licences Tenancy agreements	Medium		Low		
FINANCES AND BANKING								
14.	<u>Keeping Proper Financial Records</u>	Parish Council Staff	Independent Internal Audit – twice a year and reported to FHR Committee/Full Council. Full monthly list of payments approved at Full Council meetings. All cheques/payments to be signed by 2 signatories. Use of computerised accounting package	Medium		Low		

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			Financial records presented to FHR monthly & Full Council quarterly.					
15.	<u>Mismanagement of public funds and spending outside of budgets.</u>	Parish Council Members	<p>Reminders to councillors that they are responsible for the management of the council's finances.</p> <p>Careful fiscal management.</p> <p>Reporting on reserves position at FHR meeting and quarterly at Full Council.</p> <p>Limitations on virement of budgets. This must only be agreed by Full Council.</p> <p>Spending outside of budgets must be agreed by FHR.</p>	High		Medium		
16.	<u>Banking Arrangements</u>	Parish Council Staff	<p>Regular bank reconciliations undertaken for all bank accounts.</p> <p>FHR Committee verify bank statements and balances to bank reconciliation.</p>	Medium		Low		

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			Cheques received are recorded and banked promptly.					
			Ensure that cash funds are spread around various banks to reduce the risk of any one institution becoming vulnerable.					
17.	<u>BACs and other Payments</u>	Parish Council	Staff to follow agreed procedure. Form to be completed for every transaction and signed by 2 bank signatories and officer completing the transaction.	Medium		Low		
18.	<u>Bar – accounting – Community Centre & Sports Park</u>	Parish Council	Analysis of takings on an event by event and monthly basis.	Low		Medium		
			VAT accounted for through RBS					
19.	<u>Bar – cash – Community Centre & Sports Park</u>	Parish Council Parish Council	Monthly reconciliation undertaken by Sports Bar Manager and verified	Low		Low		
			VAT accounted for through RBS.					
			Insurance of cash in place.					

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20.	<u>Bar – cash – Community Centre</u> <u>Petty Cash</u>	Parish Council Parish Council	Ensure that cash is stored in the safe after each event and banked on the next working day. Cash is counted and verified by the bar staff 2 signatures required on petty cash slips	Medium		Medium		
21.	<u>Petty Cash</u>	Parish Council	Receipts required Reconciliation to float done monthly Insurance against theft Petty Cash controlled by the Deputy Clerk at the Parish Office and Sports Park Manager at the Sports Park. RFO approves and signs reconciliation Quarterly spot checks of cash floats by RFO. For named personnel only – Clerk/RFO and AFO	Low		Low		
22.	<u>Expenses - councillors</u>	Parish Council	Reconciliations undertaken monthly. Expenditure reported at every FHR meeting and reconciliation verified All expenses must be approved by the RFO	Low		Low		

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23.	<u>Expenses – staff</u>	Parish Council Parish Council	Reconciliations of councillor expenses undertaken prior to payments made every month	Low		Low		
			Use of shared transport with other councillors or staff required.					
			Expenses policy in place All expenses must be approved by the RFO.					
			All payments signed by 2 councillors					
			Receipts must be attached (with the exception of mileage claims)					
			Use of shared transport with other councillors or staff required.					
24.	<u>Bad Debts</u> <u>Compliance with Audit Requirements</u>	Parish Council	Ensuring chqs received are recorded and banked promptly	Low				

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			Payment in advance of ad-hoc bookings Any bad debts are approved by Full Council Private Bookings – deposit required Independent Internal Audit undertaken twice times a year.			Medium		
25.	<u>Ensuring adequacy of Annual Precept</u>	Parish Council	Regular variance analysis undertaken and reported to FHR and Full Council.	Medium		Medium		
26.	<u>Ensuring adequacy of Annual Precept</u>	Parish Council	Budgeting process to include previous year's actual figures compared to budget	Medium		Medium		
27.	<u>Accurate reporting of Council Business in Minutes</u>	Parish Council Members	Draft minutes sent to all members with agenda. All committee minutes confirmed at monthly Full Council. Meetings and minutes properly numbered. Publish minutes on website.	Low				
28.	<u>Adoption and Adherence to the Code of Conduct</u>	Parish Council Members	Procedures for Members adoption of the Code of Conduct. Each Member provided with copy of the Code	Low				

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			Information pack provided for all new Members					
			Offer training for new councillors. DPI's for each member on website					
29.	<u>Computer Failure</u>	Members Staff	All files backed up in 'The Cloud'. Surge protection fitted IT contract in place to maintain system	Medium				
30.	<u>Allotment Tenancy agreements</u>	Parish Council	Review of signed agreements to ensure they are all in place prior to residents taking control of their plot Deposits held in suspense and administered by Chief Facility Officer Regular risk assessment of area	Low		Low		