

Council & Financial Risk Assessment

Name of Organisation:	Kings Hill Parish Council	Start Date:	15/05/2019
Person Responsible:	Full Council	Date of Assessment:	19/05/2021
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 – 	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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	Anson Avenue <ul style="list-style-type: none"> • Play equipment – Sports Park. • 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 A capital renewals programme is being developed.	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	Anson Avenue playground, open space, Garden Way & Lapins Lane – open spaces and KH Sports Park –	Low		Low		

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		public Hirers	<p>quarterly inspection undertaken</p> <p>External contractor undertakes regular maintenance work</p> <p>Review contractor's quality of work during quarterly inspection.</p> <p>Regular inspections by officer.</p> <p>Ensure appropriate certificates are held by contractors</p> <p>Ensure the safe use of pest control by not undertaking the shooting of rabbits at the sports park.</p>					
5.	<u>Safeguarding of Children</u>	Children	<p>Ensure all staff that have regular contact with children are DBS checked.</p> <p>Any hirer has to be over the age of 21.</p> <p>All hirers are responsible for the children in their groups.</p> <p>A risk assessment is undertaken at any parish council event and</p>	Medium		Low		

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			a lost child policy and briefing is given to all staff/ volunteers of the council.					
6.	<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		
7.	<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								
8.	<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 an up to date list of kept of key-holders.	Low	Up to date key list to be checked	Medium Medium	Clerk	30/11/2017
9.	<u>Bar – security –</u>	Parish	Stock rooms locked and	Medium		Medium		

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	<u>Community Centre and Sports Park</u>	Council Staff Members of the public Hirers	controlled by Bar supervisors. Stock insured: Hiscox (Policy 1891376) Keep stock at minimal levels reasonable Conduct monthly stock takes as a minimum					
LEGAL LIABILITIES								
10.	<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		
11.	<u>Non compliance of Equality Act 2010</u> Not meeting the thresholds for the duty to make reasonable adjustments for disabled people	Corporate Body Members of the public	Maintenance of lift to keep in fully working order.	Low	Amenities decision in Jan 21 to defer the cost of fixing the lift to next financial year. Low risk as meetings are currently not taking place face to face/ public buildings have been closed due to Coronavirus therefore members of the public will not need to use the	Low		

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					lift.			
12.	<u>Compliance with Health and Safety (Display Screen Equipment) Regulations 1992 as amended by the Health and Safety (Miscellaneous Amendments) Regulations 2002</u>	Parish Council Staff Members	DSE Assessments to be rolled out in the new municipal year.	High	Further training	Low		
13.	<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 Monthly payment of PAYE & NIC Council is now subscribed to Ellis Whittam HR advice.	Medium	Council to procure HR and legal advisor on retainer agreement	Low High	Clerk	30/11/2017

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14.	<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. <p>Incidents reported through the Clerk and records maintained.</p> <p>Accident books kept at the Community Centre and Sports Park.</p> <p>Regular item on Full Council agenda to allow reporting to be done if required.</p>	High	Additional measures in place for Covid 19.	Medium		

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15.	<u>Fire Training and Fire Emergency Plan</u>	Parish Council Staff Members of the public Hirers	<p>Emergency plan given to all hirers with booking</p> <p>Emergency plan displayed prominently in building</p> <p>Training for Fire Marshall course undertaken.</p> <p>New employees to undergo training as part of their induction.</p> <p>Action plan required after additional training.</p> <p>Regular fire alarm drills.</p> <p>All staff to undergo regular fire training.</p>	High		Low		
16.	<u>Contracts</u>	Parish Council Staff	<p>Receive legal advice at appropriate level for the following:</p> <p>Leases</p> <p>Licences</p> <p>Tenancy agreements</p>	Medium		Low		
17.	<u>Non compliance with Standard Requirements for Crossing or Working in Close Proximity to CLH-PS Pipelines</u>	<p>Corporate Body</p> <p>Contractors</p> <p>Staff</p>	<p>Comply with regulation requiring work consents for work undertaken close to the pipeline</p> <p>Ensure any contractors working in this area have sufficient insurance cover.</p> <p>Any works in area must be overseen by a</p>	Medium		Low		

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			<p>pipeline technician.</p> <p>Obtain RAMS and method statements for contractors working in this area.</p> <p>Make hirers fully aware of the Pluto Line and supervise on the day of hire</p>					
FINANCES AND BANKING								
18.	<u>Keeping Proper Financial Records</u>	Parish Council Staff	<p>Independent Internal Audit – twice a year and reported to FHR Committee/Full Council.</p> <p>Full monthly list of payments approved at Full Council meetings.</p> <p>All cheques/payments to be signed by 2 signatories.</p> <p>Use of computerised accounting package</p> <p>Financial records presented to FHR monthly & Full Council quarterly.</p>	Medium		Low		

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19.	<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		
20.	<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> <p>Cheques received are recorded and banked promptly.</p>	Medium		Low		

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			Ensure that cash funds are spread around various banks to reduce the risk of any one institution becoming vulnerable.					
21.	<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		
22.	<u>Bar – accounting – Community Centre & Sports Park</u>	Parish Council	Analysis of takings on an event by event and monthly basis. VAT accounted for through RBS	Low		Medium		
23.	<u>Bar – cash – Community Centre & Sports Park</u>	Parish Council Parish Council	Monthly reconciliation undertaken by Sports Bar Manager and verified VAT accounted for through RBS. Insurance of cash in place.	Low		Low		
24.	<u>Bar – cash – Community Centre 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	Medium		Medium		

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			2 signatures required on petty cash slips					
25.	<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		
26.	<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		
27.	<u>Expenses – staff</u>	Parish Council Parish Council	Reconciliations of councillor expenses undertaken prior to payments made every month Use of shared transport with other councillors or staff required.	Low		Low		

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			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) Regular credit control					
28.	<u>Bad Debts Compliance with Audit Requirements</u>	Parish Council	Ensuring chqs received are recorded and banked promptly 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.	Low		Medium		
29.	<u>Ensuring adequacy of Annual Precept</u>	Parish Council	Regular variance analysis undertaken and reported to FHR and Full Council.	Medium		Medium		
30.	<u>Ensuring adequacy of Annual Precept</u>	Parish Council	Budgeting process to include previous year's actual figures compared to budget	Medium		Medium		
31.	<u>Accurate reporting of Council Business in</u>	Parish Council	Draft minutes sent to all members with agenda.	Low				

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	<u>Minutes</u>	Members	All committee minutes confirmed at monthly Full Council. Meetings and minutes properly numbered. Publish minutes on website.					
32.	<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 Information pack provided for all new Members Offer training for new councillors. DPI's for each member on website	Low				
33.	<u>Computer Failure</u>	Members Staff	All files backed up in 'The Cloud'. Surge protection fitted IT contract in place to maintain system	Medium				
34.	<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	Low		Low		

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			Regular risk assessment of area					
GOVERNANCE								
35.	<u>Failure to adhere to governance</u>	Parish Council	<p>Report writing for most decisions incorporating strategic case, economic case, commercial case, financial case and management case.</p> <p>In house training programme for Cllrs targeting various areas of governance</p> <p>Completing project plan template for any template.</p> <p>An external data protection officer has been employed and a review has been undertaken with regards to General Data Protection Regulations.</p> <p>Staff and councillors to undertake mandatory GDPR training.</p>	Medium				