

Council & Financial Risk Assessment

Name of Organisation:	Kings Hill Parish Council	Start Date:	
Person Responsible:	Full Council	Date of Adoption:	04/05/2022
Name of Risk Assessor:	Full Council	Date of Review:	04/05/2022

No	Hazard	Potential Consequence	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
1.	<u>Damage of Physical Assets owned or managed by the Parish Council</u> <ul style="list-style-type: none"> • Community Centre building • Bar • Youth Extension Rooms • Contents of the Community Centre, Youth Facility, • Contents of the Offices • Allotments • Play equipment – Anson Avenue • Play 	<p>Serious injury.</p> <p>Death.</p> <p>Damage to third party property.</p> <p>Reputational Damage</p>	<p>Parish Council Staff</p> <p>Members of the public</p>	<p>Insured: Liberty (CNA Policy PR0003876)</p> <p>Insured: Hiscox (Policy 1891376)</p> <p>Asset lists and inventory undertaken & reviewed at least annually</p> <p>Disposals always reported and approved by Full Council and included in the minutes.</p>	High	Creation of a capital renewals programme.	Low	

	<p>equipment – Sports Park.</p> <ul style="list-style-type: none"> • Notice boards • Bus shelter • Salt bins • Benches • Stage • Village Sign 							
2.	<p><u>Non maintenance of physical assets owned by the Parish Council</u> See list of assets categories above</p>	<p>Serious injury.</p> <p>Damage to third party property.</p> <p>Reputational damage.</p>	<p>Parish Council Staff Members of the public Hirers</p>	<p>Regular periodic in-house & independent inspections & reviews undertaken for all physical assets</p>	<p>Medium</p>	<p>Health and Safety Audit flagged up the necessity for more regular spot checks</p> <p>Regular risk assessments undertaken on using machinery.</p> <p>Maintenance records kept for parish council machinery.</p>	<p>Medium</p>	<p>Clerk</p>

3.	<u>Protection of Security of Building and Contents</u> <ul style="list-style-type: none"> • Community Centre • Parish Office • Youth Extension 	<p>Damage to buildings.</p> <p>Financial cost.</p> <p>Staff injury</p>	Parish Council Staff	<p>Insured: • Hiscox (Policy 1891376) Provision of CCTV system and regular reviews</p> <p>Provision of well-maintained fire alarm</p> <p>All hirers with keys have signed a disclaimer and an up to date list of kept of key-holders.</p> <p>CCTV Policy in place & controlled by senior staff only to reduce abuse.</p> <p>Information released to police only.</p>	High	Up to date key list to be checked.	Medium	
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4.	<u>Safety of the public in areas under the Parish Council's responsibility</u>	Injury to staff and members of the public Financial cost Reputational damage	Parish Council Staff Members of the public Hirers	Anson Avenue playground, open space, Garden Way & Lapins Lane – open spaces – quarterly inspection undertaken External contractor undertakes regular maintenance work Review contractor's quality of work during quarterly inspection. Regular inspections by officer. Ensure appropriate certificates are held by contractors	Low	Ensure the safe use of pest control by not undertaking the shooting of rabbits at the sports park.	Low	
5.	<u>Safeguarding of Children</u>	Injury to children.	Children	Ensure all staff that have regular contact with children are DBS checked. Any hirer has to be over the age of 21. All hirers are responsible for the children in their groups. A risk assessment is undertaken at any parish council event	Medium	Council to create a lost child policy	Low	

				and a lost child policy and briefing is given to all staff/ volunteers of the council.				
6.	<u>Events organised by the Parish Council</u>	Injury to members of the public. Lost children.	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>	Injury to members of the public. Lost children. Governance, rules and regulations not adhered to. Financial cost not reviewed.	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	To provide staff to some events to help with actions. To review financial cost to the council of all outside events on parish council property.	Low	
8.	<u>Bar – security – Community Centre</u>	Theft of stock.	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	management/control.	Medium	
9.	<u>Protection for Legal Liabilities</u> • Public Liability • Hirer’s	Financial cost due to legal challenge.	Parish Council Staff Members of	Insured: • Hiscox (Policy 1891376)	High		Low	

	<ul style="list-style-type: none"> • Indemnity • Officials indemnity • Employers Liability • Libel & Slander • Personal Accident • Fidelity Guarantee 	<p>Reputational damage.</p> <p>Risk to third parties/ properties and individuals.</p>	the public Hirers					
10.	<p><u>Non compliance of Equality Act 2010</u> Not meeting the thresholds for the duty to make reasonable adjustments for disabled people</p>	<p>Risk of legal challenge.</p> <p>Reputational damage.</p>	<p>Corporate Body</p> <p>Members of the public</p>	<p>Maintenance of lift to keep in fully working order.</p>	Low	<p>Maintainance of lift</p>	Low	
11.	<p><u>Non compliance with Health and Safety (Display Screen Equipment) Regulations 1992 as amended by the Health and Safety (Miscellaneous Amendments) Regulations 2002</u></p>	<p>Fatigue</p> <p>Eye strain.</p> <p>Upper limb problems.</p> <p>Back ache.</p>	<p>Parish Council</p> <p>Staff Members</p>	<p>DSE Assessments to be rolled out in the new municipal year.</p>	High		Low	

13.	<p><u>Health and Safety</u></p> <ul style="list-style-type: none"> Risk Assessments 	<p>Injury.</p> <p>Death.</p> <p>Non compliance with legislation.</p> <p>Legal Claim.</p> <p>Financial Cost.</p> <p>Reputational damage.</p>	<p>Parish Council Staff Members of the public Hirers</p>	<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.</p> <p>Regular item on Full Council agenda to allow reporting to be done if required.</p>	<p>High</p>	<p>Additional measures in place for Covid 19.</p>	<p>Medium</p>	<p>F</p>
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14.	<u>Fire Training and Fire Emergency Plan</u>	Injury. Death	Parish Council Staff Members of the public Hirers	Emergency plan given to all hirers with booking Emergency plan displayed prominently in building 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.	High	Staff to undertake regular fire training	Low	
15.	<u>Contracts</u>	Work awarded incorrectly.	Parish Council Staff	Receive legal advice at appropriate level for the following: Leases Licences Tenancy agreements	Medium		Low	

16.	<u>Keeping Proper Financial Records</u>	<p>Inadequate records.</p> <p>Financial irregularities.</p> <p>Non compliance with governance.</p> <p>Fraud.</p>	Parish Council Staff	<p>Independent Internal Audit – twice a year and reported to 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 Financial records presented to Full Council quarterly.</p>	Medium		Low	
17.	<u>Mismanagement of public funds and spending outside of budgets.</u>	<p>Inadequate records.</p> <p>Financial irregularities.</p> <p>Non compliance with governance.</p> <p>Fraud.</p>	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 Full Council.</p> <p>Limitations on virement of budgets. This must only be agreed by Full Council.</p>	High	A report structure taking into account the financial regulations.	High	

18.	<u>Banking Arrangements</u>	<p>Inadequate checks.</p> <p>Financial loss.</p> <p>Reputational damage.</p> <p>Fraud.</p>	Parish Council Staff	<p>Regular bank reconciliations undertaken for all bank accounts.</p> <p>Full Council verify bank statements and balances to bank reconciliation.</p> <p>Cheques received are recorded and banked promptly.</p>	Medium		Low	
19.	<u>BACs and other Payments</u>	<p>Inadequate checks.</p> <p>Financial loss.</p> <p>Reputational damage.</p> <p>Fraud.</p>	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	
20.	<u>Bar – accounting – Community Centre</u>	<p>Inadequate checks.</p> <p>Financial loss.</p> <p>Reputational damage.</p> <p>Fraud.</p>	Parish Council	<p>Analysis of takings on an event by event and monthly basis.</p> <p>VAT accounted for through Banking</p>	Low		Medium	

21.	<u>Bar – cash – Community Centre</u>	Inadequate checks. Financial loss. Reputational damage. Fraud.	Parish Council	Monthly reconciliation undertaken by Office staff and verified VAT accounted for through Banking. Insurance of cash in place.	Low	Cash to be locked in safe and banked as soon as possible.	Low	
22.	<u>Petty Cash</u>	Inadequate records. Financial cost. Fraud.	Parish Council	Receipts required Reconciliation to float done monthly Insurance against theft Petty Cash controlled by the Deputy Clerk at the Parish Office. RFO approves and signs reconciliation Quarterly spot checks of cash floats by RFO. For named personnel only – Clerk/RFO	Low		Low	

23.	<u>Expenses - councillors</u>	<p>Inadequate records.</p> <p>Financial cost.</p> <p>Fraud.</p>	Parish Council	<p>Reconciliations undertaken monthly.</p> <p>Expenditure reported at every FC reconciliation verified</p> <p>All expenses must be approved by the RFO</p>	Low		Low	
24.	<u>Expenses – staff</u>	<p>Inadequate records.</p> <p>Financial cost.</p> <p>Fraud.</p>	Parish Council Parish Council	<p>Reconciliations of staff expenses undertaken prior to payments made every month</p> <p>Use of shared transport with other councillors or staff required.</p> <p>Expenses policy in place</p> <p>All expenses must be approved by the RFO.</p> <p>All payments signed by 2 councillors Receipts must be attached (with the exception of mileage claims)</p> <p>Regular credit control</p>	Low		Low	

25.	<u>Bad Debts Compliance with Audit Requirements</u>	Non compliance with governance.	Parish Council	<p>Ensuring chqs received are recorded and banked promptly</p> <p>Payment in advance of ad-hoc bookings</p> <p>Any bad debts are approved by Full Council</p> <p>Private Bookings – deposit required</p> <p>Independent Internal Audit undertaken twice times a year.</p>	Low		Medium	
26.	<u>Ensuring adequacy of Annual Precept</u>	<p>Inadequacy of precept in order for the Council to carry out its Statutory duties</p> <p>Not having the recommended level of reserves to function.</p>	Parish Council	<p>Regular variance analysis undertaken and reported to Full Council.</p> <p>Budgeting process to include previous year's actual figures compared to budget</p>	Medium		Medium	
27.	<u>Accurate reporting of Council Business in Minutes</u>	Non compliance with governance.	Parish Council Members	<p>Draft minutes sent to all members with agenda.</p> <p>All committee minutes confirmed at monthly Full Council.</p>	Low			

				Meetings and minutes properly numbered. Publish minutes on website.				
28.	<u>Adoption and Adherence to the Code of Conduct</u>	Non compliance with governance. Reputational damage.	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. <hr/> DPI's for each member on website	Low			
29.	<u>Computer Failure</u>	Failure for business continuity. Financial cost.	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>	Non compliance with governance/ statute.	Parish Council	<p>Review of signed agreements to ensure they are all in place prior to residents taking control of their plot</p> <p>Deposits held in suspense and administered by Staff</p> <hr/> <p>Regular risk assessment of area</p>	Low		Low	
31. ----- 32.	<u>Allotment Tenancy agreements</u> <hr/> <u>Failure to adhere to governance/ statute</u>	<p>Legal challenge.</p> <p>Financial cost.</p> <p>Reputational damage.</p>	Parish Council Parish Council	<p>Review of signed agreements to ensure they are all in place prior to residents taking control of their plot</p> <p>Deposits held in suspense and administered by Staff</p> <hr/> <p>Regular risk assessment of area</p> <hr/> <p>Report writing for most decisions incorporating strategic case, economic case, commercial case, financial case and management case.</p> <p>In house training</p>	Low Medium		Low	

				<p>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> <hr/> <p>Staff and councillors to undertake mandatory GDPR training.</p>				
33.	<u>Failure to adhere to legal powers to act.</u>	<p>Illegal activity.</p> <p>Illegal payments.</p> <p>Reputational damage.</p>	Parish Council	<p>The legal power to act is included in all reports to the council.</p> <hr/>		Training		
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