

**KINGSMEAD PARISH COUNCIL 2017-2018
RISK ASSESSMENT SCHEDULE**

DATE OF ASSESSMENT: 16th February 2018

This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. The Council is aware that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic and focuses approach to managing risk, which:

- Identifies the subject
- Identifies what the risk may be
- Identifies the level of risk
- Evaluates the management and control of the risk and records findings
- Reviews, assesses and revises procedures if required.

MANAGEMENT

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Business Continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	L	All files and recent records are kept at the clerk's home. Files are automatically updated using Microsoft Cloud. In the event of the clerk being indisposed the Chairman to contact ChALC for advice.	Review when necessary Ensure procedures below are undertaken
Meeting location	Adequacy Health and Safety	L	Meetings are held in the school hall of Kingsmead Primary School. The Clerk collects a key and in the event of her being indisposed the Chairman will contact the School secretary for access to the building. All the premises and facilities are considered to be adequate for the Clerk, Councillors and Public who attend from a health and safety and comfort aspect.	Existing procedure adequate
Council Records	Loss through theft, fire, damage	L	Papers, both current and archived will be held in a locked metal cabinet at the clerk's home.	Damage or theft is unlikely and so provision adequate.

Council Records electronic	Loss through damage, fire, corruption of computer	M	The Parish Council's electronic records are stored on the clerk's computer. Back-ups of the files are automatic Microsoft Cloud	Existing procedure adequate.
FINANCE				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept. The Parish Council receives monthly budget update information. The precept is an agenda item at the November/December meeting. Finance Committee Meetings are held throughout the year.	Existing procedure adequate
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement	Existing procedure adequate Review provision and compliance annually
Banking	Inadequate checks	L	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts	Existing procedures adequate Review Financial Regulations as necessary
Cash	Loss through theft or dishonesty	L	The Council has no petty cash or float. Any cash transactions are made by the clerk, are fully receipted and then reimbursed monthly on receipt of an invoice	Existing procedures adequate
Financial controls and records	Inadequate checks	L	Monthly reconciliation prepared by RFO and signed by the Chair of the Parish Council at the monthly meeting. Two signatories on cheques. Internal and external audit. Any financial obligation must be resolved and clearly minuted before any commitment. All payments must be resolved and clearly minuted. Any s137 payments must be recorded at time of approval	Existing procedures adequate
Freedom of Information Act	Policy Provision	L M	The Council has a model publication scheme for Local Councils in place. The clerk is aware that if a substantial request arrives then this may	Monitor and report any impacts made under Freedom of Information Act

			require many hours of additional work. The Council is able to request a fee if the work will take over 15 hours. However the request can be resubmitted, broken down into sections, thus negating the payment of a fee	
Clerk	Loss of clerk Fraud Actions undertaken Salary paid incorrectly	M L L L	A contingency fund should be established to enable training for the Cilca qualification in the event of the clerk resigning The requirements of Fidelity Guarantee insurance must be adhered to Clerk should be provided with relevant training, reference books, access to assistance and legal advice The Clerk has been appointed to undertake payment of clerk's monthly salary.	Include in financial statement when setting precept Membership of SLCC maintained Monitor working conditions Monitor payroll function on a regular basis and review every six months
Election Costs	Risk of election cost	M	Risk is higher in an election year. There are no measures, which can be adopted to minimise risk of having a contested election. A contingency fund should be established to meet the costs.	Include in financial statement when setting precept
VAT	Re-claiming/charging	L	The Council has financial regulations which set out the requirements	Existing procedures adequate
Annual return	Not submitted within time limits	L	Annual return is completed and signed by the Council, submitted to the Internal Auditor for completion and signing, then checked and sent on to the External Auditor within time limit	Existing procedures adequate
ASSETS				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Street furniture and playground equipment	Damage to play equipment and benches etc.	L	An asset register is kept up to date and insurance is held at the appropriate level for all items. Regular checks are made on all equipment by members of the Parish Council. The council employ a registered play inspector for play area equipment and carry out full annual assessment.	Existing procedures adequate
Amenity land & ponds	Injury to persons using	L	The Council have a grounds/ponds maintenance contract in place and regular inspections take place.	Existing procedures adequate

LIABILITY				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Legal Powers	Illegal activity or payments	L	All activity and payments made within the powers of the Parish Council (not ultra vires) and to be resolved and clearly minuted.	Existing procedures adequate
	Working Parties taking decisions	L	Ensure established with clear terms of reference.	Monitor on a monthly basis

Minutes/ Agendas/ Statutory documents	Accuracy and legality Non compliance with statutory requirements	L L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements Minutes are approved and signed at next meeting Minutes and agendas are displayed according to legal requirements Business conducted at Council meetings should be managed by the Chairman	Existing procedures adequate Undertake adequate training Members to adhere to Code of Conduct
Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessment of any individual event undertaken	Existing procedures adequate
Employer Liability	Non-compliance with employment law	L	Undertake adequate training and seek advice from ChALC	Existing procedures adequate
Legal Liability	Legality of activities Proper and timely reporting via Minutes Proper document control	M L L	Clerk to clarify legal position on proposals and to seek advice if necessary Council always receives and approves minutes at monthly meetings Retention of document policy in place	Existing procedures adequate Existing procedures adequate Existing procedures adequate
COUNCILLORS PROPRIETY				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Members Interests	Conflict of interest Register of Members Interests	M L	Councillors have a duty to declare any interest at the start of the meeting Register of Members Interests form to be reviewed at least on an annual basis	Existing procedures adequate Members to take responsibility to update their register
WEBSITE/URL				
Ownership and Control of Universal Resource Locator	Loss	M	Clerk to the Council is listed as registrant of website. Hosting charges and domain renewal charges are met by council. 2 councillors and Clerk have full details of web address, account name, username and password to manage the web address	Existing procedures adequate
Website	Loss	M	A minimum of 3 people have the necessary ability to undertake website activity and are up to date with current site status.	Existing procedures adequate

KINGSMEAD PARISH COUNCIL RISK ASSESSMENT

ITEM	FREQUENCY	COMMENTS/ACTIONS
Parish Council Insurance Including Public and Employers Liability Money and Fidelity Guarantee Personal Accident	Annually	All processes adequate
Assets inspection	Annually	Adequate
Financial Matters Banking Arrangements Insurance Providers VAT return completed Budget agreed, monitored and reported Precept requested: Payments approval procedure Bank reconciliation overseen by Chairman Clerk's salary reviewed and documented Internal audit External audit Internal check of financial procedures	Annually Annually Annually Monthly Annually Monthly Ongoing Annually Annually Annually Annually	All processes adequate
Administration Minutes properly numbered Asset register available/updated Financial Regulations reviewed Standing orders reviewed Backups taken of computer records Website/URL administration	Ongoing Ongoing Annually Annually Weekly Ongoing	All processes adequate
Employers Responsibilities Contract of employment in place Contractors Indemnity Insurance Written arrangements with contractors	Annually Ongoing Ongoing	All processes adequate
Members' responsibilities Code of Conduct adopted Register of Interests completed and updated Register of Gifts/Hospitality Declarations of Interests minuted	Ongoing Ongoing Ongoing Ongoing	All processes adequate

The information given above was agreed at the Parish Council meeting held on 20th March 2017 and will be updated annually.

Signed
Chairman

Dated

Clerk

Dated