

KINGSMEAD PARISH COUNCIL 2018-2019

RISK ASSESSMENT SCHEDULE

DATE OF ASSESSMENT: 8th October 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 PC laptop. Back-ups of the files are automatically stored Microsoft Cloud. 2 Cllrs access to Microsoft account. 2 Cllrs access to admin PC to install software.	Existing procedure adequate. Review procedure as to installation of software/admin rights
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. Current procedure under review to increase reserves to 3 months' budget.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L L	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

GDPR	Policy Provision	L M	The Council has a model publication scheme for Local Councils in place. The council complies with GDPR and documents are available on the website.	Monitor and report any impacts made under GDPR
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Clerk	Loss of clerk	L	A contingency fund should be established to enable training for the Cilca qualification in the event of the clerk resigning	Include in financial statement when setting precept Membership of SLCC maintained Monitor working conditions Payroll function outsourced. Review every 12 months
	Fraud	L	The requirements of Fidelity Guarantee insurance must be adhered to	
	Actions undertaken	L	Clerk should be provided with relevant training, reference books, access to assistance and legal advice	
	Salary paid incorrectly	L	The Clerk has been appointed to undertake payment of clerk's monthly salary.	
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	VAT reclaim submitted minimum quarterly (dependant on expenditure)	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 Working Parties taking decisions	L L	All activity and payments made within the powers of the Parish Council (not ultra viries) and to be resolved and clearly minuted. Ensure established with clear terms of reference.	Existing procedures adequate 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 must have the necessary ability to undertake website activity and are up to date with current site status.	Existing procedures adequate

KINGSMEAD PARISH COUNCIL RISKASSESSMENT

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 <u>Website/URL administration</u>	Ongoing Ongoing Annually Annually Weekly Ongoing	All processes adequate
Employers Responsibilities Contract of employment in place Contractors Indemnity Insurance Written <u>arrangements with contractors</u>	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
and will be updated annually.

Signed

Chairman

Dated

Clerk

Dated