

KINGSMEAD PARISH COUNCIL 2023-2024 RISK ASSESSMENT SCHEDULE

DATE OF ASSESSMENT: 16/06/2023

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	<p>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.</p> <p>The Chairman retains all passwords securely as a back up to be used only in case of the clerk being unexpectedly indisposed/unable to work and subject to approval by the council.</p>	<p>Review when necessary</p> <p>Ensure procedures below are undertaken</p>
Meeting location	Adequacy Health and Safety	L	<p>Meetings are held in the school hall of Kingsmead Primary School. The Clerk collects a key and in the event of being indisposed the Chairman will contact the School secretary for access to the building.</p> <p>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.</p>	Clerk to carry out an annual DSE Workstation checklist assessment for review by the council.
Council Records	Loss through theft, fire, damage	L	Papers, both current and archived will be held in a locked metal cabinet at the storage lockup	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
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. Advice is sought for new activities. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement	Existing adequate Review 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 or designated members of the Parish C o u n c i l 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 require many hours of additional work. The Council is able to request a fee if the work will take over 25 hours. However, the request can be resubmitted, broken down into sections, thus negating the payment of a fee	Monitor and report any impacts made under Freedom of Information Act

Clerk	Loss of clerk	M	A contingency fund should be established to enable training for the Cilca qualification in the event of the clerk resigning	Include training budget when setting precept
	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	Membership of SLCC maintained Monitor working conditions
	Salary paid incorrectly	L	The Clerk has been appointed to undertake payment of clerk's monthly salary with calculations made by an external payroll provider.	Monitor payroll function on a regular basis and review every six months
Election Costs	Risk of election cost	L	Risk is higher in an election year. There are no measures, which can be adopted to minimise risk of having a contested election. The council has committed to building adequate reserves which may be used in the case of an additional election.	Existing procedure adequate.
	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
Supplier Fraud	Training	L	Staff and relevant councillors briefed regarding the Council's process for checking supplier details.	Existing procedures adequate
	Onboarding of new suppliers	L	New suppliers to provide financial details by means of letter headed paper and RFO to verify. Signatories confirm payee details have been correctly set up within the bank transfer system before authorising the first payment.	
	Change of supplier details	L	Changes to account details for suppliers which are used for internet banking may only be changed on written hard copy notification by the supplier.	
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	Existing procedures adequate

Amenity land & ponds	Injury to persons using.	L	equipment by members of the Parish Council. The council now has a Service Level Agreement with a certified Play Area Inspector, who carries out independent quarterly checks and a full annual assessment in compliance with EN-1176. The Council have a grounds/ponds maintenance contract in place and regular inspections take place.	Existing procedures adequate
Trees and woodlands	Injury to residents, damage to property	L	The council is updating surveys and will put in place a woodland management contract to ensure the trees are adequately surveyed and maintained. Surveys are completed prior to obtaining quotations for tree works to ensure works are required and of the correct specification. Tree Management Policy	Review risk annually and amend frequency of inspections as required. Implement tree policy to clarify procedure.
Structures (incl. bridges, jetty, clock tower and war memorial)	Injury to persons using or in vicinity of a structure.	L	Structures are to be added to the asset register following a formal valuation and insurance updated accordingly. Regular checks to be made to ensure structural integrity.	Monitor regularly

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
		L	The Clerk is taking the CILCA qualification	Review training progress
	Working Parties taking decisions		Ensure established with clear terms of reference.	Monitor regularly
Minutes/ Agendas/ Statutory documents	Accuracy and legality	L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements	Existing procedures adequate
	Non compliance with statutory requirements	L	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	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	M	Clerk to clarify legal position on proposals and to seek advice if necessary	Existing procedures adequate
	Proper and timely reporting via Minutes	L	Council always receives and approves minutes at monthly meetings	Existing procedures adequate
	Proper document control	L	Retention of document policy in place	Existing procedures adequate
COUNCILLORS PROPRIETY				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Members Interests	Conflict of interest	M	Councillors have a duty to declare any interest at the start of the meeting	Existing procedures adequate
	Register of Members Interests	L	Register of Members Interests form to be reviewed at least on an annual basis	Members to take responsibility to update their register

WEBSITE/URL				
Subject	Risk(s) Identified		Management/Control of Risk	Review/Assess/Revise
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. Two 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
Events				
Subject	Risk(s) Identified		Management/Control of Risk	Review/Assess/Revise
Event Management	Risk of reputation	L	Council has appropriate risk assessment and management policies in place for events.	Review
	Financial loss	L	Events working group regularly updates RA and procedures based on experience.	
	Risk of injury to persons involved.	L		

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
Play Equipment	Annually Quarterly and routine inspections	Adequate
Financial Matters Banking Arrangements Insurance Providers VAT return completed Budget agreed, monitored and reported Precept requested Payments approval procedure Bank reconciliation overseen by appointed member. Clerk's salary reviewed and documented Internal audit External audit Internal check of financial procedures	Annually Annually Quarterly 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 Ongoing 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 19th June 2023 and will be updated annually.

Signed:-

Chairman



Dated

24/07/23

Clerk



Dated

24/07/23