

## KINGS HILL PARISH COUNCIL

### RISK IDENTIFICATION AND MANAGEMENT SUMMARY 2023

IDENTIFICATION	INTERNAL CONTROL	ACTION TAKEN	ACTION REQ'D	ACTION BY WHOM	ACTION BY WHEN
<u>Protection of Physical Assets owned by the Parish Council</u> <ul style="list-style-type: none"> <li>• Buildings of the Community Centre</li> <li>• Buildings of the Youth Facility Extension</li> <li>• Contents of the Community Centre</li> <li>• Contents of the Parish Office</li> <li>• Play equipment – Anson Avenue</li> </ul>	Insurance Policy Monthly equipment inspections Annual independent inspections	Ongoing	None		
<u>Protection of Security of Building and Contents</u> <ul style="list-style-type: none"> <li>• Community Hall</li> <li>• Parish Office</li> <li>• Youth Extension</li> </ul>	Insurance Policy	CCTV installed.	CCTV signage displayed.	Clerk / Community Centre Manager / Caretaker	Ongoing
<u>Safety of Play Areas</u>	Insured Policy	Regular inspections	None		
<u>Notice boards</u>	Equipment insured. Regular inspections undertaken by staff	Regular inspections (at least monthly)	None		
<u>Bus shelter</u>	Equipment insured. Shelter cleaned weekly and any damage reported	Regular inspections (at least monthly)	None		
<u>Salt bins</u>	Equipment insured. Regular inspections undertaken by staff. Contact details on each bin to report	Regular inspections (at least monthly)	None		

IDENTIFICATION	INTERNAL CONTROL	ACTION TAKEN	ACTION REQ'D	ACTION BY WHOM	ACTION BY WHEN
Community Centre Stage	problems Stage equipment insured	Regular inspections before each use using agreed form	None		
Areas of Public Access	Anson Avenue playground & open space, Garden Way & Lapins Lane – open spaces – quarterly inspection 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. Regular inspections ensure work is up to standard.	Report any faults through Parish Office for council for discussion and/or action.	Clerk/ CC Manager / Caretaker	On-going
<u>CCTV</u>	Policy in place	Regular review of policy ensuring it is up to date and relevant	Policy reviewed annually.	Clerk / CC Manager	May 2023
<u>Bar - security</u>	Stock insured	Bolts installed on door. Review of physical security undertaken. Metal shutters installed			
<b>LEGAL LIABILITIES</b>					
<u>Protection for Legal Liabilities</u>		Insurance Policy	None		
	<ul style="list-style-type: none"> <li>• Public Liability</li> <li>• Hirer's Indemnity</li> <li>• Officials indemnity</li> <li>• Employers Liability</li> <li>• Libel &amp; Slander</li> <li>• Personal Accident</li> <li>• Fidelity Guarantee</li> </ul>				

IDENTIFICATION	INTERNAL CONTROL	ACTION TAKEN	ACTION REQ'D	ACTION BY WHOM	ACTION BY WHEN
<p><u>Health and Safety</u></p> <ul style="list-style-type: none"> <li>Risk Assessments</li> </ul>	<p>Financial Risk assessment undertaken annually. Community Centre assessments undertaken on a weekly, monthly quarterly, and annual basis as necessary. Event risk assessments undertaken prior to each event. Incidents reported through the Clerk and records maintained. Accident book retained by Community Centre Manager. Regular item on Full Council agenda to allow reporting to be done if required.</p>		<p>Consider introduction of loose leaf reporting system to enable hirers to have access to forms when office is shut</p>	<p>Clerk / CC Manager</p>	<p>July 2023</p>
<p><u>Event Risk assessments</u></p>	<p>Introduction of event risk assessment requirement for each event. Template used.</p>	<p>New items incorporated after each event. Continuous learning.</p>	<p>None</p>		
<p><u>Fire Assessments</u></p>	<p>Fire assessment of Community Centre undertaken in 2022.</p>	<p>Recommendations from the assessment have been completed.</p>	<p>None</p>		
<p><u>Fire Training and Fire Emergency Plan</u></p>	<p>Emergency plan given to all hirers with booking. Plan displayed prominently in building. Training for Fire Marshall course undertaken.</p>	<p>All staff to undergo regular fire training quarterly.</p>	<p>Fire drills performed quarterly.</p>	<p>CC Manager / Caretaker</p>	<p>On-going</p>

IDENTIFICATION	INTERNAL CONTROL	ACTION TAKEN	ACTION REQ'D	ACTION BY WHOM	ACTION BY WHEN
<p>Compliance with <u>Employment Law</u> and <u>Inland Revenue Regulation</u> including VAT.</p>	<p>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 computerised Payroll system                      Monthly payment of PAYE &amp; NIC through BACS                      Contracts of employment based on the NALC standard contract for every employee.</p>		None		
<p><u>Lone working</u></p>	<p>Introduction of lone working policy in Health and Safety policies. Ensure that staff do not return to the office on their own after evening meetings. The front door to the community centre is locked if a member of staff is working later than others.                      Caretakers and cleaners to always have mobile phones in them when on duty.</p>	<p>Ensure building staff have mobiles on them when on duty – completed.</p>	<p>Introduce a standard set of instructions for all staff to follow when they are working on their own.</p>	Clerk	July 2023
<b>FINANCES AND BANKING</b>					
<p><u>Keeping Proper Financial Records</u></p>	<p>Independent Internal Audit – twice a year and reported to Full Council.                      Accounts for payment – agreed at Full Council meetings &amp; signed by two members.                      All payments to be authorised by 2 members at a council meeting.                      Use of computerised accounting package                      Bank statements and bank reconciliations will be presented to</p>		None		

IDENTIFICATION	INTERNAL CONTROL	ACTION TAKEN	ACTION REQ'D	ACTION BY WHOM	ACTION BY WHEN
	Full Council monthly. Budgetary Control Statements and VAT records will be presented to council on a quarterly basis.				
<u>Banking Arrangements</u>	Regular bank reconciliations undertaken for all bank accounts. Full Council to see bank statements regularly and verify balance to bank reconciliation. Payments received are recorded promptly.	Ensure that cash funds are spread around various banks to reduce the risk of any one institution becoming vulnerable.	Open up new accounts to deposit reserves and thus eliminate risk of any one institution becoming vulnerable	Clerk / FO	July 2023
<u>BACs and other Payments</u>	Staff to follow agreed procedure. Form to be completed for every transaction and signed by 2 bank signatories and officer completing the transaction. The payment is verified against the bank statement and signed by a councillor.	Ensure that all forms are verified at each Full Council	None		
<u>Bar - accounting</u>	Analysis of takings on an event by event and monthly basis. Analysis of gross and net profit is analysed to ensure the percentages are appropriate to ensure that there is reduced fraud opportunities for staff.	VAT accounted for through the cashbook. VAT on purchases – VAT receipts required.	None		
<u>Bar - cash</u>	Ensure adequate physical security in place in the bar with sufficient insurance cover. Ensure that cash is stored in the safe after each event and banked on the next working day. Cash is counted and checked. The	Procedure in place for all staff to comply with.	Review procedure every six months.	Clerk / FO	Sept 2023

IDENTIFICATION	INTERNAL CONTROL	ACTION TAKEN	ACTION REQ'D	ACTION BY WHOM	ACTION BY WHEN
	Community centre manager to checks the cash prior to it being banked.				
<u>Petty Cash</u>	No Petty Cash system used		None		
<u>Expenses - councillors</u>	All expenses must be approved by the Clerk/ FO Reconciliations of councillor expenses undertaken prior to payments made every month. BACS records signed at a council meeting by 2 other signatories. Mileage claims checked against attendance register at other meetings and training events. Use of shared transport with other councillors or staff required.		None		
<u>Expenses - staff</u>	All expenses must be approved by the Clerk / FO All payments signed by councillors at a council meeting. Lists of all payments circulated to all attendee members at a council meeting. Receipts must be attached (except for mileage claims) Mileage claims checked against attendance register at other meetings and training events. Use of shared transport with other councillors or staff required.				
<u>Bad Debts</u>	Regular credit control Ensuring payments received are recorded promptly. Private bookings – deposit required	Deposit taken for new block bookings to ensure new businesses do not fold leaving bad	Regular credit control undertaken. Monthly meeting to review outstanding	Clerk / CC Manager	ongoing

IDENTIFICATION	INTERNAL CONTROL	ACTION TAKEN	ACTION REQ'D	ACTION BY WHOM	ACTION BY WHEN
Compliance with Audit Requirements	Independent Internal Audit undertaken twice a year.	debts.	debtors		
Ensuring adequacy of Annual Precept	Each committee prepares a budget of estimated I&E which is then consolidated into a draft budget and submitted to Full Council	Comparison of Y/E budget to actual undertaken & comparison to next year's budget	None		
<b>OTHER</b>					
Accurate reporting of Council Business in Minutes	Draft minutes sent to all members with agenda. All committee minutes confirmed at monthly Full Council. Meetings and minutes properly numbered. Publish minutes on website.		None		
Adoption and Adherence to the Code of Conduct	Procedures for Members adoption of the Code of Conduct. Each Member provided with copy of the Code. Information pack provided for all new Members.	All new DPIs are up to date on website.	Reminder at the May meeting for Cllrs to check details.	Clerk	May 2023
Computer Failure	Daily remote back-ups taken. Occasional check that back-ups can be restored. Surge protection fitted. IT contract in place to maintain system				
<b>External Areas</b>					
Allocments	Regular monitoring of allotment site Annual Risk Assessment undertaken. Tenancy Agreements signed by all tenants prior to handing over keys. Close liaison with volunteer allotment supervisor		None		

<b>IDENTIFICATION</b>	<b>INTERNAL CONTROL</b>	<b>ACTION TAKEN</b>	<b>ACTION REQ'D</b>	<b>ACTION BY WHOM</b>	<b>ACTION BY WHEN</b>
Kings Hill Sports Park	Regular liaison between KHPC and TMA Ensure compliance with lease				



# Council & Financial Risk Assessment

<b>Name of Organisation:</b>	Kings Hill Parish Council	<b>Start Date:</b>	
<b>Person Responsible:</b>	Full Council	<b>Date of Adoption:</b>	04/05/2022
<b>Name of Risk Assessor:</b>	Full Council	<b>Date of Review:</b>	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.	<p><u>Damage of Physical Assets owned or managed by the Parish Council</u></p> <ul style="list-style-type: none"> <li>Community Centre building</li> <li>Bar</li> <li>Youth Extension Rooms</li> <li>Contents of the Community Centre, Youth Facility,</li> <li>Contents of the Offices</li> <li>Allotments</li> <li>Play equipment – Anson Avenue Play</li> </ul>	<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 &amp; reviewed at least annually</p> <p>Disposals always reported and approved by Full Council and included in the minutes.</p>	High	<p>Creation of a capital renewals programme.</p>	Low	

	<ul style="list-style-type: none"> <li>• equipment – Sports Park.</li> <li>• Notice boards</li> <li>• Bus shelter</li> <li>• Salt bins</li> <li>• Benches</li> <li>• Stage</li> <li>• Village Sign</li> </ul>								
2.	<p><u>Non maintenance of physical assets owned by the Parish Council</u></p> <p>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</p> <p>Members of the public</p> <p>Hirers</p>	<p>Regular periodic in-house &amp; independent inspections &amp; 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>	

<p>3.</p> <p><u>Protection of Security of Building and Contents</u></p> <ul style="list-style-type: none"> <li>• Community Centre</li> <li>• Parish Office</li> <li>• Youth Extension</li> </ul>	<p>Damage to buildings.</p> <p>Financial cost.</p> <p>Staff injury</p>	<p>Parish Council Staff</p>	<p>Insured: • Hiscox (Policy 1891376)</p> <p>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 &amp; controlled by senior staff only to reduce abuse.</p> <p>Information released to police only.</p>	<p>High</p>	<p>Up to date key list to be checked.</p>	<p>Medium</p>
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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"> <li>• Indemnity Officials</li> <li>• Indemnity Employers</li> <li>• Liability</li> <li>• Libel &amp; Slander</li> <li>• Personal Accident</li> <li>• Fidelity Guarantee</li> </ul>	Reputational damage. Risk to third parties/ properties and individuals.	the public Hirers					
10.	<p><u>Non compliance of Equality Act 2010</u></p> <p>Not meeting the thresholds for the duty to make reasonable adjustments for disabled people</p>	Risk of legal challenge. Reputational damage.	Corporate Body Members of the public	Maintenance of lift to keep in fully working order.	Low	Maintainance of lift	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>	Fatigue Eye strain. Upper limb problems. Back ache.	Parish Council Staff Members	DSE Assessments to be rolled out in the new municipal year.	High		Low	

	12.	<p>Non-compliance with Employment Law and Inland Revenue Regulation including VAT</p>	<p>Risk of employment tribunal Financial risk. Reputational damage.</p>	<p>Parish Council Staff Members of the public Hirers</p>	<p>Quarterly VAT returns to HM Revenue and Customs</p> <p>Use of computerised accounting system to prepare VAT returns</p> <p>Reconciliation of VAT returns to balance sheet</p> <p>Use of Sage computerised Payroll system</p> <p>Monthly payment of PAYE &amp; NIC</p> <p>Council Subscribed to Ellis Whittam HR Advise</p>	Medium	High	Low	Clerk
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13.	<u>Health and Safety</u> • Risk Assessments	Injury. Death. Non compliance with legislation. Legal Claim. Financial Cost. Reputational damage.	Parish Council Staff Members of the public Hirers	The following risk assessments undertaken annually and reviewed periodically: • Council, Financial & Staff including COSHH, manual handling, lone working • Buildings & sites • Open Spaces • Allotments • Events • Covid 19. Incidents reported through the Clerk and records maintained. Accident books kept at the Community Centre. Regular item on Full Council agenda to allow reporting to be done if required.	High	Additional measures in place for Covid 19.	Medium	F
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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>	Inadequate records. Financial irregularities. Non compliance with governance. Fraud.	Parish Council Staff	Independent Internal Audit – twice a year and reported to Full Council. Full monthly list of payments approved at Full Council meetings. All cheques/payments to be signed by 2 signatories. Use of computerised accounting package Financial records presented to Full Council quarterly.	Medium		Low	
17.	<u>Mismanagement of public funds and spending outside of budgets.</u>	Inadequate records. Financial irregularities. Non compliance with governance. Fraud.	Parish Council Members	Reminders to councillors that they are responsible for the management of the council's finances. Careful fiscal management. Reporting on reserves position at Full Council. Limitations on virement of budgets. This must only be agreed by Full Council.	High	A report structure taking into account the financial regulations.	High	

18.	<u>Banking Arrangements</u>	Inadequate checks. Financial loss. Reputational damage. Fraud.	Parish Council Staff	Regular bank reconciliations undertaken for all bank accounts. Full Council verify bank statements and balances to bank reconciliation. Cheques received are recorded and banked promptly.	Medium	Low	
19.	<u>BACS and other Payments</u>	Inadequate checks. Financial loss. Reputational damage. Fraud.	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>	Inadequate checks. Financial loss. Reputational damage. Fraud.	Parish Council	Analysis of takings on an event by event and monthly basis. VAT accounted for through Banking	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>	Inadequate records. Financial cost. Fraud.	Parish Council	Reconciliations undertaken monthly. Expenditure reported at every FC reconciliation verified All expenses must be approved by the RFO	Low	Low	
24. <u>Expenses - staff</u>	Inadequate records. Financial cost. Fraud.	Parish Council Parish Council	Reconciliations of staff expenses undertaken prior to payments made every month Use of shared transport with other councillors or staff required. 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	Low	Low	

25.	<u>Bad Debts Compliance with Audit Requirements</u>	Non compliance with governance.	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	
26.	<u>Ensuring adequacy of Annual Precept</u>	Inadequacy of precept in order for the Council to carry out its Statutory duties Not having the recommended level of reserves to function.	Parish Council	Regular variance analysis undertaken and reported to Full Council. Budgeting process to include previous year's actual figures compared to budget	Medium		Medium	
27.	<u>Accurate reporting of Council Business in Minutes</u>	Non compliance with governance.	Parish Council Members	Draft minutes sent to all members with agenda. All committee minutes confirmed at monthly Full Council.	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. 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	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 Staff Regular risk assessment of area	Low	Low	
31. ----- 32.	<u>Allotment Tenancy agreements</u> ----- <u>Failure to adhere to governance/ statute</u>	Legal challenge. Financial cost. Reputational damage.	Parish Council 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 Staff Regular risk assessment of area  Report writing for most decisions Incorporating strategic case, economic case, commercial case, financial case and management case. In house training	Low Medium	Low	



				programme for Cllrs targeting various areas of governance Completing project plan template for any template. An external data protection officer has been employed and a review has been undertaken with regards to General Data Protection Regulations. Staff and councillors to undertake mandatory GDPR training.				
33.	<u>Failure to adhere to legal powers to act.</u>	Illegal activity. Illegal payments. Reputational damage.	Parish Council	The legal power to act is included in all reports to the council.		Training		