

KINVER PARISH COUNCIL

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Risk Assessment

Preamble and Guidance

Every Parish Council should have a system in place to help manage risk. This system will be simple for the smallest parishes and more complex for larger parishes and town councils. A council's internal auditor may use the risk management system to help identify what tests to carry out as part of the audit.

Risk management is important. The failure to manage risks effectively can be expensive in financial terms and also in terms of service delivery. Most Clerks will already be assessing and managing risks in some way or other but there may be room to improve and document practices.

Members are ultimately responsible for risk management because risks threaten a council's ability to achieve its objectives. The Clerk should therefore ensure that members should:-

- Identify the key risk facing the council
- Evaluate the potential to the council of one of these risks taking place; and
- Agree measures to avoid, reduce or control the risk of consequence.

Every Council is different and there is no such thing as a standard list of risks. There are however a number of common themes that are likely to emerge. These might include:

- Physical assets – buildings, equipment, IT Hardware etc
- Finance – Banking, loss of income, petty cash etc.
- Injury to the public – in play grounds and recreation grounds, in village halls, at burial grounds etc.
- Complying with legal requirements – agendas and minutes, burial records, etc.
- Councillor propriety – declarations of interest, gifts and hospitality etc.

The Clerk needs to consider each of the possible risks under each of the identified schemes. For example physical assets could be lost as a result of fire and flood, damaged by vandals, stolen or simply deteriorate through lack of maintenance.

All these risks must be minimised or transferred by various means such as taking out insurance, securing alarms or by regular inspection and maintenance. In addition to identifying risk, it is a good idea to make a judgement about likelihood of the risk occurring and its potential impact. Classification need to be no more complicated than high, medium or low. There are 23 main ways of managing risk:

- Take out insurance
- Work with another party to reduce risk; or
- Manage the risk yourself.

The following Risk Assessment was considered by Kinver Parish Council at its meeting of the 1st July 2015 and will be reviewed annually at the May Annual Parish Meeting.

Signature of Chairman of Kinver Parish Council: _____

Date: _____

KINVER PARISH COUNCIL

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Area = Assets

Risk	Level	Control (and agreed improvements)
Protection of Physical assets	M	Insured under the Council's insurance policy All assets are listed on the Insurance schedule
Security of buildings, equipment etc.	M	The building is alarmed and secured with locking windows and 5 lever mortice locks on the doors. Maintenance machinery is locked in a secure garage on the Brockleys Walk Estate
Maintenance of Buildings	L	Employed in house staff maintain the daily issues within the premises of 95 High Street. Any specialists work such as roofing, plumbing electrics a qualified contractor is paid to do this work.

Area = Finance - Banking

Risk	Level	Control (and agreed improvements)
Banking	L	All funds are held in UK Bank accounts
Loss of income on investments	L	All funds are held with UK banks and are within the government protection level per bank
Cash Handling.	L	Small amounts of cash are banked as soon as practical from the toilets. The Assistant Clerk receives the money from the Maintenance Technicians daily, records the sum received and passes it to the Clerk for banking when it is in full £10 bags. Any cheques for Burial Fess or donations are banked also as soon as practical and both are recorded on the Ratification list for the monthly Parish Council meeting.
Land	L	All land in ownership of the Council is registered with Land Registry and is recorded on the Insurance assets list.
Loss of cash through dishonesty	H	At present 2 signatories are required on cheques, but on online banking this is not the case. In the new Good Councillor Guide it states that 2 signatories are no longer required so the On-line banking can remain the same.
Financial Control and assets	M	Reconciliation of Bank Accounts reported to Council. 2 signatories on cheques. Cheque stubs initialled. Internal and external audits carried out. Internal control spot checks on invoices and cheques should also take place. At the present time the Parish Council Finance Committee do not see the bank statements. The Assistant Clerk can check all payments against the invoices and initial them to state that a second person has then seen the invoices, cheques and bank statements.
Comply with HMRC Regulations	L	Sage payroll software used to calculate all salaries and RTI is included in this package. All submissions are sent in a timely manner.
Precept not submitted	L	Precept is always agenda for the November Finance meeting, to then be ratified and agreed at the full December Parish Council meeting. This allows for any disagreements on the budget to be discussed and retaken at the January meeting so the precept request is submitted in time for the deadline in mid-January.
Precept not received	L	The Parish Council carries 2 months of reserve funds in case of

		such an emergency
Budget preparation	L	Budgets are prepared between October and November and presented to the November Finance Committee meeting. All Committees meet prior to the Finance meeting to ensure that if they have any budget requests they can be discussed at that meeting. The recommendation from the Finance meeting for the Precept is as above.
Reserves – ensuring adequacy of general and earmarked reserves	L	Reviewed at Budget Meeting and again at the year-end in April
Complying with borrowing restrictions	L	None at present
VAT reclaimed correctly	L	Vat is reclaimed quarterly (30 th June, 30 th September, 31 st December and 31 st March) and reported on the monthly ratification list on the month as appropriate.

Area = Liability

Risk	Level	Control (and agreed improvements)
Risk to third party, property or individuals	L	Insurances are in place. Play equipment is inspected daily by Maintenance Technicians and weekly by the Clerk. These dates are recorded and any issues are noted and dealt with immediately. Comber Ridge inspected weekly.
Legal responsibility as consequence of assets ownership	L	Annual inspection by ROSPA of play equipment. Headstones checked at Comber Ridge Burial ground every 3 years. Warning signs are posted in relation to any unsafe headstones and regulations of the area.

Area = Employment Issues

Risk	Level	Control (and agreed improvements)
Complying with employment law	L	Yes – all staff have contracts of employment in place and insurers liability is up to date and displayed in the building.
Comply with inland revenue requirements	L	Yes – Sage payroll used to calculate salaries and links to online updates and RTI
Safety of staff and visitors	L	The offices of 95 High Street are fully insured and maintained, all electrical checks are done on the building and a Health and Safety risk assessment is in place.
Loss of Clerk	L	Most records are kept electronically and all files are kept at 95 High Street Kinver. All files backed up twice weekly and back up removed from site.

Area = Legal Liability

Risk	Level	Control (and agreed improvements)
Liability of ensuring activities are within legal powers	L	Clerk clarifies legal position on any new proposals. Legal advice is sought if necessary.
Proper and timely reporting via the minutes	M	Full council meets the first Wednesday in every month, and committee meetings take place on the other Wednesdays. Minutes are circulated to all members as soon as they are completed and are ratified at the next meeting of the Council / Committee. Any recommendations from the Committees are taken as an item on the next full council meeting. Minutes are published on the District Councils website and are available at the Library for the public to see.
Proper Document control and safe guarding	L	The Clerk backs up all data files twice weekly.

Area = Councillor Propriety

Risk	Level	Control (and agreed improvements)
Registers of interest and gifts and hospitality in place	M	Register of interests completed. Gifts and hospitality to be advised at each meeting. Declarations of interest to be declared at each meeting. Councillors are obligated to adhere to the Localism act / code of conduct.
Libel and slander.	L	Insurance arrangements in place