



# Broomfield and Kingswood Parish Council

<http://www.broomfieldandkingswood-pc.org.uk>



## BROOMFIELD AND KINGSWOOD PARISH COUNCIL RISK ASSESSMENT 2023

**“The greatest risk facing a local authority is not being able to deliver the activity or services expected of the Council.”**

### Definition of Risk Management

Risk is the threat that an event or action will adversely affect an organisation’s ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements.

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the employer to identify any and all potential risks inherent in the place or practices. Based on a recorded assessment the employer should then take all practical and necessary steps to reduce or eliminate the risks, in so far as is practically possible. making sure that all employees are made aware of the results of the risk assessment.

This document has been produced to enable Broomfield and Kingswood Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. In conducting this exercise, the following plan was followed:

- Establishment of a risk assessment matrix (See Appendix A)
- Identification of areas to be reviewed.
- Identification of what the risk might be.
- Evaluation of the management and control of the risk and recording of all findings.

Approved: \_\_\_\_\_

Developed by: Hayley Roberts (Parish Clerk)

Signed \_\_\_\_\_ (Chairman)

To be reviewed by Councillors: May 2024

To be renewed when a risk changes due to new policy legislation, there is a serious incident or every 3 years

<b>BUSINESS MANAGEMENT</b>				
<b>Topic</b>	<b>Risk</b>	<b>Risk Rating (as per Risk Matrix)</b>	<b>Existing Management of risk (Mitigations)</b>	<b>Recommendations/Control Measures/Actions</b>
Business Continuity	Risk of Parish Council not being able to continue its business due to loss of back office facilities through an unexpected event	L / 3	All files and records (both paper and electronic) are kept at the Parish Clerks' home. The Council have a secure online backup system that backs up files as they are created or changed. In the event of the Clerk being indisposed the Chairman will discuss with Councillors how administrative support will be provided – if necessary by way of locum. The ability to work off site is provided should the need arise.	Review at APCM
Employees	Loss of Clerk and therefore ability of the Council to function effectively.	M / 12	In the event of the clerk resigning, a locum would provide interim cover.	Membership of SLCC/KALC to be maintained. Working conditions to be regularly monitored.  Log of training to be maintained
	Fraud by staff	L / 4	The requirements of Hiscox insurance must be adhered to. Internal procedures in place.	
	Inappropriate actions undertaken by staff	L / 3	Staff are provided with relevant training, reference books and access to assistance and legal advice.	
Minutes Agendas Notices Statutory Documents	Minutes are unlawful and inaccurate	L / 3	Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting.	Guidance/training to be given to Chair if required. Members to adhere to Code of Conduct. To be reviewed at APCM
	Poor Business Conduct leading to ineffective meetings	L / 3	Minutes and agenda are displayed according to the legal requirements. Business conducted at Council meetings is managed by the Chair.	

<b>Topic</b>	<b>Risk</b>	<b>Risk Rating (as per Risk Matrix)</b>	<b>Existing Management of risk (Mitigations)</b>	<b>Recommendations/Control Measures/Actions</b>
Members Interests	Conflict of Interest leading to bad decision making	L / 3	Members are asked to declare their interests at the start of every meeting.	Members to take responsibility for updating their Register and for declaring any interests, prejudicial or personal, at meetings. Cllrs to review their members of interest form on a regular basis.
	The Register of Members Interest not maintained	M / 3	Register of Register of Members Interest forms is maintained by the Clerk and open for review	

<b>FINANCIAL MANAGEMENT</b>				
<b>Topic</b>	<b>Risk</b>	<b>Risk Rating</b>	<b>Existing Management of risk (Mitigations)</b>	<b>Recommendations/Control Measures/Actions</b>
Financial Records	1. Inadequate records are maintained	L / 4	The Council has financial regulations which set out the requirements and these are adhered to. There is a Finance section on the agenda for each Parish Council meeting when Cllrs receive the Bank Reconciliation, the RFO's report and approve accounts for payment and ratify payments already made.	RFO/Clerk to receive adequate training. PC to regularly review invoices and cheques according to Finance Regulations. Budget under section headings to be split on a monthly basis. Expenditure under each heading to be reviewed at monthly PC meets and explanations given for over and under expenditure Finance regulations to be reviewed at APCM
	2. Financial irregularities occur putting the Council's reputation at risk	L / 4	Internal and external audits are carried out at the end of each financial year which advise on financial irregularities	
Banking	1. Inadequate checks and errors are not picked up 2. Bank errors leading to loss of income 3. Bank Charges are excessive or inappropriate	L / 4  L / 4  L / 4	The Council has financial regulations which set out the requirements for banking, cheques and reconciliation of accounts. Occasional errors by the Bank are identified when the RFO reconciles the bank accounts once a month on receipt of the bank statement. Errors are dealt with immediately by informing the bank and awaiting their correction. Two signatories are required for each payment authorisation for both cheque and online banking payments. A monthly reconciliation is prepared by the RFO and checked by the appointed member for verification purposes. Two signatories are required on cheques. Internal and external audits are undertaken, and all payments are detailed in the Financial Reports presented to the Council.	Financial Regulations and bank signatory list to be reviewed after the yearly Annual PC Meeting and an election (every 4 years), and as and when Councillors resign.

Topic	Risk	Risk Rating	Existing Management of risk (Mitigations)	Recommendations/Control Measures/Actions
Salaries and associated costs	Staff are paid for the wrong number of hours Staff are paid the wrong rate of pay Incorrect or unpaid NI or tax deductions	L / 4  L / 4  L / 4	The Parish Council authorises the appointment of all employees. Salary rates are based on the NALC/SLCC pay scales and agreed by the Parish Council. Salary analysis and slips are produced by the RFO monthly together with a schedule of payments to the Inland Revenue (for Tax and NI). These are inspected by members of the Staff Committee and signed off. The Tax and NI is worked out using an Inland Revenue RTI programme and updated as updates become available. The Clerk & RFO maintain a time sheet and have a contract of employment and job description. All contracts of employment contain a section on overpayment and recoup.	Salary pay scales to be reviewed annually
Reporting and Auditing	<ul style="list-style-type: none"> <li>• Inadequate information and communication of the information</li> <li>• Non-compliance with Hiscox</li> </ul>	L / 3  L / 4	<p>Finances and payment of accounts is a standing item at the monthly Council meeting, and this is discussed and approved at the meeting. This includes bank reconciliation, budget update, and a breakdown of receipts and payments balanced against the bank.</p> <p>Council regularly audit internally to comply with the Hiscox.</p>	<p>Cllrs to review budget on a monthly basis at PC meet.</p> <p>Financial Regulations to be reviewed at APCM</p>

Topic	Risk	Risk Rating	Existing Management of risk (Mitigations)	Recommendations/Control Measures/Actions
Direct costs Overhead expenses Debts	<ul style="list-style-type: none"> <li>• Goods not supplied but billed</li> <li>• Incorrect invoicing</li> <li>• Cheque payable incorrect</li> <li>• Loss of stock</li> <li>• Unpaid invoices</li> </ul>	L / 3  L / 3  L / 3  L / 3 L / 4	<p>The Council has Financial Regulations which set out the requirements. The Council meets every month and this avoids late payment of accounts.</p> <p>A list of payments made since the last meeting are presented at each meeting. Two Councillors are nominated to check each cheque request against the cheque book and associated paperwork and initial the cheque stub. Council approves the list of requests for payment.</p> <p>The Council has minimal stocks, these are checked and monitored by the Clerk. Unpaid invoices to the Council for adverts in the newsletter or services are pursued and where possible, payment is obtained in advance.</p>	<p>Council's monitoring process to be reviewed.</p> <p>Financial Regulations to be reviewed at the APCM and as required</p>
Grants and support - payable	<p>Relevant power to pay not identified</p> <p>Authorisation of Council to pay is not sought</p>	L / 4	All expenditure goes through the required Council process of approval, is minuted and is listed accordingly if a payment is made using the relevant power of expenditure.	Financial Regulations to be reviewed at APCM
Grants - receivable	Terms and conditions re receipts of Grants not adhered to	L / 3	One off grants are considered and approved at full council meetings to ensure that the terms and conditions are satisfied.	Council process is compliant, and no review is necessary
Charges – rentals	Non-payment of charges	L / 4	The only rents Broomfield and Kingswood Parish Council pay are for the Village Hall which is used for Parish Council meetings. Hire fees are paid monthly to ensure transparency and invoices kept on file.	Council process is compliant, and no actions are necessary

Topic	Risk	Risk Rating	Existing Management of risk (Mitigations)	Recommendations/Control Measures/Actions
Charges – rentals receivable	Non-receipt of rental	L / 2	<p>Broomfield and Kingswood Parish Council currently leases 2 x garden spaces in Tall Trees Close and land where the Scout Hut is located at The Sports Field. An annual invoice is issued for payment in April/May. The charges increase in line with the current RPI. Reminders are sent to the Leasers.</p> <p>Headcorn FC lease an area of The Sports Field and send a relevant remittance and payment monthly. Clerk/RFO checks remittance. Any non-payment would be raised at the Parish Council meeting and relevant action determined.</p>	Council process to be reviewed annually under the review of the Financial Regulations
Best value accountability	<p>Work awarded incorrectly</p> <p>Overspend on services</p>	<p>L / 4</p> <p>M / 8</p>	<p>Broomfield and Kingswood Parish Council strives for 3 or more quotes for any substantial work required to be undertaken.</p> <p>For major contract work, a formal competitive tender would be undertaken.</p> <p>If a problem is encountered with a contract, the Clerk/ RFO would investigate, check the quotation/tender, research the problem and report to Council.</p>	Council process to be reviewed annually under the review of the Financial Regulations

Insurance	<p>Inadequacy of insurance Cost of insurance not appropriate</p> <p>Non-compliance with statutory insurance requirements including Fidelity Guarantee</p>	<p>L / 4</p> <p>L / 4</p>	<p>Employers Liability, Public Liability and Hiscox insurance are a statutory requirement and an annual review is undertaken of all insurance arrangements in place.</p> <p>If cost of insurance is not appropriate, other suppliers are investigated and a report taken to full council for resolution of which supplier to proceed with.</p>	Insurance provision and compliance to be reviewed annually.
Councillor Allowances	Councillors over-paid income tax deductions	L / 3	<p>Councillors do not currently claim expenses and so do not need to pay income tax and other deductions.</p> <p>A small allowance is allocated in the budget to the Chairman</p>	Existing procedure to be reviewed due to changes in legislation. Chairman's allowance under review
Election costs	Risk of an election cost	L / 3	When an election is due the Clerk ascertains if there are any costs from the Borough Council for a full election and an uncontested election. Money is allocated in the budget for election costs. There are no measures which can be adopted to minimise the risk of having a contested election as this is a democratic process.	Existing procedure compliant and no action is necessary
VAT	Re-claiming/charging	L / 3	The Council has Financial Regulations which set out the requirements. VAT payments are refunded at least annually unless the amounts are significant in which case a refund can be requested sooner.	Existing procedure to be reviewed when the Financial Regulations are reviewed
Annual Return	Not submitted within the required time limits	L / 5	The Employers Annual Return is completed and submitted to Mazars, the Government approved external auditor within the prescribed time frame by the RFO. Should the RFO be unable to submit within the	Existing procedure to be reviewed when the Financial Regulations are reviewed.



			<p>prescribed time frame, then RFO/Councillors must act accordingly and contact Mazars to discuss.</p> <p>The internal auditor completes inspection of financial compliance. The Annual Return is completed and signed by the full Council, and then submitted to the External Auditor within the requisite time frame.</p>	
Legal Powers	Illegal activity or payments	L / 3	All activity and payments within the powers of the Parish Council are resolved and minuted at Parish Council Meetings, including a reference to the power used when appropriate.	Existing measures are compliant, and no actions are necessary

<b>GDPR</b>				
<b>Topic</b>	<b>Risk</b>	<b>Risk Rating</b>	<b>Existing Management of risk (Mitigations)</b>	<b>Recommendations/Control Measures/Actions</b>
All personal data	Personal data falls into hands of a third party	L / 5	Personal data held by the council has been identified and information on why it is stored and for how long has been ascertained. How personal data is stored has been identified.	Existing measures to be reviewed annually
	Personal data is published in the minutes and other council documents	L / 5	No personal information is published in the minutes or other council documents which are in the public domain  Consent has been given for all personal data held by the Council	
Sharing of data	Personal data falls into hands of a third party	L / 5	Consent is sought if data is to be shared and written agreement is obtained from the organisation with whom the data is shared that they will protect the data once it has been passed to them	Existing measures to be reviewed annually
Hard copy data	Hard copy data falls into hands of a third party	L / 5	All data no longer required has been destroyed in line with the Retention of Documents policy Personal data is stored securely in a locked cabinet.	Existing measures to be reviewed annually
Electronic Data	Theft or loss of a laptop, memory stick or hard drive containing personal data	M / 5	Computers are encrypted and password protected Memory sticks are not used Computers are regularly backed up in terms of all information held on them All IT equipment and printers are safely disposed of at the end of their life All new IT equipment has adequate security measures installed prior to use.	Existing measures are adequate but should be reviewed annually

Topic	Risk	Risk Rating	Existing Management of risk (Mitigations)	Recommendations/Control Measures/Actions
Email security	Unauthorised access to council computers and files	L / 5	<p>All email accounts are password protected and the passwords are not shared or displayed publicly.</p> <p>Separate parish council email addresses have been set up for employees and councillors</p> <p>BCC is used to send group emails to people outside the council</p> <p>If emails from members of the public are forwarded, they are cut and paste into a new email and the IP header removed</p> <p>Emails from members of the public are deleted when the query has been dealt with and there is no need to keep it.</p>	<p>All Cllrs to use their parish email address for Parish business</p> <p>Existing measures to be reviewed annually</p>
General Internet Security	Unauthorised access to council computers and files	L / 5	<p>All computers (including councillors) are encrypted and password protected and the passwords are not shared or displayed publicly</p> <p>All computers (including councillors) have up-to-date anti-virus software, firewalls and file encryption is installed.</p> <p>The operating system on all computers is up-to-date and updates are installed regularly</p> <p>Personal and sensitive information folders and databases are password protected</p> <p>No Councillors have shared drives. Employees password protect shared drive documents</p>	<p>Cllrs to ensure their computes/laptops/phones are password protected, have up-to-date anti-virus software, firewalls and file encryption</p> <p>Existing measures to be reviewed annually</p>
Website security	Personal information or photographs of individuals are published on the website without written consent	L / 5	<p>Written consent of any individual (including parental consent if the subject is 17 or under) would be obtained if personal information or photographs of an individual are published on the website</p>	<p>Existing measures to be reviewed annually</p>

Topic	Risk	Risk Rating	Existing Management of risk (Mitigations)	Recommendations/Control Measures/Actions
Disposal of computers and printers	Data falls into the hands of a third party	L / 5	The hard drives from computers, laptops and printers are removed and destroyed before disposing of the device	Existing measures to be reviewed annually
Financial risks	Financial loss as a result of prosecution or fines following a data breach	L / 4	The council has liability cover which specifically covers prosecutions resulting from a data breach. There is a contingency fund which could be used should the council be fined for a data breach Satswana has been appointed as DPA The council has earmarked sufficient funds to meet the requirements of GDPR both for equipment and data security and will add to budgets headings moving forward	Existing measures to be reviewed annually
General risks	Loss of third-party data due to lack of understanding of the risks/need to protect it	L / 5	All staff and councillors have received adequate training and are aware of the risks Satswana has been appointed as DPA	Training of Councillors and staff to be regularly reviewed
	Confidential information is filmed and/or recorded at meetings	L / 5	Closed meetings to discuss confidential information are not filmed or recorded	
Council records - paper	Loss through: <ul style="list-style-type: none"> <li>theft</li> <li>fire</li> <li>damage</li> </ul>	L / 5 M / 5 L / 5	The Parish Council records are stored at the Clerks & RFO's home. Records include historical correspondence, minute books and copies, leases for land or property, records such as personnel, insurance, salaries etc. Recent materials are in a metal filing cabinet (not guaranteed fire proof)) and older more historical records at the Clerks home or archived at KCC	Existing measures to be reviewed annually

Topic	Risk	Risk Rating	Existing Management of risk (Mitigations)	Recommendations/Control Measures/Actions
Council records - electronic	Loss through: <ul style="list-style-type: none"> <li>• theft</li> <li>• fire</li> <li>• damage</li> <li>• corruption of computer</li> </ul>	L / 5 M / 15 L / 5 L / 5	The Parish Council's electronic records are stored on the Clerks/ RFO computer. Back-ups of the files are stored on one drive	Existing measures to be reviewed annually

#### HEALTH & SAFETY

Workplace	No workplace assessment has taken place	L / 4	Broomfield & Kingswood Parish Council have a Workplace Assessment Form	Workplace Assessment to be completed for new Clerk. Clerk and Councillors to access relevant training And this to be entered on a training log
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<b>PHYSICAL EQUIPMENT OR AREAS</b>				
<b>Topic</b>	<b>Risk</b>	<b>Risk Rating</b>	<b>Existing Management of risk (Mitigations)</b>	<b>Recommendations/Control Measures/Actions</b>
Assets	Loss or damage	L / 3	Loss or damage to assets and risk/damage to third party/ies property is covered under the Council's insurance provision. An annual review of assets is undertaken for insurance provision and audit purposes.	Existing measures to be reviewed annually
	Risk/damage to third party(ies)/property	L / 5		
Maintenance	Poor performance of assets or amenities	L / 4	All assets owned by the Parish Council are regularly reviewed and maintained.	Existing measures to be reviewed annually
	Loss of income or performance	L / 4	All repairs and relevant expenditure for these repairs are actioned/authorised in accordance with the correct procedures of the Parish Council.	
	Risk to third parties	L / 5	All assets are insured and reviewed annually. All public amenity land is inspected regularly by authorised personnel	
Notice boards	Risk/damage/injury to third parties	L / 4	Broomfield and Kingswood Parish Council has 4 notice boards sited around the village. All locations have approval by relevant parties, have insurance cover and are inspected regularly by the Clerk with any repairs/maintenance requirements being brought to the attention of the Parish Council. Keys are held by the Clerk/RFO.	Existing measures to be reviewed annually
	Risk in terms of road side safety when updating/viewing the noticeboards	L / 4		

Topic	Risk	Risk Rating	Existing Management of risk (Mitigations)	Recommendations/Control Measures/Actions
Street furniture	Risk/damage/injury to third parties	L / 5	<p>The Parish Council is responsible for a defibrillator, four salt bins, village sign and planters around the village and all are covered by insurance.</p> <p>No formalised programme of inspections is carried out, but all reports of damage or faults are reported to Clerk and are dealt with. Handyman does inspect Defibrillator weekly and regularly tends to the planters.</p>	Existing measures to be reviewed annually
Sports Field and play area equipment	<p>Equipment which is dangerous is not identified</p> <p>Members of the public are injured whilst using the play equipment</p>	<p>L / 5</p> <p>M / 5</p>	<p>Weekly inspections are carried out by the handyman and an annual RPII is undertaken. Reports are received which identify any problems/hazards that have been created by use, abuse, weather and age.</p> <p>Any problems/hazards are presented to the Parish Council and actioned as a matter of urgency. The clerk can instigate urgent actions and minor repairs if required.</p> <p>All inspection reports are retained by the Clerk within the Parish Council records and are available for inspection by request.</p>	Existing measures to be reviewed annually
Meeting location	<p>Adequacy</p> <p>Health and Safety</p> <p>Meeting location ceases to be available</p>	<p>L / 3</p> <p>M / 5</p> <p>L / 4</p>	<p>The Parish Council Meetings are held at Broomfield and Kingswood Village Hall.</p> <p>The premises and the facilities are considered to be adequate for the Clerk, Councillors and Public who attend from Health and Safety and comfort aspects.</p> <p>An alternative and suitable location would need to be sought</p>	Whilst existing location is adequate an independent Parish Council Office to be sought along with an associated meeting room





## APPENDIX A

### Risk evaluation

The level of risk posed by an activity needs to be evaluated and the likelihood and impact of the threats and opportunities estimated resulting in a risk rating.

Figure 1 below shows Broomfield and Kingswood Parish Council's standard for determining the risk levels for each of the risks. Broomfield and Kingswood Parish Council recognises 3 levels of risk:

LOW	MEDIUM	HIGH
1 – 6	8 – 15	16 - 25

From the information collated and recorded when assessing a risk, it should be possible to estimate and distinguish how likely the risk is to happen; Very Unlikely, Unlikely, Possible, Likely or Very Likely. Similarly, from the information collated and recorded it should be possible to distinguish the level of impact the risk would have if the risk occurred now; Minor, Moderate, Significant, Serious or Major.

Figure 1 – Broomfield and Kingswood Parish Council's standard for determining risk levels

<b>Likelihood</b>	Very likely	5	5 Low	10 Medium	15 Medium	20 High	25 High
	Likely	4	4 Low	8 Medium	12 Medium	16 High	20 High
	Possible	3	3 Low	6 Low	9 Medium	12 Medium	15 Medium
	Unlikely	2	2 Low	4 Low	6 Low	8 Medium	10 Medium
	Very Unlikely	1	1 Low	2 Low	3 Low	4 Low	5 Low
<b>RISK RATING MATRIX</b>			1	2	4	4	5
			Minor	Moderate	Significant	Serious	Major
			<b>Impact</b>				

For example:

- A risk with a 'possible' likelihood (3) and 'major' impact (5) would equate to a 'Medium' risk level of 15 (3 x 5).
- A risk that is judged to be 'likely' (4) and have a 'minor' impact (1) would equate to a 'Low' risk level of 4 (4 x 1).

It should be borne in mind that determining the risk rating is not an exact science. Without significant historical data or mathematical prediction, it is, for the most part, a subjective but important estimate.