

Kingstone Parish Council
Business Risk Assessment – adopted 12th January 2021

| Item | Risk Rating L/M/H | Details | Controlled (Yes/No) | Action required |
|---|----------------------|--|------------------------|---|
| 1 | Assets | | | |
| Insurance Cover for the Council | L | Buildings | NA | Insurance is reviewed each year and if new assets are added to asset register, then insurance company informed and added to schedule. Came and Co are the insurance brokers used by Council and insurance renewal date is 24 th May each year. |
| | L | Contents | Y | |
| | L | Fidelity | Y | |
| | L | Theft | Y | |
| | L | Personal Injury | Y | |
| | L | Public Liability | Y | |
| | L | Slander/Libel | Y | |
| | L | External Assets e.g., Play Areas/Community Centres (if applicable) | Y | |
| | NA | Insurance for Clerk's premises (if necessary) | NA | |
| L | Equipment | Y | | |
| Office security | L | Sensitive computer data is password protected. | Y | Clerk has sent sealed envelope to Chair and Vice Chair with all passwords. Back up carried out by Clerk from lap top to hard drive and cloud on a monthly basis. |
| | L | Files Backed up on regular basis Stored on site in metal filing cabinet | Y | |
| Regular Maintenance/ Inspections of Play Equipment | L | Monthly Risk Assessments completed | Y | Monthly Inspections are carried out by DSK Engineering (Midlands). The Councillors of the Parish Council carries out weekly checks of the play equipment and reports are filed by Clerk |
| | L | Inspection log maintained by Clerk of Council | Y | |
| Asset Register/Deeds | L | Maintained and accurate | Y | The register is updated and reviewed quarterly by Clerk and then annually by Clerk and Internal Auditor. Ratified at Annual Meeting each year. The Deeds to assets are held at Staffordshire County Council Documents can only be obtained by signature of Clerk and one Councillor both to provide ID at time of signing. |

Kingstone Parish Council
Business Risk Assessment – adopted 12th January 2021

| | | | | | |
|----------|---------------------------|----|--|----|---|
| 2 | Finance | | | | |
| | Cash Loss | NA | Procedures to ensure safety of cash transfer (if applicable) | NA | No cash or petty cash transactions |
| | Handling VAT | L | Make accurate and regular reclaims Ensure correct values applied | Y | Claims made by Clerk on a quarterly basis and reported to Parish Council meetings. Will be checked by Internal Audit trail |
| | Budgeting (precepts) | L | Maintain accurate accounts to control budgets | Y | The clerk ensures all accounts are maintained accurately and checked by a Councillor, using the internal audit trail spreadsheet on a quarterly basis. Budget is produced for the November Meeting by Clerk and one other Councillor. Annual precept is based on spending and income, which is reviewed in November Parish Council meeting. Precept applied for in January to ESBC by Clerk. Contingency/earmarked fund is to move to NatWest Savings Account and then reviewed annually |
| | | L | Annual precept based on adequate budgetary process | Y | |
| | | L | Reserves/contingencies appropriate | Y | |
| | Awarding Grants | M | Establish system of grant applications and monitoring | Y | Grant process has been established. Grant Application is on Parish Council website. Deadline for submission is end of August, Councillors discuss in September meeting, and the budget is adjusted accordingly in November meeting. Grants awarded the following May meeting. |
| | Obtaining Grants | L | Grant training and funding training to be established and funding bodies reviewed annually | Y | Councillors to advise Clerk which funding is required. Clerk and Chair/Vice Chair to submit funding applications once agreement in meeting has taken place. |
| | Conforming to legislation | M | Lack of commitment to regulations/procedures | Y | All agreements are made by the Parish Council at meetings. Clerk is in contact with Staffordshire Parish Council Association and is a member of Society of Parish Clerks, so can be advised on all legislation to bring to the Parish Council meetings. Financial Regulations are posted on Parish Council website and ensure the Council adheres to all regulations. Council has a professional internal auditor Training courses can be undertaken on funding applications |
| | | L | Items purchased without proper tendering procedures | Y | |
| | | L | Payments made without approval/control | Y | |
| | | M | Lack of knowledge of accounting requirements | Y | |
| | | M | Lack of knowledge of sources of income | Y | |
| | Banking arrangements | L | Control of signatories | Y | Financial Regulations adopted by Council ensure 2 signatures are required for any cheque or money transfers from NatWest accounts Annually review accounts T&C |
| | | L | Continual review of interest-bearing accounts | Y | |
| | Gifts | L | Maintain register and review regularly | Y | Only accepted after vote by full Council |

Kingstone Parish Council
Business Risk Assessment – adopted 12th January 2021

| | | | | | |
|--|-----------------|--------|--|--------|--|
| | Salary payments | L L | Paid in accordance with Council regulations PAYE/NI handled appropriately | Y Y | Parish Council has signed contract with Clerk for salary and abides by NALC annual pay reviews. Salary paid by Standing Order, monthly. The Clerk uses Brightpay to submit PAYE details monthly – all pay slips included in accounts and minutes and HMRC |
|--|-----------------|--------|--|--------|--|

Kingstone Parish Council
Business Risk Assessment – adopted 12th January 2021

| | | | | | |
|----------|------------------------------|---|--|---|---|
| | | | | | Submissions are sent to Chair and Vice Chair, these are checked by internal audit. |
| | Procedures | L | Accounts programme is an Excel spreadsheet. Account monitoring undertaken by: Councillors Internal/External Auditor | Y | The accounts are on an Excel spreadsheet which is available for public inspection during the 30 days of Audit review each year. Internal Audit trail is carried out by one Councillor on a quarterly basis. Employ an Internal auditor - Topliss Associates and External auditor is- MAZARS SALVUS HOUSE, AYKLEY HEADS, DURHAM DH1 5TS |
| 3 | Public Liability | | | | |
| | Telephone Boxes | L | Adequate insurance/visual inspection and log | Y | Kingstone Telephone box has been removed by BT in November 2020 |
| | Defibrillators | L | Adequate insurance/visual inspection and log | Y | The one Defibrillators are checked weekly by a village hall committee |
| | Bus Shelters | L | Adequate insurance/visual inspection and log | Y | The Council has a bus shelter, included in the Asset Register and are covered by insurance. Maintained regularly. |
| | Play Areas | L | Weekly inspection by Councillors Monthly inspection by qualified body Annual inspection by qualified body | Y | The monthly inspection is carried out by DSK Engineering (Midlands) with a report being available to all Councillors The Annual inspection is carried out by The Play Inspection Company. |
| 4 | Legal | | | | |
| | Meetings | L | Conducted by Standing Orders. please note new regulation with regards on line meetings. | Y | Conducted by Chair or Vice Chair with the help of Parish Clerk. The Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) Regulations 2020. These regulations come into force on 4th April 2020 and allow Parish Councils to hold meetings via an on-line platform. http://www.legislation.gov.uk/ukxi/2020/392/part/2/made |
| | Minutes | L | Signed and retained appropriately | Y | Draft minutes uploaded onto website within 5 working days of the meeting taking place and final signed minutes uploaded onto website within 5 working days and put into the Parish Noticeboards within 5 days of meeting. |
| | Agendas including Summons to | L | Sent out in time and giving sufficient detail of the business to be transacted | Y | Sent by email to Councillors by Clerk and sent out 5 working days before meeting. Each councillor is issued with Good Councillor Guide and understand they need to attend meetings |

Kingstone Parish Council
Business Risk Assessment – adopted 12th January 2021

| | | | | | |
|----------|-----------------------------|-----|---|---|--|
| | Meeting | | | | |
| | New Councillor Welcome Pack | L | Councillor's awareness of responsibilities | Y | Three-page document issued to new Councillors, giving details of all significant documents, policies and powers and duties. |
| | Training | L | Continual Professional Development for both councillors and Clerk | Y | Staffordshire Parish Council Association offer training to Councillors and SLCC provide training for Clerk. All training information is passed to councillors on a regular basis. |
| 5 | Member Liability | | | | |
| | Declarations of Interests | L | Register accurate and lodged with monitoring officer Agenda items declared at each meeting | Y | The Councillors all register their interests with ESBC and will declare an interest at meetings, if an interest is discussed. All declarations of interests are added to minutes. Any changes to interests must be notified to ESBC within 10 working days of the change. |
| | Hospitality | L | Declared on Agenda | Y | Hospitality only offered after full Council agree budget for the event. Councillors must declare any hospitality they receive. |
| | Resolutions | L | The Chair summarises resolutions before Members vote on them Where Members disagree with the advice of the Clerk, such disagreement must be recorded | Y | All resolutions are added to minutes and minuted as RESOLVED. – As per standing orders, a resolution cannot be changed for 6 months, unless 3 councillors write to clerk. All disagreements are added to minutes. |
| 6 | Council Liability | | | | |
| | Lone person working | M | Comply with employment law | Y | All issues are addressed by advice from NALC, Staffordshire Parish Council Association and SLCC |
| | Contract of Employment | L | Issue contract within legislative timeframe and include person specification | Y | The Parish Council uses the NALC contract of employment |
| | Duty of Care | M/L | To employees To visitors To Councillors | Y | Advice issued by NALC, SPCA and SLCC |
| | Councillors | L | Councillors are adequately advised of their responsibilities | Y | Councillors are made aware of all policies and codes required to be a responsible Councillor via training and Good Councillor Guide. SPCA training is encouraged |
| | Code of Conduct | L | Reporting of Interests and Code of Conduct issues administered by East Staffordshire Borough Council | Y | All Councillors are given a Declaration of Acceptance form when elected and retained by the Clerk. The Chair signs a declaration of acceptance each year at Annual Meeting. The Register of Interests forms are annually given to Councillors and a copy is kept by Clerk and uploaded onto website. Originals are sent to ESBC. Councillors sign a form each year at the Annual meeting to |

Kingstone Parish Council
Business Risk Assessment – adopted 12th January 2021

| | | | | | |
|-----------|----------------------------------|----------|--|--------|--|
| | | | | | confirm they have read and will comply with the ESBC Councillor Code of Conduct document. |
| 7 | Health and Safety | | | | |
| | Responsibilities | L | Members Employees Public | Y | Assessment of the meeting rooms, Kingstone Village Hall are the responsibility and carried out by the Village Hall Committee |
| | Fire | L | (See separate risk assessment) | | Carried out by Village Hall committee |
| | COSHH | | (See separate risk assessment) | | Carried out by Village Hall committee |
| | P A T | | Regular testing completed | | Not carried out on lap top or printer |
| | VDU | L | Clerk to adhere to H&S advise on use of VDU | Y | Clerk to take breaks when using the laptop and ensures seating is Correct. Annual Work Place assessment is carried out. |
| 9 | Town and Country Planning | | | | |
| | Consultation on local planning | L | Planning Committee is whole Council Delegated powers to Clerk | Y | The Councillors are sent all planning applications by e-mail and comments are discussed at meetings. Vote is undertaken if disagreement is raised. If deadline for comments is between meetings, then clerk requests comments via email. Clerk to add comments to ESBC website and upload planning application details to the Parish Council website. Town and Country Planning Act 1990 sched 1. Para 8. |
| 10 | Contracts | | | | |
| | Monitoring of contracts | M/L L | Performance Payments | Y Y | Each year the contractors' contracts are reviewed by Councillors. All payments are recorded in the minutes and cheques and invoices are signed by 2 Councillors |
| | Letting of Contracts | L | Compliance with legislation, particularly tendering process as defined in Standing Orders/Financial Regs | Y | See Financial Regulations |
| | Site inspections | L | Third party sites where grass is being cut or bins emptied by Contractors and ESB Council to be inspected and any defects reported to Council meeting Establish 10% random checking matrix, which is available for use by a third party in the event of prolonged absence of the Clerk | Y | Councillors and Parish Clerk carry out site inspections and report any issues to the Parish Council meetings. No matrix currently in place |

Kingstone Parish Council
Business Risk Assessment – adopted 12th January 2021

| | | | | | |
|--|------------------------|---|---|---|--|
| | Conditions of Contract | L | Contracts are reviewed annually and are placed with specialist contractors who will hold their own insurance and will have conducted their own risk assessments and | Y | Risk Assessments and Insurance Documents are requested by Clerk each year. |
|--|------------------------|---|---|---|--|

Kingstone Parish Council
Business Risk Assessment – adopted 12th January 2021

| | | | | | |
|-----------|-----------------------|----|--|---|---|
| | | | provided copies of such documentation | | |
| 11 | Administration | | | | |
| | Office cover | L | The years meetings dates are arranged at the Annual Meeting and published on the website. Clerk cover | Y | The Chair or Vice Chair will take minutes at meetings if Clerk unavailable. If Clerk is not available for a long period, then Chair will contact Staffordshire Parish Council Association for a locum clerk. The Home Working Policy has been adopted by Kingstone Parish Council, see details on website |
| | Public accessibility | L | The Clerks residence is usually open by appointment. | Y | Access by e-mail during these hours. Access to clerk residence by appointment. |
| | Procedures | L | Defined by NALC and Approved by Council | Y | All relevant policies and codes are reviewed bi-annually. All policies and codes are available from NALC and adopted policies are on the website |
| | Archiving | L | Documents are stored in accordance with guidelines from NALC | Y | All records (required to be kept) - Council will submit all old records to Staffordshire County Council Records Office. |
| | Website | L | Lack of updates Incorrect data | Y | Content of site is reviewed by Councillors annually. External website company, Staffordshire County Council is employed to host the website and the Clerk updates the website monthly. |
| | Standing Orders | L | Reviewed annually | Y | At the Annual Meeting the standing orders are reviewed and resolved |
| | Press comments | L | Adopt guidelines for press comments | Y | Refer to Media Policy on Parish website |
| | Data Protection | ML | Keep up to date to ensure legislative compliance | Y | Advice gained from SLCC, SPCA and NALC |
| 12 | Bye Laws | | | | |
| | Introduction | L | Reference documents readily available Higher Agencies involvement | Y | Advice gained from SPCA, ESBC and SCC |

- There is a charge of £0.10 per Black and White A4 paper copy plus 2nd class postage costs – as per the Publications Scheme on website.
- The Clerk is the Proper Officer for the release of papers under the Freedom on Information legislation.