

KINGSWOOD TOWN COUNCIL

Meeting: Full Council

Date: 8th October 2024

Author: Town Clerk

Item for Consideration: Risk Assessments for Finance and People and Digital Technology

1.0 Introduction

1.1Kingswood Town Council has adopted a Risk Management Policy, which considers how it will treat risks. It has choices:

- Treat the Risk - Improve the controls to reduce the probability or impact to acceptable limits
- Transfer the Risk - Insure against risk / outsource / design & build option for contracts
- Tolerate the Risk - Live with it, the risk is acceptable and additional controls would not be cost-effective
- Terminate the Risk - Do not pursue the course of action, the risk is unacceptable and cannot be economically mitigated to an acceptable level

1.2Kingswood Town Council is required to undertake an assessment of its risks and put in place arrangements to manage those risks. As the council becomes active in arranging events it is necessary to increase the number of risk assessments for manual activities, such as working alone and how we look after the public and volunteers. As the council recruits additional staff, the risks will reduce as the workload and responsibility are spread across a staffing team and thus reducing the single point of failure. The council has already considered financial risks and people risks and this list is being updated to include technological risks and event risks.

The clerk has provided the following risk assessments at Appendix A. This is a work in progress and the list will be updated as circumstances change.

3.0 Recommendation

3.1 That the risk assessments are adopted.

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Appendix A

Category : Staff

Ref No	Name of Risk	Cause and Description	Impact	RAG Score	Control Measure	Actions
S1	Injury or death	Accidents, trips and falls, burns and scalds, poorly planned events, terrorism	Death or injury	Medium	Training, procedures, risk assessment, Insurance	To identify all risks and ensure risk assessments are in place
S2	Staff wellbeing	Failure to recruit and maintain staff morale, failure to maintain staff health, leading to unsafe or unhealth working conditions	Loss of staff and good will	Medium	Staff appraisal, regular internal communications, staff training programme, staff and councillor meetings face to face.	To ensure that the staff are included in decisions To ensure staff receive regular feedback To ensure staff have access to necessary training To ensure staff have the necessary equipment to do their role.
S3	Staff retention	Impact on projects and service delivery and the general running of the council	Council ineffective	High	Commitment to support staff wellbeing, for staff to be involved in staffing committee, staff to receive regular feedback, staff to be supported by Council and Committee Chairs	Implement a feedback loop for staff to keep councillors updated and engaged, and for councillors to keep staff updated and engaged.
S4	Loss of Key Staff	Inability to pay suppliers, to manage finances, to complete statutory duties, to hold meetings, to deliver projects, to complete or deliver and for the council to operate.	Impact on smooth running of the council	Medium	To employ more than one member of staff. To spread the workload and for the clerk to understand everyone's workload. To have contacts of SLCC to find temporary cover, to ensure that procedures are written down, to distribute knowledge	To have contacts for external locum agency, external accountancy support and contacts for meetings and key suppliers. For staff to have regular meetings to be aware of what others are doing and be willing to support as necessary.
S5	Claim from staff	Staff claiming compensation for employment defects	Financial and reputational	Low	Model contract of employment, Confidential matters discussed by staffing committee, committee to keep up to date with employment law, HR support	Seek quote for HR/legal employer services Insurance in place.
S6	Insufficient staff	Insufficient staff to deliver projects resulting in slow delivery and possible change in direction	Reputational, delayed projects, financial impact	Medium	Town Clerk to update council on projects and inform of impact of increased workload or need to recruit.	Ongoing workforce planning, and to assess staffing needs and resources and cost on each project. For new ideas to be considered alongside all projects by committees and to only progress new projects if the staff resource is in place.

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Category: Finance

Ref No	Name of Risk	Cause and Description	Impact	RAG Score	Control Measure	Actions
F1	Incorrect precept request/late request	Council not receiving its annual funding	Financial Impact on objectives	Low	Minutes record amount and checked by Chair after meeting	Checked by Town Clerk and Finance Officer.
F2	Precept paid to wrong account	Incorrect details provided to SGC	Financial	Low	SGC have checked it is accurate	Keep the same bank account and beneficiary to be checked annually
F3	Payroll Fictitious people on payroll	Funds being used to pay others and not genuine staff members	Financial	Low	Starter form to be signed off by Clerk and Chair 2 bank signatories who see all invoices or records to pay	Outsourced to payroll agency who have a robust process. Bank signatories to know who is being paid and challenge any unrecognized payments
F4	Payroll Incorrect payment	Too much or too little paid to staff	Loss of staff morale, financial	Low	Outsourced to Payroll agency and all paperwork checked by town clerk and finance officer	Regular reviews that current rates are being applied
F5	Payroll Nonpayment of staff	Clerk not making payments Councillors not authorizing payments in time scale	Loss of staff morale, financial	Medium	Two members of staff to be able to make payments onto bank, in agreement with council	Payments onto bank to be authorized by Finance Officer in addition to one other <u>councillors</u> or 2 councillors.
F6	Theft of money from bank accounts	Councillors, staff of others with access to account removing sums	Financial and reputational	Low	Monthly bank reconciliation Signed by Chair and Clerk Bank signatories limited to 6, and 2 are needed to authorize every transaction	Clerk must enter and 2 councillors authorize payments, and therefore a robust system of checks. Bank reconciled with financial package and audited monthly. For different councillors to action, not rely on the same 2 all the time
F7	Financial records not up to date	Adverse audit result, legal action,	Impact on running of council	Low	Clerk/RFO to be up to date with changes, to attend all relevant training,	For Finance Officer and clerk to share this function. Training to keep up to date with legislation
F8	Financial records that are inadequate or non-compliant	Adverse audit result, legal action,	Impact on running of council	Low	Clerk/RFO to be up to date with changes, to attend all relevant training, and implement best practice, and rely on advice of internal auditor who supplies an annual report to council	Independent internal auditor to do checks twice a year. Their report to full council and their suggested actions to be implemented. Finance Officer and Clerk are qualified in CILCA.
F9	Payments for goods that haven't been supplied	Loss of funds	Financial	Low	PO system, use accounts software, bank reconciliation to match against invoices.	Use purchase orders, all invoices to be checked, all invoices signed by 2 councillors before payments, all invoices signed to be emailed to bank signatories before authorization

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Category: Digital Technology

Ref No	Name of Risk	Cause and Description	Impact	RAG Score	Control Measure	Actions
T1	Website Failure	Public unable to access council information	Impact on running of council, reputational	Low	Website hosted externally, with appropriate backups	To ensure that backups of all public facing data is accessible. To use social media to communicate with the public as an interim measure.
T2	Unauthorized access to Finance Package	Access by unauthorized personnel	Impact on running of council, reputational, financial	Low	Finance package hosted in the cloud with 2-point authentication. Daily appropriate backups	Finance officer and town clerk to have independent log ins and audit trails. To regularly do cash book checks.
T3	Loss of Data	Unable to process payments	Impact on running of council, reputational, financial	Low	Data stored in cloud with daily backups. <u>2 point</u> authentication to log in. IT security to be reviewed annually. Firewalls and virus checkers in place. IT policies restrict access to the Council computer system	To check the back ups weekly. To keep copies of all financial data
T4	Breach of Confidentiality – failure to comply with Data protection or other legislation	Information being shared with the wrong people	Impact on running of council, reputational, financial	Low	Data is stored electronically/ staff profiles are restricted on a need-to-know basis. Password protection on highly sensitive information. The Council is registered with the ICO	Encryption should be considered when transferring sensitive data eg payroll Staff training in GDPR Policies in place Regular reviews by clerk Destruction of data not required

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Activity and Event Risk Assessment

Name of Event	Location:
Other relevant risk assessments: Site Risk Assessment dated April 2024 GN.007 Personal safety GN.009 Manual handling GN.011 Occupational health & hygiene GN.012 Health and safety at events GN.013 Working with Volunteers GN.014 Working with Young People GN.015 First Aid	Date:
	Nearest A&E and/or Minor Injuries Unit: Nearest A&E: Southmead Hospital, Southmead Road, Westbury-on-Trym, Bristol, Avon, BS10 5NB. Ph: 0117 950 5050 Nearest Minor Injuries Unit: Yate Minor Injuries Centre, Yate West Gate Centre, 21 West Walk, Yate, Bristol BS37 4AX. Ph: 01414 313 378
	Emergency Access Point Main Gate, High Street, Kingswood BS15 4AB – What3Words <u>///daily.dart.dips</u>



Category of Risk	Description of Hazards & Risks (What harm may arise)	Groups at Risk	Risk Level (before controls) (1-5)			Control measures (to reduce risk or harm)	Risk Level (after controls) (1-5)		
			Likelihood	Severity	Rating		Likelihood	Severity	Rating
Slips, Trips & Falls	Uneven ground, bumpy paths, steps Injury, loss of balance, fractures, sprains, strains, cuts, bruises	Performers Audience Event staff	3	2	6	<ul style="list-style-type: none"> Area to be checked before event begins using site check form Any moveable hazards to be removed, any others to be cordoned off Lighting to be installed for event Equipment to be securely placed, cable mats to be used as necessary Participants advised to bring own torch Parade confined to sealed paths and steps avoided where possible Stewards in key locations with torch to light the path First Aid Trained staff and first aid kit available 	2	2	4
Food service	Burns from hot drinks Allergies	Performers Audience Event staff	2	3	6	<ul style="list-style-type: none"> Hot drinks to be served in cups with lids Food Truck has a 5* Hygiene rating and extensive experience Food to be labelled with ingredients for allergen information 	1	2	3

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Weather conditions	Cold/windy/rainy weather Hypothermia, slippery ground, falling trees or branches	Performers Audience Event staff	4	3	12	<ul style="list-style-type: none"> Weather forecast closely monitored If heavy rain, very low temperatures or high winds forecast, event will be cancelled Area to be checked before event begins, including visual check of trees in immediate area Parade to be confined to sealed paths 	4	1	4
Dogs	Dog attack, bite, faeces Injury, illness, trauma	Performers Audience Event staff	2	4	8	<ul style="list-style-type: none"> Area checked before event begins, any dog faeces to be removed Ask owners to keep dogs on lead If any aggressive/threatening behaviour from a <u>dog</u> then owner asked to remove it from event 	2	2	4
Accessibility	Uneven paths, stepped access, low visibility Injury, exclusion	Performers Audience Event staff	3	3	9	<ul style="list-style-type: none"> If there are any accessibility needs amongst performers, then performances will take place at ground level rather than on the bandstand Parade route to follow unstopped path and to be lit Main areas lit by uplighters & fairy lights Attendees encouraged to bring a torch 	2	2	4
Vehicles on site	Accidents with public, damage to vehicle Injury, death, damage to property	Performers Audience Event staff Car owners Members of public	3	3	9	<ul style="list-style-type: none"> Vehicles to be met at gate and staff or volunteer to act as banksman through site Vehicles to move at walking pace and <u>have hazard lights on at all times</u> If remaining on site, vehicles will have Park logo displayed in windscreen and be parked securely away from bandstand 	2	2	4
Lost child/children	Lost child/children Injury, abduction, trauma	Children, families	2	4	8	<ul style="list-style-type: none"> Children to be <u>supervised at all times</u> by parent/guardian No child to join lantern making activity without identifying parent/guardian Staff & volunteers clearly identifiable with <u>hi viz jackets</u> Staff/volunteers to have had safeguarding briefing and be familiar with lost child procedure Mobile phone available 	2	2	4
Event management	Crushes, unpleasant experience, claustrophobia Injuries to participants, traumatic experience	Performers Audience Event staff	3	3	9	<ul style="list-style-type: none"> Activity to be held in bandstand/amphitheatre which has a large capacity and on paths where people can spread out if necessary If it starts to feel very busy, stop activity or performance and ask people to disperse Site checked thoroughly for hazards before event begins using site check form 	1	2	3

Assessment by:	Date of assessment:
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