

Pembury Parish Council

Working for Pembury People



Council Risk Assessment

Approved 05/03/2018

Version:	Date Approved:	Review Date:
1.0	03/07/2017	31/05/2018
2.0	05/03/2018	31/03/2019

1. Introduction

1.1. Risks

This is a high-level risk assessment for the Council to highlight key area of risk where the Parish Council has full or partial responsibility for managing or mitigating risk. The Parish Council’s aim is to manage risks in a thoughtful and realistic manner. Since resources, such as staff and Members time, are limited it is necessary to set priorities.

1.2. Methodology

Risks have been assessed using an industry standard approach. This risk assessment deals with strategic risks only. Each risk is scored using the table below which assesses the potential consequences with the likelihood of the risk happening. The resulting risk score then indicates the appropriate level of priority to be given to any mitigation against that risk.

1.3. Risk score matrix

		Consequences		
		Minor 3	Moderate 2	Major 1
Likelihood	Probable A			
	Possible B			
	Improbable C			

Key	Green Low Risk	Yellow Medium Risk	Red High Risk
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2. Risk Assessment

Item	Hazard	Existing Internal Controls	Consequences	Likelihood	Risk Score H / M / L	Further mitigation required	Action By Whom	Action by When
PHYSICAL ASSETS								
1.	Fire – injury to staff, Members and members of the public and damage to property	<ul style="list-style-type: none"> • Fire alarm installed at the Parish Office • Fire risk assessment undertaken for all sites 	1	C	M	•		
2.	Damage to buildings and property	<ul style="list-style-type: none"> • Insurance cover in place • Inventory and asset register reviewed and up to date. • Individual risk assessments undertaken for each site. 	1	C	M	•		
3.	Loss, damage or theft – office building contents	<ul style="list-style-type: none"> • Insurance cover in place • Security shutters installed on doors and windows • Inventory and asset register reviewed and up to date. 	2	C	L	•		
4.	Loss, damage or theft – depot contents	<ul style="list-style-type: none"> • Insurance cover in place • Groundsmen equipment locked in depot building • Inventory and asset register reviewed and up to date. 	2	B	M	<ul style="list-style-type: none"> • Consideration of installation of lockable metal bar across entrance • Approval for security fencing to be Installed in 2018/19. 	Head G/man	
5.	Loss, damage or theft – play / gym equipment	<ul style="list-style-type: none"> • Insurance cover in place • Regular inspections to check for damage 	2	B	M	•		

Item	Hazard	Existing Internal Controls	Consequences	Likelihood	Risk Score H / M / L	Further mitigation required	Action By Whom	Action by When
		<ul style="list-style-type: none"> Annual RoSPA inspections undertaken. Recommended actions undertaken. Inventory and asset register reviewed and up to date. Risk assessments undertaken for each site. 						
6.	Loss, damage or theft – street furniture	<ul style="list-style-type: none"> Insurance cover in place Inventory and asset register reviewed and up to date. 	2	B	M	<ul style="list-style-type: none"> Introduce regular inspections 	Clerk	
7.	Maintenance of equipment	<ul style="list-style-type: none"> Annual service undertaken for Grounds maintenance equipment 	2	B	M	<ul style="list-style-type: none"> 		
PUBLIC LIABILITY								
8.	Public safety in areas under the Parish Council's responsibility	<ul style="list-style-type: none"> Regular inspections undertaken 	1	B	L	<ul style="list-style-type: none"> 		
9.	Events	<ul style="list-style-type: none"> Individual risk assessments undertaken for each event 	2	B	M	<ul style="list-style-type: none"> 		
FINANCIAL								
10.	Misappropriation of funds – theft / fraud / errors	<ul style="list-style-type: none"> Fidelity guarantee in place Internal audit by independent auditor at least once a year Internal controls and processes reviewed. 2 cheque signatories for all payments, signed at a council meeting 	1	C	M	<ul style="list-style-type: none"> Re-introduce internal audit by Audit WG 	Clerk	

Item	Hazard	Existing Internal Controls	Consequences	Likelihood	Risk Score H / M / L	Further mitigation required	Action By Whom	Action by When
11.	Investment loss	<ul style="list-style-type: none"> New bank account with Nationwide opened to spread risk. 	1	C	M	•		
12.	Insufficient or excessive funds	<ul style="list-style-type: none"> Budget setting process in place Monthly budget monitoring introduced. Quarterly budget monitoring at Audit WG meetings 	2	B	M	•		
13.	Inaccurate accounts	<ul style="list-style-type: none"> Computerised accounting system required Monthly accounts prepared 	2	B	M	•		
14.	Banking arrangements	<ul style="list-style-type: none"> Cheques and cash banked promptly Monthly bank reconciliations undertaken Audit WG clarify balances quarterly 	3	C	L	•		
15.	Credit & Fuel Cards	<ul style="list-style-type: none"> Credit and Fuel Card policy introduced. 	3	C	L	•		
16.	Petty Cash	<ul style="list-style-type: none"> Float is responsibility of one member of staff Receipts required for all expenditure 	3	C	L	<ul style="list-style-type: none"> Review of processes required 	RFO	
17.	Bad debts	<ul style="list-style-type: none"> Write of off bad debts approved by Full Council. 	3	B	L	•		

Item	Hazard	Existing Internal Controls	Consequences	Likelihood	Risk Score H / M / L	Further mitigation required	Action By Whom	Action by When
REGULATORY / STATUTORY / CONTRACTUAL								
18.	Breach of Health and Safety Responsibilities	<ul style="list-style-type: none"> Public and Employers Liability insurance in place Creation of Health and Safety Policy Review of system, policies and processes required 	1	B	M	•		
19.	Breach of employment legislation	<ul style="list-style-type: none"> Review of policies and procedures undertaken Benchmarking and review of pay and benefits 	2	B	M	•		
20.	Breach of contractual obligations	<ul style="list-style-type: none"> Contracts prepared in conjunction with legal advisors. All staff have signed contracts. 	1	C	M	•		
21.	Breach of regulations governing Local Councils	<ul style="list-style-type: none"> Qualified Clerk in post KALC membership for advice SLCC membership for advice Declarations of interest documented 	2	B	M	•		
22.	Adoption and adherence to the Code of Conduct	<ul style="list-style-type: none"> Each Member provided with a copy of the Code of Conduct Training offered to all Members Disclosable Pecuniary Interest published on Council website. 	2	C	L	•		

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SERVICES								
23.	Burial Grounds – breach of regulations and contractual rights	<ul style="list-style-type: none"> Records maintained and kept up to date Cemetery regulations reviewed. 	2	B	M	<ul style="list-style-type: none"> Review of procedures following staff training Consideration of computerised records 	Clerk	
24.	Burial Grounds – Disputes and complaints	<ul style="list-style-type: none"> Records maintained and kept up to date Annual review of fees undertaken Sensitive handling of bereaved members of the public Individual risk assessments undertaken for each site 	2	B	M	<ul style="list-style-type: none"> Further review of policies and procedures required following staff training 	Clerk	
25.	Allotments – breach of regulations and contractual rights	<ul style="list-style-type: none"> Regular site inspections undertaken Liaison with allotment plot holders group to discuss issues Individual risk assessments undertaken for the site 	2	B	M	<ul style="list-style-type: none"> Review of systems following staff training in allotment legislation 	Clerk	
OFFICE & ADMINISTRATION								
26.	Computer Failure	<ul style="list-style-type: none"> Regular backups taken and kept off site Virus protection updated regularly 	1	C	M	<ul style="list-style-type: none"> 		