

**PEMBURY PARISH COUNCIL**

Working for Pembury People



# Council Risk Assessment

Approved 03/02/2020

Version:	Date Approved:	Review Date:
1.0	03/07/2017	31/05/2018
2.0	05/03/2018	31/03/2019
3.0	04/02/2019	31/03/2020

# 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	Yellow	Red	Red
	Possible B	Green	Yellow	Red
	Improbable C	Green	Green	Yellow

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
<b>PHYSICAL ASSETS</b>								
1.	Fire – injury to staff, Members and members of the public and damage to property	<ul style="list-style-type: none"> <li>Fire alarm installed at the Parish Office</li> <li>Fire risk assessment undertaken for all sites</li> <li>Annual Maintenance contract in place</li> </ul>	1	C	M			
2.	Damage to buildings and property	<ul style="list-style-type: none"> <li>Insurance cover in place</li> <li>Inventory and asset register reviewed and up to date.</li> <li>Individual annual risk assessments undertaken for each site.</li> </ul>	1	C	M	<ul style="list-style-type: none"> <li>Install CCTV in office</li> <li>Increase height of security fence around office</li> </ul>	Clerk	Feb 2020
3.	Loss, damage or theft – office building contents	<ul style="list-style-type: none"> <li>Insurance cover in place</li> <li>Security shutters installed on doors and windows</li> <li>Inventory and asset register reviewed and up to date.</li> </ul>	2	C	L	<ul style="list-style-type: none"> <li>Install CCTV in office</li> <li>Increase height of security fence around office</li> </ul>	Clerk	Feb 2020
4.	Loss, damage or theft – depot contents	<ul style="list-style-type: none"> <li>Insurance cover in place</li> <li>Groundsmen equipment locked in depot building. Security measures improved. Security fencing installed January 2019.</li> <li>Inventory and asset register reviewed and up to date.</li> </ul>	2	B	M			

Item	Hazard	Existing Internal Controls	Consequences	Likelihood	Risk Score H / M / L	Further mitigation required	Action By Whom	Action by When
5.	Loss, damage or theft – play / gym equipment	<ul style="list-style-type: none"> <li>Insurance cover in place</li> <li>Regular inspections to check for damage.</li> <li>Repairs/replacements undertaken following reports of damage.</li> <li>Annual RoSPA inspections undertaken. Recommended actions undertaken.</li> <li>Inventory and asset register reviewed and up to date.</li> <li>Risk assessments undertaken for each site.</li> </ul>	2	B	M			
6.	Loss, damage or theft – street furniture	<ul style="list-style-type: none"> <li>Insurance cover in place</li> <li>Inventory and asset register reviewed and up to date.</li> <li>Regular inspections of all street furniture in place</li> </ul>	2	B	M			
7.	Maintenance of equipment	<ul style="list-style-type: none"> <li>Annual service undertaken for Grounds maintenance equipment</li> </ul>	2	B	M			
<b>PUBLIC LIABILITY</b>								
8.	Public safety in areas under the Parish Council's responsibility	<ul style="list-style-type: none"> <li>Regular inspections undertaken</li> </ul>	1	B	L			
9.	Street Column safety for hanging baskets and Christmas Lights	<ul style="list-style-type: none"> <li>Apply for permit annually</li> </ul>	2	B	M	<ul style="list-style-type: none"> <li>Obtain load testing on all relevant street columns</li> </ul>	Clerk	April 2020

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10.	Christmas Lights & Displays	<ul style="list-style-type: none"> <li>Installed by professional contractor / electrician</li> <li>Risk assessment undertaken for Christmas Tree</li> <li>Regular inspection of Christmas Tree</li> </ul>	2	B	M			
11.	Events	<ul style="list-style-type: none"> <li>Individual risk assessments undertaken for each event</li> <li>Details of events submitted to TWBC for approval</li> </ul>	2	B	M			
<b>FINANCIAL</b>								
12.	Misappropriation of funds – theft / fraud / errors	<ul style="list-style-type: none"> <li>Fidelity guarantee in place</li> <li>Internal audit by independent auditor at least once a year</li> <li>Internal controls and processes reviewed.</li> <li>2 cheque signatories for all payments, signed at a council meeting</li> </ul>	1	C	M			
13.	Investment loss	<ul style="list-style-type: none"> <li>New bank account with Nationwide opened to spread risk.</li> <li>New bank account with Unity opened to spread the risk.</li> </ul>	1	C	M	<ul style="list-style-type: none"> <li>Consider CCLA funds to further spread risk and maximise yields</li> </ul>	FHR	April 2020
14.	Insufficient or excessive funds	<ul style="list-style-type: none"> <li>Comprehensive budget setting process in place</li> <li>Monthly budget monitoring in place.</li> </ul>	2	B	M			

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		<ul style="list-style-type: none"> <li>Quarterly budget monitoring at Finance &amp; HR Committee meetings</li> <li>Review of reserves undertaken regularly by the Finance &amp; HR Committee with recommendations to Full Council at least annually</li> </ul>						
15.	Inaccurate accounts	<ul style="list-style-type: none"> <li>Computerised accounting system used</li> <li>Monthly accounts prepared</li> <li>Customer invoices introduced for all income except allotment rents and the precept.</li> </ul>	2	B	M			
16.	Banking arrangements	<ul style="list-style-type: none"> <li>Cheques and cash banked promptly</li> <li>Monthly bank reconciliations undertaken</li> <li>Member of Finance &amp; HR Committee review bank reconciliation monthly.</li> <li>Finance &amp; HR Committee clarify balances quarterly.</li> <li>New bank account with Unity opened. BACS payments introduced.</li> <li>BACs payments subject to be reviewed and approved by 2 councillors prior to payments being made.</li> </ul>	3	C	L	<ul style="list-style-type: none"> <li>Consider alternating councillor reviewing bank reconciliations</li> </ul>		

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"> <li>Changes to bank details for suppliers confirmed in writing.</li> </ul>						
17.	Payroll	<ul style="list-style-type: none"> <li>Computerised payroll system used</li> <li>Monthly review of payroll records by a member of the Finance &amp; HR Committee undertaken</li> <li>Payments now made by BACs through Unity. 2 councillor signatories to approve payments after review of payroll records.</li> </ul>	3	C	L			
18.	Credit & Fuel Cards	<ul style="list-style-type: none"> <li>Credit and Fuel Card policy introduced.</li> </ul>	3	C	L			
19.	Petty Cash	<ul style="list-style-type: none"> <li>Float is responsibility of one member of staff</li> <li>Receipts required for all expenditure</li> <li>Review undertaken.</li> <li>2 signatures required for all spending.</li> <li>Monthly analysis of spending and reconciliation to accounts.</li> </ul>	3	C	L			
20.	Bad debts	<ul style="list-style-type: none"> <li>Write of off bad debts approved by Full Council.</li> </ul>	3	B	L			

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<b>REGULATORY / STATUTORY / CONTRACTUAL</b>								
21.	Breach of Health and Safety Responsibilities	<ul style="list-style-type: none"> <li>Public and Employers Liability insurance in place</li> <li>Health and Safety Policy in place and regularly reviewed</li> <li>Review of system, policies and processes undertaken</li> </ul>	1	B	M			
22.	Breach of employment legislation	<ul style="list-style-type: none"> <li>Review of policies and procedures undertaken</li> <li>Benchmarking and review of pay and benefits undertaken</li> </ul>	2	B	M	<ul style="list-style-type: none"> <li>Update policies as required</li> </ul>	Clerk	April 2020
23.	Breach of contractual obligations	<ul style="list-style-type: none"> <li>Contracts prepared in conjunction with legal advisors.</li> <li>All staff have signed contracts.</li> </ul>	1	C	M			
24.	Breach of regulations governing Local Councils	<ul style="list-style-type: none"> <li>Qualified Clerk in post</li> <li>KALC membership for advice</li> <li>SLCC membership for advice</li> <li>Declarations of interest documented</li> </ul>	2	B	M			
25.	Adoption and adherence to the Code of Conduct	<ul style="list-style-type: none"> <li>Each Member provided with a copy of the Code of Conduct</li> <li>Training offered to all Members</li> <li>Disclosable Pecuniary Interest published on Council website.</li> </ul>	2	C	L			



Item	Hazard	Existing Internal Controls	Consequences	Likelihood	Risk Score H / M / L	Further mitigation required	Action By Whom	Action by When
26.	Quality Council	<ul style="list-style-type: none"> <li>Application made to show adherence to national standards</li> </ul>			L			
<b>SERVICES</b>								
27.	Burial Grounds – breach of regulations and contractual rights	<ul style="list-style-type: none"> <li>Records maintained and kept up to date</li> <li>Cemetery regulations reviewed.</li> <li>Continuing staff training undertaken</li> <li>Transfer of Exclusive Right of Burial introduced.</li> <li>Thorough review of records being undertaken</li> </ul>	2	B	M			
28.	Burial Grounds – Disputes and complaints	<ul style="list-style-type: none"> <li>Records maintained and kept up to date</li> <li>Historical records reviewed and corrected when necessary</li> <li>Annual review of fees undertaken</li> <li>Sensitive handling of bereaved members of the public</li> <li>Individual risk assessments undertaken for each site</li> </ul>	2	B	M			
29.	Memorials – injury to members of the public	<ul style="list-style-type: none"> <li>Regular memorial safety testing now in place</li> <li>Recommendation to undertake remedial works for high priority memorials</li> </ul>			M			

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30.	Allotments – breach of regulations and contractual rights	<ul style="list-style-type: none"> <li>Regular site inspections undertaken</li> <li>Liaison with allotment plot holders group to discuss issues</li> <li>Individual risk assessments undertaken for the site</li> <li>Staff training undertaken</li> </ul>	2	B	M			
31.	Trees	<ul style="list-style-type: none"> <li>Tree management policy in place</li> <li>Annual Visual Tree Assessments undertaken by qualified contractor</li> <li>Regular inspections introduced including those following extreme weather conditions.</li> </ul>			M			
<b>OFFICE &amp; ADMINISTRATION</b>								
32.	Computer Failure	<ul style="list-style-type: none"> <li>Regular backups taken and kept off site</li> <li>Virus protection updated regularly</li> </ul>	1	C	M	<ul style="list-style-type: none"> <li>Consider cyber insurance cover.</li> </ul>	FHR	April 2020