PEMBURY PARISH COUNCIL

Working for Pembury People

Council Risk Assessment

Approved 05/02/2024

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1.0	03/07/2017	31/05/2018
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7.0	05/02/2023	31/03/2024

1. Introduction

1.1. Risks

This is a high-level risk assessment for the Council to highlight key areas 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 Councillors' 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

2. Risk Assessment

Item	Hazard	Consequences	Likelihood	Risk Score Before Controls H / M / L	Existing Internal Controls	Further mitigation required	Consequences	Likelihood	Risk Score after controls H / M / L	Action By Whom	Action by When
					PHYSICAL ASSETS						
1.	Fire – injury to staff, councillors and members of the public and damage to property	1	B	H	• Fire alarm installed at the Parish Office • Fire risk assessment undertaken for all sites • Annual Maintenance contract in place	•	1	C	M		
2.	Damage to buildings and property	1	B	H	• Insurance cover in place • Inventory and asset register reviewed and up to date. • Individual annual risk assessments undertaken for each site. • CCTV installed at office • Height of security fence increased around office	•	1	C	M		
3.	Loss, damage or theft – office building contents	2	B	M	• Insurance cover in place • Security shutters installed on doors and windows • Inventory and asset register reviewed and up to date. • CCTV installed at office	•	2	C	L		

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					• Height of security fence increased around office						
4.	Loss, damage or theft – depot contents	2	A	H	• Insurance cover in place • Groundsmen equipment locked in depot building. • Security measures improved. • Security fencing installed January 2019. • Inventory and asset register reviewed and up to date.		2	B	M		
5.	Loss, damage or theft – play / gym equipment	2	A	H	• Insurance cover in place • Regular inspections to check for damage. • Repairs/replacements undertaken following reports of damage. • Annual RoSPA inspections undertaken. Recommended actions undertaken. • Inventory and asset register reviewed and up to date. • Risk assessments undertaken for each site.		2	B	M		
6.	Loss, damage or theft – street furniture	1	B	H	• Insurance cover in place		2	B	M		

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				H	• Inventory and asset register reviewed and up to date. • Regular inspections of all street furniture in place				**M**		
7.	Maintenance of equipment	1	A	**H**	• Annual service undertaken for Grounds maintenance equipment		2	B	**M**		
	PUBLIC LIABILITY										
8.	Public safety in areas under the Parish Council's responsibility	1	B	**H**	• Regular inspections undertaken and reported		2	B	**M**		
9.	Street Column safety for hanging baskets and Christmas Lights	1	B	**H**	• Apply for permit annually • Load testing on all relevant street columns undertaken every 3 years		2	B	**M**		
10.	Christmas Lights & Displays	1	A	**H**	• Installed by professional contractor / electrician • Risk assessment undertaken for Christmas Tree Regular inspection of Christmas Tree		2	B	**M**		
11.	Events	2	A	**H**	• Individual risk assessments		2	B	**M**		

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					• undertaken for each event • Details of events submitted to TWBC for approval						
FINANCIAL											
12.	Misappropriation of funds – theft / fraud / errors	1	B	H	• Fidelity guarantee in place • Internal audit by independent auditor at least once a year • Internal controls and processes reviewed. • Accounts for payment approved at a council meeting. • Faster payments set up by an officer and approved by 2 signatories. • Invoices supplied as back up for all transactions		1	C	M		
13.	Investment loss	1	B	H	• New bank account with Nationwide opened to spread risk. • New bank account with Unity opened to spread the risk.	• Consider other providers to further spread risk and maximise yields	1	C	M	FHR	On-going
14.	Insufficient or excessive funds	1	B	H	• Comprehensive budget setting process in place		2	B	M		

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					• Monthly budget monitoring undertaken by the Clerk. • Quarterly budget monitoring at Finance & HR Committee meetings • Review of reserves undertaken regularly by the Finance & HR Committee with recommendations to Full Council at least annually						
15.	Inaccurate accounts	2	A	H	• Computerised accounting system used • Monthly accounts prepared	• Review the need for sales ledger on Rialtas Omega software	2	B	M	FHR	May 2024
16.	Banking arrangements	2	B	M	• Cheques and cash banked promptly • Monthly bank reconciliations undertaken • Chair of Finance & HR Committee reviews bank reconciliation quarterly. Other councillors to review in other months. • Finance & HR Committee clarify balances quarterly.	•	3	C	L		

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					• Faster payments set up by an officer and approved by 2 signatories. • Invoices checked by signatories before payments are set up • Changes to bank details for suppliers confirmed in writing.						
17.	Payroll	2	B	M	• Computerised payroll system used • Entries made by Deputy Clerk and checked by the Clerk before it is audited by a member of the FHR Committee. • Payroll information sent by secure restricted link to documents on SharePoint. • Monthly review of payroll records by a member of the Finance & HR Committee undertaken • Payments now made by Faster Payments through Unity. 2 councillor signatories to approve payments after		3	C	L		

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					review of payroll records. • Payments set up by the Clerk on Unity.						
18.	Debit & Fuel Cards	2	B	M	• Debit and Fuel Card policy introduced. • Invoices provided to evidence the spending and reported to Full Council		3	C	L		
19.	Petty Cash	2	B	M	• Float is responsibility of one member of staff • Receipts required for all expenditure • Review undertaken. • 2 signatures required for all spending. • Monthly analysis of spending and reconciliation to accounts. • Quarterly check made by Chair of Finance & HR Committee to reconcile cash and records.		3	C	L		
20.	Bad debts	2	B	M	• Write off bad debts approved by Full Council. •		3	C	L		

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					REGULATORY / STATUTORY / CONTRACTUAL						
21.	Breach of Health and Safety Responsibilities	1	A	H	• Public and Employers Liability insurance in place • Health and Safety Policy in place and regularly reviewed • Review of system, policies and processes undertaken		1	B	M		
22.	Breach of employment legislation	2	A	H	• Review of policies and procedures undertaken • Benchmarking and review of pay and benefits undertaken • Policies updated regularly as required		2	B	M		
23.	Breach of contractual obligations	1	A	H	• Contracts prepared in conjunction with legal advisors. • All staff have signed employment contracts.		1	C	M		
24.	Breach of regulations governing Local Councils	2	A	H	• Qualified Clerk in post • KALC membership for advice and training • SLCC membership for advice and training • Declarations of interest documented • Achieved Quality Council status		2	B	M		

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25.	Adoption and adherence to the Code of Conduct	2	B	M	• Each Councillor provided with a copy of the Code of Conduct • Training offered to all Councillors • Disclosable Pecuniary Interest published on Council website. • Standard item on all Council & Committee agendas for Councillors to declare their interests • Review of all DPI forms being undertaken	•	2	C	L		
SERVICES											
26.	Burial Grounds – breach of regulations and contractual rights	1	B	H	• Records maintained and kept up to date • Cemetery regulations reviewed. • Continuing staff training undertaken • Transfer of Exclusive Right of Burial introduced. • Thorough review of records being undertaken		2	B	M		
27.	Burial Grounds – Disputes and complaints	1	B	H	• Records maintained and kept up to date		2	B	M		

Item	Hazard	Consequences	Likelihood	Risk Score Before Controls H / M / L	Existing Internal Controls	Further mitigation required	Consequences	Likelihood	Risk Score after controls H / M / L	Action By Whom	Action by When
					• Historical records reviewed and corrected when necessary • Annual review of fees undertaken • Sensitive handling of bereaved members of the public • Individual risk assessments undertaken for each site						
28.	Memorials – injury to members of the public	2	B	M	• Regular memorial safety testing now in place • Recommendation to undertake remedial works for high priority memorials • Computerised software being used, and information being input into the system • Budget allocated for memorial repairs when owners cannot be contacted	• Memorial policy to be introduced • Dangerous memorials to be stake and banded to make safe until remedial work undertaken	2	C	L		
29.	Allotments – breach of regulations and contractual rights	2	A	H	• Regular site inspections undertaken • Vacant plots maintained and kept tidy. • Individual risk assessments undertaken for the site	•	2	B	M		

Item	Hazard	Consequences	Likelihood	Risk Score Before Controls H / M / L	Existing Internal Controls	Further mitigation required	Consequences	Likelihood	Risk Score after controls H / M / L	Action By Whom	Action by When
					• Staff training undertaken						
30.	Trees	1	A	H	• Tree management policy in place • Annual Visual Tree Assessments undertaken by qualified contractor and recommendations actioned • Regular inspections introduced including those following extreme weather conditions.		2	B	M		
31.	Coronavirus	2	A	H	• Restrictions followed and facilities closed if appropriate • Office staff to work from home if they have Covid (if they are well enough to undertake work) • Grounds staff to work outdoors only if they have Covid (if they are well enough to undertake work)	•	2	B	M		
	OFFICE & ADMINISTRATION										
32.	Computer Failure	1	B	H	• IT contract in place • Cloud storage of documents implemented		1	C	M		

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					• Virus protection updated regularly • Cyber insurance cover in place.						
33.	Cyber Attacks	1	B	H	• Firewall in place on PPC IT equipment • Cyber insurance in place • Advice from IT Contractor received.	• Creation of BYOD policy • Ensure cllrs comply with BYOD policy • Consider upgrade of officer Microsoft account with additional security features. • Share information on password security with cllrs.	2	B	M		