



### FOUR MARKS PARISH COUNCIL RISK ASSESSMENT

HAZARD	RISK	Current Risk	FMPC CONTROL	INTERNAL AUDIT CONTROL	Residual Risk
<b>1.0 FINANCIAL CONTROLS AND GOVERNANCE</b>					
Loss or theft of Council funds.	Planned projects / routine work cannot be completed. Supplier invoices not paid. Loss of public confidence in the Parish Council.	M	Financial Standing Orders in place. Invoices presented with bank payment schedule or cheque book for signature, for scrutiny. Two signatories required for authorisation on all bank payments and cheques together with the Clerk's authorisation/signature. All income and expenditure presented to Council. Bank reconciliation presented to Council. All expenditure monitored against budget through Council. Nominated Councillor checks bank statements and reconciliations at regular intervals. Ensure that funds held in any one bank do not exceed the guaranteed amount (currently £85,000) by having accounts at different banks and ensure the best interest rate available.	Reviewed bi-annually by internal auditor.	L
Budget and precept calculation.	Budget not prepared in accordance with	L	Budget and precept process commenced by F&GP in October and presented to Council in November for approval.	Reviewed annually by internal auditor.	-

HAZARD	RISK	Current Risk	FMPC CONTROL	INTERNAL AUDIT CONTROL	Residual Risk
	financial regulations. Precept calculation not prepared by deadline.				
VAT	Funds are not reclaimed incurring additional cost to the Council.	L	Copy of the returns available. VAT reclaim calculated quarterly as of 1 <sup>st</sup> April 2017	Reviewed annually by internal auditor.	-
Insurance	Not adequately insured	M	Annual review of policy Ensure all property and equipment insured adequately	Reviewed annually by internal auditor.	L
Contracts and Tenders	Contractor does not complete or carry out tasks. Administration procedure not clearly identified	M	Review all contracts with contractors annually.  Follow due process for the tender procedure as detailed in the financial regulations	Reviewed annually by internal auditor	L
HMRC payments not made on time.	Risk of fine. Manual process, potential oversight	M	Monthly payments shown in all payments presented to Council. Copy of the returns available. Reviewed Quarterly by Finance & General Purposes Committee	Reviewed annually by internal auditor	L
Bank charges incurred.	Cost to the Council.	M	Monthly bank reconciliations presented to Full Council. Clerk actively manages accounts to avoid any additional charges	Reviewed annually by internal auditor.	L

HAZARD	RISK	Current Risk	FMPC CONTROL	INTERNAL AUDIT CONTROL	Residual Risk
Expenditure incurred outside Council powers if Council does not have General Power of Competence	Legal Challenge. Council reputation. Not meet criteria of General Power of Competence	L	Grants and S137 (if the Council does not have General Power of Competence) Minuted in accordance Statutory Financial Regulations, Standing Orders, & Terms of Reference. Reported to Chairman, then Full Council informed, and retrospectively considered. Reviewed quarterly by Finance & General Purposes Committee	Reviewed annually by internal auditor.	-
Third party claims for losses or compensation as a result of negligence.	Council reputation. Risk of fine.	M	Adequate public and employer liability insurance provided. Regular maintenance programme. Policy reviewed annually through Finance & General Purposes Committee	Reviewed annually by internal auditor and Finance	L
Disease and Disaster	Council unable to operate Risk to life	H	Ensure appropriate risk assessments and business continuity plan in place Office closes and staff work from home If legislation allows, meetings to take place remotely	Regular review of policies by Council	M
<b>2.0 COUNCIL RECORDS</b>					
All data / records stored at the Parish Office or attic at the Benians Pavilion	Total loss of data / records. Accidental damage. Inappropriate storage.	M	Historical deeds and burial records now stored within fire proof safe in Parish Office. Old documents now archived and logged. Important documents scanned and held electronically.	Financial records reviewed annually by the internal auditor.	L
Electronic data.	Permanent loss of data	H	<b>Files backed up daily. Back up drive to be removed from the office daily or kept separate from desktop.</b> Monthly Accounts and Payroll backed up monthly, printed and kept on file.	Financial records reviewed annually by the internal auditor.	L
Electronic virus	Anti-virus protection used.	L	Monitored regularly. Renewed annually.		-

HAZARD	RISK	Current Risk	FMPC CONTROL	INTERNAL AUDIT CONTROL	Residual Risk
Theft of Council Computer equipment	Loss of data / Council records / and or sensitive and confidential information compromised.	M	Files backed up daily to provide business continuity. Both desktop and laptop password protected.	Records reviewed annually by the internal auditor.	L
Paper records, including Cemetery records.	Damage /loss of records.	M	Cemetery maps and burial records have been scanned and/or copied. Files now kept in fireproof safe		L
Freedom of Interest requests	Multiple requests taking up a disproportionate amount of Clerk/Councillors time. Reputation.	M	Publication Scheme adopted and regularly reviewed. The Chairman of Council is notified of all FOI requests. All FOI requests discussed at Full Council.		L
<b>3.0 EMPLOYEES</b>					
Lone working	Personal attack Injury or sudden illness	M	Lone working policy in place and adhered to by staff. A second person should be in attendance on site meetings with unknown persons/contractors. Staff to carry mobile phone at all times when out of the office		L
Long term absence of Clerk from work due to illness or death	All functions of the Council are not carried out. Data cannot be accessed	L	Assistant to Clerk employed. If assistant is not available contact HALC or SLCC Council business continuity plan in place (General Information and Procedures document in Governance documents folder – yellow ring binder) Sealed envelope in office and held by Chairman containing passwords in the event of the death of the clerk.		L

HAZARD	RISK	Current Risk	FMPC CONTROL	INTERNAL AUDIT CONTROL	Residual Risk
Clerk resignation / dismissal	Inadequate time for an effective handover with new or locum Clerk.	L	Finance & General Purposes Committee to plan a recruitment of replacement Clerk. HALC/SLCC can provide assistance with recruitment and/or finding a temporary locum Clerk. Council's disciplinary procedures to be followed.		L
Conflict Situations	Verbal abuse Physical abuse	L	Lone worker policy adopted, includes violence at work section. If in immediate danger leave the area. Call 999.		L
<b>4.0 COUNCIL LAND</b>					
Falling Trees/ Branches / overhanging branches	Damage to persons and property Blocking Highway / water courses	M	Regular checks by Clerk of all open space owned by Parish Council. Full Tree inspection every three years and condition inspection undertaken at regular intervals.		L
Village Pond	Deep water causing harm to persons and/or property.	L	Adequate signage and fencing erected where appropriate warning of dangers. Maintenance monitored by the Council's Open Space Committee, and regular checks by Clerk		L
Four Marks Cemetery	Falling / broken memorials / sunken graves.	L	Cemetery checks carried out regularly, specifically before and after burials. Three yearly memorial stability checks by Clerk & assistant, yearly interim checks on, or upon reports of concern.		-
Illegal encampment on Council land	Legal costs. Council reputation.	H	Clerk/Chairman to liaise with East Hants District Council and police for guidance and assistance to commence eviction proceedings. Assess additional measures to prevent unauthorised encampments. Policy in place		H
<b>Street Furniture</b>	Structural Failure.	M	Regular inspections by Clerk.		L

HAZARD	RISK	Current Risk	FMPC CONTROL	INTERNAL AUDIT CONTROL	Residual Risk
Examples include Goal posts, Kissing Gates, Fencing, Bus shelters Seats / picnic benches, Notice boards, Council signs, Planters and bins	Item falls and obstructs highways and/or footpath. Personal injury. Criminal damage		Acting swiftly to reports of from public and/or Councillors. Adequate insurance cover. Regular dialogue with local constabulary and Streetwatch.		
<b>5.0 COUNCIL BUILDINGS (THE BENIAN'S PAVILION)</b>					
Fire / Water damage	Total loss of building.	M	Adequate insurance cover. Reinstatement Valuation every 5 years.	Reviewed annually by internal auditor.	L
Criminal Damage	Cost of repair. Loss of revenue Total loss of building	M	Adequate insurance cover. Report incidents to the Police.		L
Electrocution	Significant harm to persons/or death.	M	Electrical wiring test to be conducted regularly. Regular PAT Testing to be carried out.		L
Slips, trip and falls caused by slippery surfaces, steps, paths, paved areas.	Personal injury. Third party claim against the Council	M	Visual checks carried out regularly by all members of the Benians Committee, Councillors and Clerk. Adequate insurance cover. Emergency contact number available for reporting incidents to the Clerk.		L
<b>6.0 PLAY EQUIPMENT IN RECREATION PARK</b>					
Injury to persons	Third party claim against the Council.	M	Weekly, in the Summer reduced to monthly during Winter months, visual checks by nominated and trained Councillors Annual Safety Inspection by third party. Play inspection records maintained.		L
Damage to equipment	Harm caused to persons.	M	Monthly visual checks.		L

HAZARD	RISK	Current Risk	FMPC CONTROL	INTERNAL AUDIT CONTROL	Residual Risk
	Third party claim against the Council.		Adequate signage to enable users to report damage to the Council. Adequate insurance cover. Emergency maintenance cover in place.		
<b>7.0 PARISH COUNCIL MEETINGS IN COMMUNITY BUILDINGS</b>					
Conflict Situations	Verbal abuse Physical abuse	L	Conflict management techniques. Leave the area. Call 999.		-
Emergency Situations	Evacuation	M	Ensure exits and fire drill information is provided prior to start of meetings		L
Personal Injury	Harm caused to persons. Third party claim against the Council.	M	Using appropriate procedures and techniques Ensure premises insurances are in place and risk assessments have been undertaken		L