

FOUR MARKS PARISH COUNCIL RISK ASSESSMENT

HAZARD	RISK	Current Risk	FMPC CONTROL	INTERNAL AUDIT CONTROL	Residual Risk
1.0 FINANCIAL CONTROLS AND GOVERNANCE					
Loss or theft of Council funds.	Planned projects / routine work cannot be completed. Loss of public confidence in the Parish Council.	M	Financial Standing Orders in place. Invoices presented with cheque book for signature, for scrutiny. Two signatories required on all cheques together with the Clerk's signature. All income and expenditure presented to Council. Bank reconciliation presented to Council. All expenditure monitored against budget through Council. Ensure that funds held in any one bank do not exceed the guaranteed amount (currently £75,000) 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 financial regulations. Precept calculation not prepared by deadline.	L	Budget and precept process commenced by F&GP in October and presented to Council in November for approval.	Reviewed annually by internal auditor.	-
VAT.	Funds are not reclaimed incurring additional cost to the Council.	L	Copy of the returns available. VAT reclaim calculated quarterly as of 1 st April 2017	Reviewed annually by internal auditor.	-

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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	Reviewed annually by internal auditor.	L
Expenditure incurred outside Council powers.	Legal Challenge. Council reputation.	L	Grants and S137 minuted in accordance Statutory Financial Regulations, Standing Orders, & Terms of Reference. Reported to Chairman, then Full Council informed, and retrospectively considered Reviewed bi-monthly 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

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2.0 COUNCIL RECORDS					
All data / records stored at the Parish Office or attic at the Benians Pavilion	Total loss of data / records. Accidental damage. Inappropriate storage.	H	Storage provided by Council for paper documents. Documents to be archived and stored at a separate location (See Note 1)	Financial records reviewed annually by the internal auditor.	M
Electronic data.	Permanent loss of data	H	Files backed up daily. Back up drive to be removed from the office daily. 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.		-
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. USB held at separate location containing documents only.	Records reviewed annually by the internal auditor.	L
Paper records, including Cemetery records.	Damage /loss of records.	M	Cemetery maps and burial records to be scanned and/or copied. Archiving of documents and storage at a separate location * Note 1		L
Freedom of Interest requests	Multiple requests taking up a disproportionate amount of Clerk/Councillors time. Reputation.	M	Publication Scheme adopted. The Chairman of Council is notified of all FOI requests. All FOI requests discussed at Full Council.		L

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3.0 EMPLOYEES					
Lone working	Personal attack	M	Clerk should invite a Cllr to attend site meetings with unknown persons/contractors. Clerk to carry mobile phone at all times and inform third person of visits. Panic alarm at office. Check monthly		L
Long term absence of Clerk from work due to illness	All functions of the Council are not carried out.	L	Contact HALC, or Medstead PC for locum cover Council business continuity plan in place (General Information and Procedures document in Governance documents folder – yellow ring binder)		-
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 can provide assistance with recruitment and/or finding a temporary locum Clerk. District Council's disciplinary procedures followed.		-
Conflict Situations	Verbal abuse Physical abuse	L	Conflict management techniques. Leave the area. Activate office panic alarm. Call 999.		-
4.0 COUNCIL LAND					
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. Annual tree inspection and condition inspection undertaken.		L
Village Ponds	Deep water causing harm to persons and/or property.	M	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

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Four Marks Cemetery	Falling / broken memorials / sunken graves.	L	Cemetery development plan prepared by the Council's Open Space Committee. Annual formal checks by Clerk, 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.		H
Street Furniture Examples include Goal posts, Kissing Gates, Fencing, Bus shelters Seats / picnic benches, Notice boards, Council signs, Planters and bins	Structural Failure. Item falls and obstructs highways and/or footpath. Personal injury. Criminal damage	M	Regular inspections by Clerk. Acting swiftly to reports of from public and/or Councillors. Adequate insurance cover. Regular dialogue with local constabulary and Streetwatch.		L
5.0 COUNCIL BUILDINGS (THE BENIAN'S PAVILION)					
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 Benian's Committee, Councillors and Clerk. Adequate insurance cover.		L

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			Emergency contact number available for reporting incidents to the Clerk.		
6.0 PLAY EQUIPMENT IN RECREATION PARK					
Injury to persons	Third party claim against the Council.	M	Monthly visual checks by Clerk or nominated party. Annual Safety Inspection by third party. Play inspection records maintained.		L
Damage to equipment	Harm caused to persons. Third party claim against the Council.	M	Monthly visual checks. Adequate signage to enable users to report damage to the Council. Adequate insurance cover. Emergency maintenance cover in place.		L
7.0 PARISH COUNCIL MEETINGS					
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 Insure premises insurances are in place and risk assessments have been undertaken		L

ACTION POINTS:

1. [HCC RECOMMEND ARCHIVING ALL DOCUMENTS, CLERK TASKED TO UNDERTAKE SCANNING AND ARCHIVING OF ALL BURIAL RECORDS](#)