

Kemble Ewen Parish Council
Risk Assessment

Activity	Potential Hazard	Existing Control Measures	Degree of Risk			Additional Action Required/Comment	Degree of Risk		
			Existing Control Measures				Add Control Measures		
			L'lihood	Severity	Total		L'lihood	Severity	Total
Petty Cash	Loss / theft / control	No Petty Cash, all payments by invoice and cheque	1	5	5				
Banking	Direct loss / lack of access / timeliness	Use a reputable bank.	2	5	10	Annual Review of banking arrangements			
Bank Account Access	Improper use of funds / control	All payments made via cheque approved by full council meeting, all cheques to have 2 signatures	1	5	5				
Accounts	Maintain accountability	Use NALC guidelines & Financial Regulations. The council operates its own cash flow control. There are internal and external audits. Maintain separate accounts within PC accounts for Youth Club funds. Restrict number of cheque signatories. Monthly Bank Reconciliation at full council meeting, quarterly cross check to bank statments as per internal control procedures.	3	5	15				
Investment Income	Low interest from poor investment	Periodic review at full council meeting. Professional advice can be used to help the Council make an informed decision.	2	3	6	Annual Review of investments			
Income	Lack control	All income reported at each full council meeting on Bank Reconciliation & published in minutes	1	3	3				
Debtors	Lack control	Periodic review at full council meeting. At least annually.	2	2	4				
Financial Checks	Lack control	Choice of staff / training / Internal & External checking	2	3	6				
Reserves	Inadequate to cover	Reviewed annually in budget setting. Monitored quarterly in budget reviewed at full council meeting	2	3	6				
Assets	Loss or damager	Annual visual inspections, (see separate Play Equipment section). Review insurance annually	2	4	8				
Access to Long Term Assets	Lack control	Application form required for withdraws. Requires 2 signatures the same as other accounts. Losses resulting from theft of passbook are covered by Insurance	1	5	5				

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Employee Performance of Duties	Inappropriate actions resulting in damage to council image or financial loss	* Staff selection, references, training, instruction & monitoring * Employer liability insurnace (reviewed annually) *Qualified CILCA Clerk * DBS clearance of staff in sensitive positions * Clear Policies and Procedures reviewed regularly	2	5	10				
Safeguarding	Lone Working - Employees/Councillors	* Policies and procedures in place including Grievance policy, Dignity at Work Policy (reviewed annual/bi-annually) * Dedicated 'work' email addresses * Where possible Councillors/Clerk meet visitors/contracts in pairs	2	4	8				
Sub-Contractors	Performance control	* Use reputable contractors with references and if possible accreditation to appropriate governing body * Contractors referred to Health & Safety policy * Regular review of work carried out * Require they have adequate insurance a copy of which is to be provided on tender.	3	3	9				
Chemical Sprays (no use by Council itself but possibly by sub-contracts as part of ground use or building maintenance	Protection of public and workers	* Sub-contractor to operate within not just the appropriate legal framework but also within Best Practice for the product concerned. * Sub-contractor to undertake COSHH analysis	4	5	20	Obtain copies of relevant COSHH analysis	3	5	15
Council Performance	Lack of communication leading to incorrect perception	* Adhere to policies and procedures. * Timely publication of minutes, annual review and other communications via website. * Work towards LACS Gold standard. * Annual review of business plan tp ensure it reflections the needs of villagers. * Transparent decision making via agenda/meeting conduct/minutes	2	3	6				
Resident Representation During Controversial Proposals	Ensure balanced view obtained - a difficult no win situation with potential costs both financial and regarding image of Council.	* Use all appropriate avenues of communication to establish opinion. E.g. public meetings, neighbour consultation, questionnaires, drop in surgeries. This needs to be flexible in delivery and time allocated according to need.	3	5	15				
Project Management	Lack of control at all levels	When the Council undertakes large projects, the financial risks need to be covered by careful budgets and penalty clauses in contracts, keeping within the financial regulations. Use separate accounts for these projects. Also considerable risk of public disappointment if things go wrong due to factors outside Council control. Use reputable contractors. Also Council needs to address public perception of the needs as well as the actual needs of the Village to ensure maximum satisfaction with the outcome.	3	5	15				

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Cyber Security	Loss of Data, disruption of service, damage to Council image	* All electronic documents stored in cloud. * Reputable website design/host company used * Annual Back up to external harddrive help in different physical location to laptop. * Ensure any confidential information is encrypted.	4	5	20				
Councillor Expenses	Poor Council Image	The Council does not currently pay expenses, as there is a general perception that Parish Council work is voluntary. However the ability to pay should not be a bar to holding office. If a payment regime is required an Expenses Policy will be introduced using NALC guidelines.	3	3	9				
Councillors Conduct	Poor Council Image	* register of interests lodged with CDC for all Councillors. Councillors reminded to update annual (if necessary) * Policies and Procedures in place - Code of conduct, standing orders and financial regulations to ensure that meetings are correctly structured and busines correctly conducted	3	5	15				
Governance	Poor Council Image	* Follow policies and procedures based on best practise. * Complete annual audit using Governance and Accountability for Local Councils, A Practitioners' Guide (England), 2021.	3	5	15				
GDPR	Compliance with the law, poor Council image	* Follow Data Retention Schedule & Privacy Policy * Only hold data where necessary and keep password protected. * Paper records held in locked filing cabinet.	2	4	8				

Activity	Frequency checks - to be noted in Minutes				
	weekly	monthly	quarterly	annual	5 years/as required
Employee Performance of Duties				x	
Safeguarding				x	
Sub-Contractors					x
Chemical Sprays (COSHH)					x
Council Performance		x		x	
Resident Representation During Controversial Proposals				x	
Project Management					x
Cyber Security				x	
Councillor Expenses					x
Councillors Conduct		x		x	
Governance			x	x	
GDPR				x	
Petty Cash					x
Banking		x		x	
Bank Account Access				x	
Accounts		x		x	
Investment Income				x	
Income		x		x	
Debtors		x		x	
Financial Checks		x		x	
Reserves				x	
Assets				x	
Access to Long Term Assets				x	
Cemetery				x	
Closed Churchyard				x	
Kemble Community Garden				x	
Play Equipment Windmill Road	x			x	
Other Public Spaces				x	
Fixed assets e.g. War memorial, bus shelter, phone box				x	
Custodian Trustee of Village Hall					x