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MARDEN PARISH COUNCIL **RISK REGISTER**

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable Marden Parish Council (MPC) to identify any and all potential risks inherent in the place or practices.

Based on a recorded assessment the employer should then take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible. Making sure that all employees are made aware of the results of the risk assessments.

This document has been produced to enable MPC to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

Risk is not restricted to potential threats but can be connected with opportunities. Risk can be classified into various types but it is important to recognise that the direct financial losses may have less impact than the indirect costs such as disruption of normal working for all the categories described. Examples include:

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Strategic Risk

Long term adverse impacts from poor decision-making or poor implementation. Risks damage to the reputation of MPC, including in the labour market, and loss of public confidence.

Compliance Risk

Failure to comply with legislation, laid down procedures or the lack of documentation to prove compliance. Risks exposed to prosecution, judicial review, employment tribunals and in the inability to enforce contracts.

Financial Risk

Fraud and corruption, waste, excess demand for services, bad debts. Risk of additional audit investigation, objection to accounts, reduced service delivery, dramatically increased Precept levels/impact on Council reserves.

Operating Risk

Failure to deliver services effectively, malfunctioning equipment, hazards to service users, the general public or staff, damage to property. Risk of insurance claims, higher insurance premiums, lengthy recovery processes. Risks to the relationship of mutual trust and confidence between MPC and its staff.

Identifying Risks

In order to manage risk, MPC needs to know what risks it faces. Identifying risks is therefore the first step in the risk management process. MPC has identified the following key risks to achieving successfully its priorities and service objectives:

- Assets
- Finance
- Liability
- Employer Liability
- Legal Liability
- Councillors Propriety
- Volunteers and Members of the Public Liability

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Assessing Risks

The key risks identified above have been assessed for the potential consequences of a risk occurring (impact) and consider how likely this is (likelihood). The assessment of potential impact and likelihood are then used to arrive at a risk assessment for each risk of high, medium or low. The risk assessment enables MPC to decide which risks it should pay most attention to when considering what measures to take to manage them.

LIKELIHOOD	IMPACT		
	Negligible	Moderate	Severe
Highly Likely	Medium (M)	High (H)	High (H)
Possible	Low (L)	Medium (M)	High (H)
Unlikely	Low (L)	Low (L)	Medium (M)

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FINANCE AND MANAGEMENT				
Subject	Risk(s) Identified	Management/Control of Risk	H/M/L	Review/Assess/Revise
Business continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	All files and recent records and on a cloud system (operated by Cloudy IT) and can be accessed remotely by the three members of office staff. Historical documents, no longer on the desktop, have been backed-up onto a hard drive which is kept in the fire safe. Passwords are held by the Clerk and Deputy Clerk and in a sealed envelope in the fire safe for the Chairman to access in an emergency. In the event of the Clerk being indisposed the Deputy Clerk would step up or the Chairman to contact Kent Association of Local Councils for advice (obtain details of locum clerks)	L	Existing procedures adequate. Review when necessary

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Precept	<p>Adequacy of precept</p> <p>Requirements not submitted to Maidstone Borough Council (MBC)</p> <p>Amount not received from MBC</p>	<p>The Clerk to review the Precept requirement through draft budget and make recommendations to Finance Committee at the October/November Finance meeting. The Finance Committee reviews the presented draft budget including actual position and to year end together with the estimated figures for the next financial year. This information submitted to Full Council for January meeting. The total resolved for the Precept amount to be submitted by the Clerk to MBC at the end of January.</p> <p>The Clerk informs MPC when the monies are received (2nd week of April).</p>	<p>L</p> <p>L</p> <p>L</p>	Existing procedures adequate.
Financial Records	Inadequate records	MPC has Financial Regulations which set out the requirements	L	Existing procedures adequate.

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	Financial irregularities	for reporting financial information to the council. This includes procedures that are designed to prevent fraud and irregularities.	L	
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FINANCE AND MANAGEMENT				
Subject	Risk(s) Identified	Management/Control of Risk	H/M/L	Review/Assess/Revise
Bank and Banking	Inadequate checks	MPC has Financial Regulations that sets out the requirements for banking and reconciliation of accounts	L	Existing procedures adequate. Review the Financial Regulations when necessary and bank signatory list following Cllr changes. Monitor the bank statements monthly.
	Bank Mistakes	The Clerk reconciles the bank accounts once a month when the statements. The Clerk reviews MPC's banking arrangements regularly.	L	
	Loss		L	

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	Charges		L	
Cash	Loss through theft or dishonesty	MPC has Financial Regulations that sets out the requirements for the handling of cash. MPC's insurance policy has a Fidelity Guarantee. No petty cash float is held.	L	Existing procedures adequate. Review Financial Regulations when necessary Ensure Fidelity Insurance is adequate at each renewal date.
Reporting and auditing	Information communication	A budget monitoring statement is produced quarterly and reported for approval the Finance Committee.	M	Existing procedures adequate.
	Compliance	A full list of payments and receipts along with any cheques to be signed is provided at each meeting. Internal audit is undertaken twice a year by internal auditor	M	

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Subject	Risk(s) Identified	Management/Control of Risk	H/M/L	Review/Assess/Revise
Direct costs / Debts / Overhead expenses	Goods not supplied but billed	MPC has Financial Regulations that sets out the requirements.	L	Existing procedures adequate. Review the Financial Regulations when necessary.
	Incorrect invoicing	The Clerk checks invoices against information held	L	
	Cheque/Invoice details incorrect	The Clerk checks details on invoice. At each meeting the list of invoices awaiting approval is distributed to Councillors and those Councillors authorising payments will initial each invoice. MPC approve the list of invoices/payments at each meeting	M	
	Loss of stock	MPC carries minimal stocks which are checked and monitored regularly by the Clerk.	L	

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FINANCE AND MANAGEMENT				
Subject	Risk(s) Identified	Management/Control of Risk	H/M/L	Review/Assess/Revise
Grants and support – payable	Power to pay	The Council has General Power of Competence (GPC).	L	Existing procedures adequate. MPC to review compliance with the criteria of GPC at its Annual Meeting.
	Authorisation of Council to pay	All such expenditure goes through the requires process of approval, minuted and listed accordingly.	L	
Grants – received	Receipt of grants	MPC receives grants from MBC (Parish Services Scheme – paid in two instalments (April/October). Receipt is reported to the Finance Committee at the meeting following payment. Any one off grants awarded would come with terms and conditions to be satisfied by	L	Existing procedures adequate.

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		MPC before receipt of monies.		
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FINANCE AND MANAGEMENT				
Subject	Risk(s) Identified	Management/Control of Risk	H/M/L	Review/Assess/Revise
Best value Accountability	Work awarded incorrectly	MPC has Financial Regulations that sets out the requirements of acquiring quotes/tenders etc.	L	Existing procedures adequate. Review the Financial Regulations when necessary.
	Overspend on services	If a problem occurred with a contract the Clerk would investigate the situation, check the quotation/tender and report to Council.	M	Monitor work against quote/tender
Salaries and associated costs	Salary paid incorrectly	Salary is paid by BACS each month using SAGE to calculate correct payments for monthly salary	L	Existing salary procedure is adequate.
	Wrong hours paid	Timesheets are provided by staff members to the Clerk on a monthly basis.	L	

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Subject	Risk(s) Identified	Management/Control of Risk	H/M/L	Review/Assess/Revise
	Wrong rate paid	Salary rates are assessed annually by the HR Sub-Committee and referred to the Finance Committee for approval and applied from 1 st April each year. MPC authorises the appointment of all employees at council meetings. Undertaken using SAGE for HMRC calculations Undertaken using SAGE for HMRC calculations Undertaken using SAGE for NEST calculations	L	
	False employee		L	
	Wrong deductions of Tax		L	
	Unpaid contributions to HMRC		L	
	Unpaid contributions to NEST (Pensions)		L	

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FINANCE AND MANAGEMENT				
Subject	Risk(s) Identified	Management/Control of Risk	H/M/L	Review/Assess/Revise
Clerk/Other Workers (voluntary/casual)	Loss of Clerk	Training budget to include additional training for new Clerk in the event of the Clerk resigning. Clerk succession plan document held within the office for working procedures and guidelines.	L	To be reviewed annually with budget preparation. The review succession plan regularly. Existing procedures adequate. Member of the SLCC
	Fraud	The requirements of the Fidelity Guarantee insurance to be adhered to with regards to Fraud.	L	
	Actions undertaken	The Clerk (and Deputy Clerk) to be provided with relevant training,	L	Purchase reference books etc when necessary

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reference books,
access to assistance
and legal advice
required to undertake
the role.



FINANCE AND MANAGEMENT				
Subject	Risk(s) Identified	Management/Control of Risk	H/M/L	Review/Assess/Revise
	Health and Safety	Annual appraisals are carried out.	L	Monitor working conditions, safety requirements and insurance regularly.
Councillor expenses	Councillors overpaid	Any out of pocket / travel expenses are claimed by presenting the relevant receipt and form to the Council for approval. No allowances are allocated to Cllrs.	L	Existing procedures adequate.
Election Costs	Risk of election costs	Normal election year costs are met by MBC.	L	N/A
VAT	Reclaiming/charging	The Council has Financial Regulations	L	Existing procedures adequate.

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		that sets out the requirements. MPC is not VAT registered		
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FINANCE AND MANAGEMENT				
Subject	Risk(s) Identified	Management/Control of Risk	H/M/L	Review/Assess/Revise
Annual Return	Submit within time limits	Employer's PAYE/NIC Annual Return is completed and submitted to HMRC within the time frame by the Clerk. Financial Annual Return (AGAR) is submitted to the Internal Auditor for completion and signing; put before Council for agreement and signing before submitting to External	L	Existing procedures adequate.

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		Auditor within the time limit.		
Legal powers	Illegal activity or payments	All activity and payments within the powers of MPC to be resolved and Minuted at Council meetings. MPC has General Power of Competence (GPC).	L	Existing procedures adequate. MPC to review compliance with the criteria of GPC at its Annual Meeting.
FINANCE AND MANAGEMENT				
Subject	Risk(s) Identified	Management/Control of Risk	H/M/L	Review/Assess/Revise
Council records: Paper	Loss through: Theft	Minute books, cemetery records and personal staff files are held in the locked fire safe Older, historical, records are held at Kent County Council archives.	L	Existing procedures adequate.
	Fire		M	
	Damage		L	

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FINANCE AND MANAGEMENT				
Subject	Risk(s) Identified	Management/Control of Risk	H/M/L	Review/Assess/Revise
Council papers: electronic	Loss through: Theft, Fire, Damage	All files and recent records and on a cloud system (operated by Cloudy IT) and can be accessed remotely by the three members of office staff. Access can also be made via other laptops/computers with individual passwords. Historical documents, no longer on the desktop, have been backed-up onto a hard drive which is kept in the fire safe.	L	Existing procedures adequate.
	Corruption of computer		L	

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Subject	Risk(s) Identified	Management/Control of Risk	H/M/L	Review/Assess/Revise
Insurance	Adequacy	An annual review is undertaken before the renewal date of all insurance arrangements and checked against parish asset register.	L	Existing procedures adequate. Review insurance provision annually and if new items are purchased.
	Cost	Employers and Employees liability insurance are a necessity and must be paid for.	L	Review of compliance.
	Compliance	Ensure compliance measures are in place.	L	
	Fidelity Guarantee	Ensure Fidelity Guarantee checks are in place.	M	
Data protection	Policy	MPC is registered with the Information Commissioner's Office – annual renewal is set up by direct debit.	L	Annual renewal to ICO for registration.

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	Provision	Privacy Notice, Privacy Policy and Subject Access Request information for data breach and procedures have been adopted.	M	Compliance with General Data Protection Requirement.
FINANCE AND MANAGEMENT				
Subject	Risk(s) Identified	Management/Control of Risk	H/M/L	Review/Assess/Revise
Freedom of Information Act	Policy	MPC has a model publication scheme.	L	Monitor and report any impacts of requests made under the FOI Act.
	Provision	MPC is able to request a fee for any information requested to cover the cost of consumables and the clerk's time.	M	
Meeting locations	Adequacy	MPC meetings are held in the Parish Council meeting room, The Allens (Albion Road) or Marden Memorial Hall.	L	Existing locations adequate.
	Health and Safety	These premises and facilities are considered to be adequate	L	

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		for the Clerk, Cllrs and members of the public who attend.	
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ASSETS				
Subject	Risk(s) Identified	Management/Control of Risk	H/M/L	Review/Assess/Revise
Land assets Other assets	Loss or damage	An asset register is kept up to date and insurance is held at the approval levels for all items.	L	Existing procedures adequate. Review insurance requirements annually.
	Risk/damage to third party(ies)/property		L	
Notice boards	Risk/damage/injury to third party(ies)/property	MPC has 5 notice boards in the parish and shares 1 at Campion Way. Any repairs/maintenance requirements brought to the attention of the Parish Office are undertaken by caretaker/contractor. Keys held in the Parish Office. All locations have been approved by relevant parties.	L	Existing procedures adequate.
	Roadside safety		L	

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ASSETS				
Subject	Risk(s) Identified	Management/Control of Risk	H/M/L	Review/Assess/Revise
Speed Indicator Sign (SID)	Risk/damage/injury to third party(ies)/property	Mobile SID moved around 3 places within the parish. Keys held by Parish Office and caretaker.	L	Existing procedures adequate.
	Roadside safety	All locations have been approved by relevant parties.	M	Ensure working in pairs Notify parish office when undertaking work.
Play Equipment and Outdoor Gym Equipment	Risk/damage/injury to third party(ies)	Equipment inspected regularly and maintained as per manufacturer's specifications. Any injuries to be reported to the Clerk.	L	Existing procedures adequate.

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ASSETS				
Subject	Risk(s) Identified	Management/Control of Risk	H/M/L	Review/Assess/Revise
Maintenance	Poor performance of assets or amenities	All assets owned by MPC are regularly reviewed and maintained. All repairs and relevant expenditure for these repairs are actioned/authorised in accordance with the procedures agreed by the Council. Where necessary annual maintenance plans are put in place (ie CCTV equipment).	L	Existing procedures adequate.
	Loss of income or performance	All assets are insured and reviewed annually.	L	
	Risk to third party(ies)	All public amenity land is inspected regularly by parish employees. Tree audit undertaken 3-yearly / monthly inspections by caretakers	L	Ensure timely inspections are carried out.

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LIABILITY				
Subject	Risk(s) Identified	Management/Control of Risk	H/M/L	Review/Assess/Revise
Legal powers	Illegal activity or payments	All activity and payments within the powers of MPC to be resolved and Minuted at Council meetings. MPC has General Power of Competence (GPC).	L	Existing procedures adequate.
	Committees/Sub-Committees/Working groups taking decisions	Ensure established Committees/Working Groups have clear terms of reference.	L	
Minutes/Agendas/Notices/Statutory documents	Accuracy and legality	Minutes and agendas are produced in the prescribed method by the Clerk (Deputy Clerk) and adhered to the legal requirements. Minutes are approved and signed at the next meeting.	L	Existing procedures adequate. Computer records are updated regularly via cloud provision.

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	Business conduct	Minutes and agendas (and meeting papers) are published according to the legal requirements. Deeds/leases are stored in the fire safe. Access to CCTV images is password protected. Business conducted at Council meetings should be managed by the Chairman.	L	Members to adhere to Code of Conduct Guidance/training for Chairman should be given (if required)
Public Liability	Risk to third party, property or individuals	Insurance is in place. Risk assessments carried out to comply with requirements.	M	Existing procedures adequate. Ensure risk assessments are carried out.

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LIABILITY				
Subject	Risk(s) Identified	Management/Control of Risk	H/M/L	Review/Assess/Revise
Employer Liability	Non-compliance with employment law	Undertake adequate training and seek advice from Kent Association of Local Councils or Peninsula (MPC HR Consultants)	L	Existing procedures adequate.
Legal Liability	Legality of activities	Clerk to clarify legal position on proposals and to seek advice if necessary.	M	Existing procedures adequate
	Proper and timely reporting via Minutes	MPC always receives and approves Minutes at meetings.	L	
	Proper document control	Retention of document policy in place.	L	

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COUNCILLORS' PROPRIETY				
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Councillors' interests	Conflict of interest	Councillors have a duty to declare any interests at the start of the meeting.	L	Existing procedures adequate.
	Declaration of Councillors' Pecuniary Interests	Declaration of Pecuniary Interest forms to be reviewed regularly by Councillors, published on the website and submitted to MBC.	M	Councillors to take responsibility to update their Register.

Adopted: August 2024

Reviewed/Amended: 14th January 2025

Review date: March 2026

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