

ALBURY PARISH COUNCIL - RISK ASSESSMENTS
FINANCIAL RISK

Category	Risk	Likelihood	Security Measures	Actions needed
Petty Cash	None kept	Low	n/a	No action eneded unless policy changes
Current Account	Misappropriation of funds	Medium	Dual signatories; regular audits	Implement monthly reconciliations and oversight
	Poor financial management	Medium	Budget monitoring; financial reporting	Provide training; regular finance reviews
	Overdraft situation	Low	Bank alerts; budget control	Monitor balances; set overdraft limit
Savings Account	Misappropriation of funds	Low	Restricted access; dual signatories	Periodic review of account activity
Assets	Inadequate asset register	Medium	Asset inventory system; annual review	Maintain and update asset register annually
	Failure to maintain assets	Medium	Maintenance schedules	Schedule regular inspections and servicing
	Assets sold under market value	Low	Valuation checks	Require independent valuations before sale
	Failure to adequately insure	Medium	Insurance policy review	Match insurance to asset register annually
Insurance	Inadequate insurance	Medium	Annual policy review	Conduct risk assessment to ensure coverage
	Failure to keep premium up to date	Low	Calendar reminders; direct debit	Automate payments; assign responsibility
	Failure to insure assets	Medium	Cross-check with asset register	Update policy with new assets promptly
	Failure to insure risks	Medium	Risk register review	Consult with insurance annually
Financial Regulations	Failure to update	Medium	Scheduled reviews	Review regulations annually and updates from NALC
	Failure to ensure adequacy	Medium	External audit or review	Benchmark against best practices
	Too much control for clerk/councillor	Medium	Separation of duties	Implement checks and balances
Contractors	Failure to review	Medium	Contract register	Review contracts annually
	Prices not competitive	Medium	Market comparison	Seek quotes every 2-3 years
	Failure to seek comparative quotes	Medium	Procurement policy	Enforce minimum quote requirements
	Failure to check contractors' insurance/public liability	High	Contractor checklist	Require proof before engagement
BUSINESS CONTINUITY				
Illness/death of Clerk	Files not accessible	High	Files stored locally or with single user access	Implement shared cloud storage with access for key personnel
	No administration for meetings	High	Clerk is sole administrator	Cross-train staff or councillors; document procedures
	Failure to follow up on current issues	High	Manual tracking by Clerk	Use shared task/project management tools
	No-one for public/councillors to contact	High	Clerk is sole administrator	Assign alternate contact
	No financial information	High	Financial data held by Clerk	Use shared accounting software with multiple users
Resignation of Clerk	Files not accessible	High	As above	Ensure handover procedures and shared access
	No administration for meetings	High	As above	Maintain continuity plan with interim support
	Failure to follow up on current issues	High	As above	Maintain shared issues log
	No-one for public/councillors to contact	High	As above	Keep contact info updated on website
	No financial information	High	As above	Ensure regular backups and shared oversight
File and information	Fire or flood	Medium	Paper-based or local storage	Digitise records; sotre backups offsite/in cloud
	Loss	Medium	No disaster recovery plan	Create and test a disaster recovery plan
	Inaccessibility	Medium	Files not centrally stored	Use centralised, secure digital storage
Office	Loss due to fire	Medium	Insurance	Use fireproof storage; digitise records
	Clerk has no adequate premises	High	Possibility to work from home	Ensure home working possible and review annually
	Memorial Library returned to Estate	Medium	Legal/ownership issue	Review lease terms; explore alternative premises
VILLAGE HALL				
Car Park	Pothole damage to vehicles	Medium	Regular inspections	Repair potholes promptly

	Lack of space for visitors	High	Parking management	Introduce parking management scheme
	Tree damage	Low	Tree maintenance	Regular trimming
	Traffic - high volume	Medium	Traffic control	Implement calming measures
	Pedestrians	Medium	Pedestrian pathways	Deisgnate walkways
Access	Icy/wet steps	High	Anti-slip treatments	Caretaker to apply salt
	Key code difficult to operate	Medium	User training	Instructions provided on hall door
	Door locked	Low	Access control	Ensure keyholders available
Toilets	Dirty	Medium	Cleaning schedule	Increase frequency if necessary
	Hand-dryer not operating	Low	Maintenance	Repair/replace
	Toilet broken	Low	Inspections	Repair/replace
	Inadequate cleaning	Medium	Cleaning schedule	Increase frequency if necessary
Kitchen	Dirty	Medium	Cleaning schedule	Increase frequency if necessary
	Cooker not working/safe	Low	Maintenance	Repair/replace
	Fridge not working	Low	Maintenance	Repair/replace
	Knives accessible	Medium	Secure storage	Lock drawers
	Slippery floor	Medium	Anti-slip mats	Use mats if necessary; clean spills
	Unhygienic work surfaces	Medium	Cleaning schedule	Increase frequency if necessary
	Water boiler not functioning	Low	Maintenance	Repair/replace
	No fire blanket	Medium	Fire safety	Provide and replace blanket
	No first aid box	Medium	First aid equipment	Provide and keep box up to date
Hall	No access to cleaning equipment	Medium	Storage	Ensure accessibility
	Floor dirty	Medium	Cleaning schedule	Increase frequency if necessary
	Tables/chairs unsafe	Low	Inspections	Repair/replace
	Disabled access locked	Low	Access control	Ensure access
	Windows locked	Low	Access control	Ensure operability
	Heating not working	Low	Maintenance	Repair/replace
	Fire extinguishers not working	Low	Inspections	Service/replace
	Lighting inadequate	Medium	Maintenance	Upgrade lighting
	Loose/trailing wiring	Medium	Cable management	Secure wiring
Library	Door access not working/locked	Low	Access control	Ensure functionality
	Heating not working	Low	Maintenance	Repair/replace
	Fire extinguishers not working	Low	Inspections	Service/replace
	Lighting inadequate	Medium	Maintenance	Upgrade lighting
	Loose/trailing wiring	Medium	Cable management	Secure wiring
	Tables/chairs unsafe	Low	Inspections	Repair/replace
	Windows locked	Low	Access control	Ensure operability
Clerk's working area	Seating inadequate	Medium	Ergonic assessment	Provide ergonomic seating
	Loose/trailing wiring	Medium	Cable management	Secure wiring
	Computer screen badly lit	Medium	Ergonic assessment	Adjust lighting and screen
	Security	Medium	Access control	Implement security measures
Caretaker/cleaner	Failure to ensure safe working conditions	Medium	Safety training	Conduct regular training
	Failure to supervise	Medium	Supervision protocols	Implement regular checks
	Failure to provide with adequate equipment	Medium	Equipment inventory	Ensure proper provision

RECREATION GROUND AND ALBURY HEATH				
Recreation Ground	Failure to insure	Medium	Review insurance policy	Ensure adequate coverage
	Pedestrian access not clear	Medium	Signage	Install clear signs
	Pedestrian gate broken/unopenable	Medium	Regular inspections	Repair or replace gate
	Disabled access not clear	Medium	Signage	Install clear signs
	Disabled access gate broken/unopenable	Medium	Regular inspections	Repair or replace gate
	Disabled access pathway uneven/broken	Medium	Regular inspections	Repair pathway
	Grass uncut	Medium	Maintenance schedule	Regular mowing
	Glass/metal in grass	Medium	Regular inspections	Clear debris
	Picnic table broken	Medium	Regular inspections	Repair/replace
	Bench broken/unsafe	Medium	Regular inspections	Repair/replace
	Dog/animal mess	Medium	Signage	Install waste bin signs
	Failure to insure	Medium	Review insurance policy	Ensure adequate coverage
Toddler swing	Seat broken	Medium	Regular inspections	Repair/replace
	Chains broken/unsecure	Medium	Regular inspections	Repair/replace
	Safer surfacing damaged	Medium	Regular inspections	Repair surfacing
	Broken/rusty parts	Medium	Regular inspections	Repair/replace
	Failure to insure	Medium	Review insurance policy	Ensure adequate coverage
Swings	Seat broken	Medium	Regular inspections	Repair/replace
	Chains broken/unsecure	Medium	Regular inspections	Repair/replace
	Safer surfacing damaged	Medium	Regular inspections	Repair surfacing
	Broken/rusty parts	Medium	Regular inspections	Repair/replace
	Failure to insure	Medium	Review insurance policy	Ensure adequate coverage
Bouncy toddler toy	Springs rusty/broken	Medium	Regular inspections	Repair/replace
	Seat broken/insecure	Medium	Regular inspections	Repair/replace
	Safer surfacing damaged	Medium	Regular inspections	Repair surfacing
	Broken/rusty parts	Medium	Regular inspections	Repair/replace
	Failure to insure	Medium	Review insurance policy	Ensure adequate coverage
Climbing equipment	Nets broken	Medium	Regular inspections	Repair/replace
	Wooden parts broken	Medium	Regular inspections	Repair/replace
	Exposed screws/nails	Medium	Regular inspections	Secure or remove
	Safer surfacing unranked/inadequate	Medium	Regular inspections	Repair surfacing
	Surfacing edging damaged	Medium	Regular inspections	Repair edging
	Failure to insure	Medium	Review insurance policy	Ensure adequate coverage
Basketball net	Surfacing unsafe	Medium	Regular inspections	Repair surfacing
	Nets broken	Medium	Regular inspections	Repair/replace
	Wooden parts broken/unsafe	Medium	Regular inspections	Repair/replace
	Gates broken/unsafe	Medium	Regular inspections	Repair/replace
Vehicle access gates	Gates unlocked	Medium	Access control	Ensure gates are locked
	Gate posts broken/unsafe	Medium	Regular inspections	Repair/replace
	Access uneven/unsafe	Medium	Regular inspections	Repair access
	Failure to insure	Medium	Review insurance policy	Ensure adequate coverage
Cricket nets: Albury Heath	Failure to maintain	Medium	Maintenance schedule	Regular maintenance
	Failure to ensure accessible to public	Medium	Access control	Ensure public access

	Safer surfacing inadequate	Medium	Regular inspections	Repair surfacing
GENERAL				
Administration	Failure to meet statutory duty on meetings	Medium	Calendar reminders; procedural checklist	Maintain a meeting schedule and compliance log
	Failure to arrange premises	Medium	Booking system or calendar	Confirm bookings in advance; have backup venues
	Failure to make provision for public	Medium	Accessibility policy	Ensure public access and publish meeting details
	Crash of IT equipment	Medium	Regular backups; cloud storage	Use cloud-based systems and have backup hardware
	Freedom of Information Act - duty to disclose	Medium	FOI policy and training	Maintain records and respond within statutory timeframes
	Maintenance of website	Medium	Website admin assigned	Schedule regular updates and checks
	Contact details for councillors	Low	Website listing	Regularly review and update contact info
	Contact details for Clerk	Low	Website and noticeboard	Ensure visibility and accuracy of contact info
Bus shelters	Failure to insure	Medium	Annual insurance review	Ensure shelters are listed in policy
	Failure to keep clean	Medium	Cleaning schedule	Assign responsibility to cleaner
	Failure to maintain	Medium	Regular inspections	Schedule maintenance and repairs as needed
Contractors	Failure to supervise	Medium	Contract management procedures	Assign a responsible officer for oversight
	Failure to check insurance/public liability	High	Contractor checklist	Require proof before engagement
	Failure to seek competitive quotations	Medium	Procurement policy	Enforce minimum quote requirements and documentation