

## ALBURY PARISH COUNCIL - RISK ASSESSMENTS

### FINANCIAL RISK

Category	Risk	Likelihood
<b>Petty Cash</b>	None kept	Low
<b>Current Account</b>	Misappropriation of funds	Medium
	Poor financial management	Medium
	Overdraft situation	Low
<b>Savings Account</b>	Misappropriation of funds	Low
<b>Assets</b>	Inadequate asset register	Medium
	Failure to maintain assets	Medium
	Assets sold under market value	Low
	Failure to adequately insure	Medium
<b>Insurance</b>	Inadequate insurance	Medium
	Failure to keep premium up to date	Low
	Failure to insure assets	Medium
	Failure to insure risks	Medium
<b>Financial Regulations</b>	Failure to update	Medium
	Failure to ensure adequacy	Medium
	Too much control for clerk/councillor	Medium
<b>Contractors</b>	Failure to review	Medium
	Prices not competitive	Medium
	Failure to seek comparative quotes	Medium
	Failure to check contractors' insurance/public liability	High

### BUSINESS CONTINUITY

<b>Illness/death of Clerk</b>	Files not accessible	High
	No administration for meetings	High
	Failure to follow up on current issues	High
	No-one for public/councillors to contact	High
	No financial information	High
<b>Resignation of Clerk</b>	Files not accessible	High
	No administration for meetings	High
	Failure to follow up on current issues	High
	No-one for public/councillors to contact	High
	No financial information	High
<b>File and information</b>	Fire or flood	Medium
	Loss	Medium
	Inaccessibility	Medium
<b>Office</b>	Loss due to fire	Medium
	Clerk has no adequate premises	High
	Memorial Library returned to Estate	Medium

### VILLAGE HALL

<b>Car Park</b>	Pothole damage to vehicles	Medium
	Lack of space for visitors	High
	Tree damage	Low
	Traffic - high volume	Medium
	Pedestrians	Medium
<b>Access</b>	Icy/wet steps	High
	Key code difficult to operate	Medium
	Door locked	Low
<b>Toilets</b>	Dirty	Medium
	Hand-dryer not operating	Low
	Toilet broken	Low

<b>Kitchen</b>	Inadequate cleaning	Medium
	Dirty	Medium
	Cooker not working/safe	Low
	Fridge not working	Low
	Knives accessible	Medium
	Slippery floor	Medium
	Unhygienic work surfaces	Medium
	Water boiler not functioning	Low
	No fire blanket	Medium
<b>Hall</b>	No first aid box	Medium
	No access to cleaning equipment	Medium
	Floor dirty	Medium
	Tables/chairs unsafe	Low
	Disabled access locked	Low
	Windows locked	Low
	Heating not working	Low
	Fire extinguishers not working	Low
	Lighting inadequate	Medium
<b>Library</b>	Loose/trailing wiring	Medium
	Door access not working/locked	Low
	Heating not working	Low
	Fire extinguishers not working	Low
	Lighting inadequate	Medium
	Loose/trailing wiring	Medium
	Tables/chairs unsafe	Low
	Windows locked	Low
	Seating inadequate	Medium
<b>Clerk's working area</b>	Loose/trailing wiring	Medium
	Computer screen badly lit	Medium
	Security	Medium
	Failure to ensure safe working conditions	Medium
<b>Caretaker/cleaner</b>	Failure to supervise	Medium
	Failure to provide with adequate equipment	Medium

#### RECREATION GROUND AND ALBURY HEATH

<b>Recreation Ground</b>	Failure to insure	Medium	
	Pedestrian access not clear	Medium	
	Pedestrian gate broken/unopenable	Medium	
	Disabled access not clear	Medium	
	Disabled access gate broken/unopenable	Medium	
	Disabled access pathway uneven/broken	Medium	
	Grass uncut	Medium	
	Glass/metal in grass	Medium	
	Picnic table broken	Medium	
	Bench broken/unsafe	Medium	
	Dog/animal mess	Medium	
	<b>Toddler swing</b>	Failure to insure	Medium
		Seat broken	Medium
		Chains broken/unsecure	Medium
		Safer surfacing damaged	Medium
Broken/rusty parts		Medium	
<b>Swings</b>	Failure to insure	Medium	
	Seat broken	Medium	
	Chains broken/unsecure	Medium	

<b>Bouncy toddler toy</b>	Safer surfacing damaged	Medium	
	Broken/rusty parts	Medium	
	Failure to insure	Medium	
	Springs rusty/broken	Medium	
	Seat broken/insecure	Medium	
<b>Climbing equipment</b>	Safer surfacing damaged	Medium	
	Broken/rusty parts	Medium	
	Failure to insure	Medium	
	Nets broken	Medium	
	Wooden parts broken	Medium	
	Exposed screws/nails	Medium	
<b>Basketball net</b>	Safer surfacing unranked/inadequate	Medium	
	Surfacing edging damaged	Medium	
	Failure to insure	Medium	
	Surfacing unsafe	Medium	
<b>Vehicle access gates</b>	Nets broken	Medium	
	Wooden parts broken/unsafe	Medium	
	Gates broken/unsafe	Medium	
	Gates unlocked	Medium	
	Gate posts broken/unsafe	Medium	
<b>Cricket nets: Albury Heath</b>	Access uneven/unsafe	Medium	
	Failure to insure	Medium	
	Failure to maintain	Medium	
	Failure to ensure accessible to public	Medium	
	Safer surfacing inadequate	Medium	
<b>GENERAL</b>			
<b>Administration</b>	Failure to meet statutory duty on meetings	Medium	
	Failure to arrange premises	Medium	
	Failure to make provision for public	Medium	
	Crash of IT equipment	Medium	
	Freedom of Information Act - duty to disclose	Medium	
	Maintenance of website	Medium	
	Contact details for councillors	Low	
	Contact details for Clerk	Low	
	<b>Bus shelters</b>	Failure to insure	Medium
		Failure to keep clean	Medium
<b>Contractors</b>	Failure to maintain	Medium	
	Failure to supervise	Medium	
	Failure to check insurance/public liability	High	
	Failure to seek competitive quotations	Medium	

## Security Measures

n/a  
 Dual signatories; regular audits  
 Budget monitoring; financial reporting  
 Bank alerts; budget control  
 Restricted access; dual signatories  
 Asset inventory system; annual review  
 Maintenance schedules  
 Valuation checks  
 Insurance policy review  
 Annual policy review  
 Calendar reminders; direct debit  
 Cross-check with asset register  
 Risk register review  
 Scheduled reviews  
 External audit or review  
 Separation of duties  
 Contract register  
 Market comparison  
 Procurement policy  
 Contractor checklist

## Actions needed

No action needed unless policy changes  
 Implement monthly reconciliations and oversight  
 Provide training; regular finance reviews  
 Monitor balances; set overdraft limit  
 Periodic review of account activity  
 Maintain and update asset register annually  
 Schedule regular inspections and servicing  
 Require independent valuations before sale  
 Match insurance to asset register annually  
 Conduct risk assessment to ensure coverage  
 Automate payments; assign responsibility  
 Update policy with new assets promptly  
 Consult with insurance annually  
 Review regulations annually and updates from NALC  
 Benchmark against best practices  
 Implement checks and balances  
 Review contracts annually  
 Seek quotes every 2-3 years  
 Enforce minimum quote requirements  
 Require proof before engagement

Files stored locally or with single user access

Clerk is sole administrator  
 Manual tracking by Clerk  
 Clerk is sole administrator  
 Financial data held by Clerk  
 As above  
 As above  
 As above  
 As above  
 As above  
 Paper-based or local storage  
 No disaster recovery plan  
 Files not centrally stored  
 Insurance  
 Possibility to work from home  
 Legal/ownership issue

Implement shared cloud storage with access for key personnel  
 Cross-train staff or councillors; document procedures  
 Use shared task/project management tools  
 Assign alternate contact  
 Use shared accounting software with multiple users  
 Ensure handover procedures and shared access  
 Maintain continuity plan with interim support  
 Maintain shared issues log  
 Keep contact info updated on website  
 Ensure regular backups and shared oversight  
 Digitise records; store backups offsite/in cloud  
 Create and test a disaster recovery plan  
 Use centralised, secure digital storage  
 Use fireproof storage; digitise records  
 Ensure home working possible and review annually  
 Review lease terms; explore alternative premises

Regular inspections  
 Parking management  
 Tree maintenance  
 Traffic control  
 Pedestrian pathways  
 Anti-slip treatments  
 User training  
 Access control  
 Cleaning schedule  
 Maintenance  
 Inspections

Repair potholes promptly  
 Introduce parking management scheme  
 Regular trimming  
 Implement calming measures  
 Designate walkways  
 Caretaker to apply salt  
 Instructions provided on hall door  
 Ensure keyholders available  
 Increase frequency if necessary  
 Repair/replace  
 Repair/replace

Cleaning schedule	Increase frequency if necessary
Cleaning schedule	Increase frequency if necessary
Maintenance	Repair/replace
Maintenance	Repair/replace
Secure storage	Lock drawers
Anti-slip mats	Use mats if necessary; clean spills
Cleaning schedule	Increase frequency if necessary
Maintenance	Repair/replace
Fire safety	Provide and replace blanket
First aid equipment	Provide and keep box up to date
Storage	Ensure accessibility
Cleaning schedule	Increase frequency if necessary
Inspections	Repair/replace
Access control	Ensure access
Access control	Ensure operability
Maintenance	Repair/replace
Inspections	Service/replace
Maintenance	Upgrade lighting
Cable management	Secure wiring
Access control	Ensure functionality
Maintenance	Repair/replace
Inspections	Service/replace
Maintenance	Upgrade lighting
Cable management	Secure wiring
Inspections	Repair/replace
Access control	Ensure operability
Ergonomic assessment	Provide ergonomic seating
Cable management	Secure wiring
Ergonomic assessment	Adjust lighting and screen
Access control	Implement security measures
Safety training	Conduct regular training
Supervision protocols	Implement regular checks
Equipment inventory	Ensure proper provision

Review insurance policy	Ensure adequate coverage
Signage	Install clear signs
Regular inspections	Repair or replace gate
Signage	Install clear signs
Regular inspections	Repair or replace gate
Regular inspections	Repair pathway
Maintenance schedule	Regular mowing
Regular inspections	Clear debris
Regular inspections	Repair/replace
Regular inspections	Repair/replace
Signage	Install waste bin signs
Review insurance policy	Ensure adequate coverage
Regular inspections	Repair/replace
Regular inspections	Repair/replace
Regular inspections	Repair surfacing
Regular inspections	Repair/replace
Review insurance policy	Ensure adequate coverage
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Regular inspections	Repair/replace
Regular inspections	Repair surfacing
Regular inspections	Repair/replace
Review insurance policy	Ensure adequate coverage
Regular inspections	Repair/replace
Regular inspections	Repair/replace
Regular inspections	Secure or remove
Regular inspections	Repair surfacing
Regular inspections	Repair edging
Review insurance policy	Ensure adequate coverage
Regular inspections	Repair surfacing
Regular inspections	Repair/replace
Regular inspections	Repair/replace
Regular inspections	Repair/replace
Access control	Ensure gates are locked
Regular inspections	Repair/replace
Regular inspections	Repair access
Review insurance policy	Ensure adequate coverage
Maintenance schedule	Regular maintenance
Access control	Ensure public access
Regular inspections	Repair surfacing

Calendar reminders; procedural checklist	Maintain a meeting schedule and compliance log
Booking system or calendar	Confirm bookings in advance; have backup venues
Accessibility policy	Ensure public access and publish meeting details
Regular backups; cloud storage	Use cloud-based systems and have backup hardware
FOI policy and training	Maintain records and respond within statutory timeframes
Website admin assigned	Schedule regular updates and checks
Website listing	Regularly review and update contact info
Website and noticeboard	Ensure visibility and accuracy of contact info
Annual insurance review	Ensure shelters are listed in policy
Cleaning schedule	Assign responsibility to cleaner
Regular inspections	Schedule maintenance and repairs as needed
Contract management procedures	Assign a responsible officer for oversight
Contractor checklist	Require proof before engagement
Procurement policy	Enforce minimum quote requirements and documentation