**Acle Parish Council Risk Assessment**

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Approved: Anthony Hemmingway 28.10.2019

On behalf of Acle Parish Council

**1. Financial risk**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Risk** | **Impact** | **Prob** | **Details of risk management** | **Notes** |
| 1 | Inadequate income to cover budgeted services  Failure to adequately budget for required services |  |  | A budget has been put in place for 2019/20 which covers all budgeted services. There is also a provision for unexpected costs. Budget reviewed in detail by Finance Committee and adopted by full Council  Reserves for repairs and renewals of assets are reviewed each year when setting the precept  Clerk monitors cashflow and reports to full Council  Actual income and expenditure compared with budget each month and reported to full Council |  |
| 2 | Failure of financial controls (including through employee dishonesty) |  |  | Financial controls reviewed annually  Payments authorised by full Council and approval is evidenced by two signatories  Online payments checked to bank statements by third councillor  Internal auditor appointed to do annual audit  Income and expenditure compared each month to budget and variances explained by clerk  Bank reconciliation carried out by clerk each month and checked by a councillor  Fidelity insurance is in place |  |
| 4 | Damage to property or other loss not adequately covered by insurance |  |  | Insurance cover reviewed annually  Clerk attends risk management training |  |
| 5 | Community Infrastructure Levy (CIL) money not being spent within 5 year time limit |  |  | Clerk completes CIL return and sends it to BDC  Expenditure on infrastructure items is allocated to CIL account where possible |  |

**2. Risk to People**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Risk** | **Impact** | **Prob** | **Details of risk management** | **Notes** |
| 1 | Councillors |  |  | Councillors are encouraged to attend introductory training and any other relevant training. Also invited to attend BDC/BA meetings and training  Insurance cover in place |  |
| 2 | Lack of contingency plans for key staff illness or departure |  |  | Clerk – no plans in place  Cleaner – locum cleaner covers for illness and holidays | Consider writing clerk’s manual to assist with any handover |
| 3 | Gaps in staff resources or skills |  |  | Clerk attends annual Practitioners’ Conference and other training as required  Council is member of Norfolk Association of Local Councils which provides advice and training  Clerk is a member of the Society of Local Council Clerks which provides advice and training |  |
| 4 | Loss of knowledge |  |  | Clerk will be asked to do a detailed hand-over when required  Experienced councillors share their knowledge with new councillors | Consider writing clerk’s manual to assist with any handover |
| 5 | Clerk – working at home  Mick Ward - cleaner |  |  | Clerk to notify APC of any issues within the working environment which require action. APC to comply with employment legislation.  Staff appraisal carried out at least every two years  Insurance cover in place |  |

**3. Loss or Damage to Council Assets**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Risk** | **Impact** | **Prob** | **Details of risk management** | **Notes** |
| 1 | Public toilets |  |  | Toilets are managed by APC on behalf of BDC  Mick Ward is employed as cleaner and Robert Monument covers for illness and holidays  Supplies and consumables are from Wilkersons and Hugh Crane Ltd - local supplies reduces risk of delay in supply  Mick reports any vandalism or damage to the clerk  Clerk inspects the interior and exterior of the building  Annual report sent to BDC |  |
| 2 | Cemetery |  |  | Funerals are booked via the clerk  Funeral directors employ their own gravedigger  Insurance cover for funeral directors is checked from time to time  Mick Ward does weekly tidy up in cemetery and car park  Members of the public report problems to clerk  Irregular inspections carried out by clerk  Grasscutting is done regularly by Garden Guardian in growing season  Waste is collected by BDC  Hedges are cut once a year by local contractor |  |
| 3 | Street lights |  |  | Inspected and cleaned on a rotation by TT Jones  Defects reported by members of the public and reported to contractor by clerk  Older-style lanterns are to be replaced with LED lanterns as and when they become obsolete or beyond repair |  |
| 4 | Christmas lights |  |  | Checked and re-lamped annually by TT Jones  Lights checked for faults regularly during Christmas period by AH  Timers checked and set by AH at beginning of season |  |
| 5 | Beighton Road play area |  |  | Inspected annually by ROSPA – Playsafety Ltd  Regular inspections by Mick Ward – litter picked up  Repairs carried out by local contractor  Litter bin emptied by BDC  Grass cut by Garden Guardian |  |
| 6 | Damgate Lane play area |  |  | Inspected annually by ROSPA – Playsafety Ltd  Regular inspections by Mick Ward – litter picked up  Repairs carried out by local contractor  Litter bin emptied by BDC  Grass cut by Garden Guardian  Hedges cut annually by local contractors  Gate by Carters Loke was locked shut to prevent children running out into the road  Vehicular field gate kept locked shut |  |
| 7 | Springfield play area |  |  | Inspected annually by ROSPA – Playsafety Ltd  Regular inspections by Mick Ward – litter picked up  Repairs carried out by local contractor  Litter bin emptied by BDC  Grass cut by Garden Guardian |  |
| 8 | Springfield lagoon |  |  | Grass cut by Garden Guardian  Signage on gates to warn about water  Very little water in lagoon as it is an overflow facility – mostly mud |  |
| 9 | Bus shelters |  |  | Mick Ward reports any damage to clerk  Councillors to report any known damage to clerk promptly  Clerk to inspect from time to time |  |
| 10 | Noticeboard in The Street |  |  | Checked by clerk each time a notice is put up |  |
| 11 | Allotments |  |  | Managed and inspected by Acle Allotment Association |  |
| 12 | Litter bins |  |  | Inspected by Mick Ward when litter picking  Faults reported by BDC’s contractors to BDC who contacts clerk |  |
| 13 | Other street furniture |  |  | Visual inspections from time to time |  |
| 14 | Bank building |  |  | Insurance cover in place  Full building survey carried out by Brown & Co  Visual inspection of exterior from time to time  Barclays = tenant of ground floor  2 x flats on first floor let to private tenants – deposits held against risk of damage  Flats inspected by The Property Shop before being let |  |
| 15 | Fletcher Room |  |  | Let to Acle Pre-school  Defects report to clerk for action  Insurance cover in place |  |

**4. Health and Safety Risk**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Risk** | **Impact** | **Prob** | **Details of risk management** | **Notes** |
| 1 | Failure to have and apply clear and effective H&S policy and train all staff |  |  | H & S Policy reviewed annually  Clerk attends H & S training |  |
| 2 | Failure to take adequate steps to protect members of the public using council property |  |  | Specialist contractors employed where possible  Visual inspection of assets by clerk and councillors  Defects reported to clerk for action |  |

**5. Legal Risk**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Risk** | **Impact** | **Prob** | **Details of risk management** | **Notes** |
| 1 | Failure to ensure that legal agreements adequately protect the Council’s interests |  |  | APC employs Nicholas Hancox and Mills & Reeve for legal matters |  |

**6. Other Risks**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Risk** | **Impact** | **Prob** | **Details of risk management** | **Notes** |
| 1 | Failure to protect the council’s reputation. |  |  | * Public opinion – ensuring that public money is being spent appropriately. * Publicity – ensuring that events are well managed to reflect the high standards and integrity of the parish council * Production of a clear budget * Thorough risk assessments * Quarterly newsletter delivered in the village * Social media policies adopted |  |

**Appendix 1 - Key**

Risks are rated according to their **Impact** and **probability** using the following measures

**Impact Probability**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **High** | Loss of £10k or above.  Major disruption to operations [i.e. 6 months or more]  Significant reputational damage e.g. critical coverage in local or national press  Physical injury to staff or member of public  Criminal prosecution  Material loss of amenity to Acle residents |  | **High** | Likely to occur in next 12 months |
| **Medium** | Loss of £1 – 10k  Moderate operational disruption [up to 6 months?]  Moderate reputational damage, eg handful of complaining letters to local press |  | **Medium** | Possible to occur within 3 yrs |
| **Low** | Loss <£1k |  | **Low** | Unlikely to occur in next 3 - 10 yrs |

**Appendix 2 - Background**

**“The greatest risk facing a local authority is not being able to deliver the activity or services expected of the Council.”**

Risk is simply the price of being in business. All organisations face risk, although risk profiles will vary significantly depending on organisational size, sector etc. **Risk assessment** is the process of periodically reviewing working processes, controls, people skills and resources and environmental factors to identify potential risks and assess these in terms of impact, probability and overall importance. **Risk management** is what you do to control these risks, as far as it lies within your power. As a matter of good corporate governance, an organisation should be able to demonstrate that its governing body (in our case the Council) is familiar with and agrees the risk profile, and that all reasonable steps are being taken to monitor and manage the most important risks.

**Some common pitfalls** of risk management include:

* Placing too much reliance on process alone. For an organisation of our size and nature it is important to have systematic approach, but risk assessment also relies on gut feel and common sense.
* Confusing risk assessment with risk management. The work does not end once the risk assessment has been signed off. What matters most is how we manage our most significant risks,
* Viewing risk assessment as a once a year exercise. The Parish Council and its advisory groups should be regularly monitoring the most significant risks, and the profile should be updated as things change during the year.
* ‘Sanitising” risk profiles so that everything appears green when it isn’t. Good risk management relies on being honest about risks and being prepared to talk about the worst-case scenario.
* Mistaking financial control for risk management. Robust and well-documented financial controls are vital for any organisation, and critical for us given that we are managing public money. Failure of financial control is an obvious and major risk category. However, risk management is much broader than financial control.