**ACLE PARISH COUNCIL**

**GENERAL RISK ASSESSMENT**

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Date of Risk Assessment: 31st January 2022

To be reviewed: January 2025

 Chair……………………………..

Deputy Clerk…………………….

**1. Financial risk**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | **Risk** | **Impact** | **Prob** | **Details of risk management** | **Notes** |
| 1 | Inadequate income to cover budgeted servicesFailure to adequately budget for required services |  |  | A budget has been put in place for 2021/22 which covers all budgeted services. There is also a provision for unexpected costs. Budget reviewed in detail by Finance Committee and adopted by full CouncilReserves for repairs and renewals of assets are reviewed each year when setting the preceptClerk monitors cashflow and reports to full CouncilActual 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 annuallyPayments authorised by full Council . Invoices are shared with councillors via shared driveOnline payments checked to bank statements by third councillorInternal auditor appointed to do annual auditIncome and expenditure compared each month to budget and variances explained by clerkBank reconciliation carried out by clerk each month and checked by a councillorFidelity insurance is in place |  |
| 4 | Damage to property or other loss not adequately covered by insurance |  |  | Insurance cover reviewed annuallyClerk 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 BDCExpenditure 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 trainingInsurance cover in place |   |
| 2 | Lack of contingency plans for key staff illness or departure |  |  | Clerk – Deputy Clerk covers for illness and holidays. Access to shared drive provided. Deputy Clerk - Clerk covers for illness and holidays. Access to shared drive provided.Cleaner – Locum cleaner covers for illness and holidays |  |
| 3 | Gaps in staff resources or skills |  |  | Clerk and Deputy Clerk attends Annual Practitioners’ Conference and other training as requiredCouncil is member of Norfolk Association of Local Councils which provides advice and trainingClerk and Deputy Clerk are members of the Society of Local Council Clerks which provides advice and training |   |
| 4 | Loss of knowledge |  |  | Clerk and Deputy Clerk will be asked to do a detailed hand-over when requiredExperienced councillors share their knowledge with new councillors | Consider writing clerk’s manual to assist with any handover  |
| 5 | Clerk and Deputy Clerk – working at homeMick Ward - cleaner |  |  | Clerk and Deputy 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 yearsInsurance 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 BDCMick Ward is employed as cleaner and Robert Monument covers for illness and holidaysSupplies and consumables are from Wilkersons and Hugh Crane Ltd - local supplies reduces risk of delay in supplyMick reports any vandalism or damage to the clerk/deputy clerkDeputy clerk inspects the interior and exterior of the buildingAnnual report sent to BDCLegionella Risk Assessment to be carried outElectrical testing completed 10.01.22 |   |
| 2 | Cemetery |  |  | Funerals are booked via the clerk/deputyFuneral directors employ their own gravediggerInsurance cover for funeral directors is checked from time to timeMick Ward does weekly tidy up in cemetery and car parkMembers of the public report problems to clerk/deputyIrregular inspections carried out by clerk/deputyGrasscutting is done regularly by Garden Guardian in growing seasonWaste is collected by BDCHedges 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/deputyOlder-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 JonesLights checked for faults regularly during Christmas period by AH or JP Timers checked and set by AH or JP at beginning of season |  |
| 5 | Beighton Road Play Area |  |  | Inspected annually by ROSPA – Playsafety LtdWeekly inspections by Deputy Clerk– litter picked upRepairs carried out by local contractorLitter bin emptied by BDCGrass cut by Garden Guardian |   |
| 6 | Damgate Lane Play Area |  |  | Inspected annually by ROSPA – Playsafety LtdWeekly inspections by Deputy Clerk – litter picked upRepairs carried out by local contractorLitter bin emptied by BDCGrass cut by Garden GuardianHedges cut annually by local contractorsGate by Carters Loke was locked shut to prevent children running out into the road (blind view due to hedging)Vehicular field gate kept locked shut  |   |
| 7 | Springfield Play Area |  |  | Inspected annually by ROSPA – Playsafety LtdWeekly inspections by Deputy Clerk – litter picked upRepairs carried out by local contractorLitter bin emptied by BDCGrass cut by Garden Guardian |  |
| 8 | Springfield Lagoon |  |  | Grass cut by Garden GuardianSignage on gates to warn about waterVery little water in lagoon as it is an overflow facility – mostly mud |  |
| 9 | Bus shelters |  |  | Mick Ward reports any damage to clerk/deputyCouncillors to report any known damage to clerk/deputy promptlyDeputy to inspect from time to time |  |
| 10 | Noticeboard in The Street |  |  | Checked by Clerk/Deputy 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 pickingFaults reported by BDC’s contractors to BDC who contact clerk/deputy |  |
| 13 | Other street furniture |  |  | Visual inspections from time to time by deputy clerk |  |
| 14 | Bank building |  |  | Insurance cover in placeFull building survey carried out by Brown & CoVisual inspection of exterior carried out weekly by Deputy or councillors whenever in premisesFire Risk Assessment done February 2021Fire Extinguishers checked February 2021Fire Alarm serviced February 2021Refurbishment and Demolition Survey for Asbestos done October 2020 Electrical Inspection last done in 2017. Will be reviewed as part of refurbishmentCovid-19 risk assessment done – sanitiser available inside building – contractors and staff/councillors to wear masks when meeting others inside building2 x flats on first floor let to private tenants – deposits held against risk of damageFlats inspected by The Property Shop before being let | Review and update |
| 15 | Fletcher Room  |  |  | Let to Acle Pre-SchoolDefects reported to Deputy for actionInsurance cover in placeFire extinguishers checked January 2022Legionella Risk Assessment to be carried out |  |
| 16 | Chocolate Box | RED | Yellow | Newsagent’s shop is let to tenantFull building survey carried out by Brown & CoFire risk assessment of shop and office spaces done February 2021Fire extinguishers in shop and office spaces checked in February 2021Asbestos Survey done October 2020Electrical Survey outstanding – contractor attended February 2021 to draw up list of refurbishment work requiredCovid-19 risk assessment done – sanitiser available inside building – contractors and staff/councillors to wear masks when meeting others inside building | Review and update |

**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 annuallyClerk/Deputy attends H & S training when appropriate course is offered  |   |
| 2 | Failure to take adequate steps to protect members of the public using council property |  |  | Specialist contractors employed where possibleVisual inspection of assets by clerk/deputy and councillorsDefects reported to Deputy 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 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 (not during pandemic) – website and facebook posts used to publicise council actions
* 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 pressPhysical injury to staff or member of publicCriminal prosecutionMaterial loss of amenity to Acle residents |  | **High** | Likely to occur in next 12 months  |
| **Medium** | Loss of £1 – 10kModerate 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 a 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.