**ACLE PARISH COUNCIL**

**GENERAL RISK ASSESSMENT**

**CONTENTS**

|  |  |
| --- | --- |
| 1 | Financial Risk |
| 2 | Risk to People |
| 3 | Loss or Damage to Council Assets |
| 4 | Health & Safety Risk |
| 5 | Legal Risks |
| 6 | Other Risks |
|  | Appendices |

Date of Risk Assessment: Adopted 31st January 2022

Updated 27th February 2023

Chair: Angela Bishop

Parish Clerk: Pauline James Deputy Clerk: Fiona Richardson

**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 2023/24 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. Invoices are shared with councillors via shared drive  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 where appropriate |  |
| 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 – 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 attend training as required  Council is member of Norfolk Association of Local Councils which provides advice and training  Clerk 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 required  Experienced councillors share their knowledge with new councillors | Consider writing clerk’s manual to assist with any handover |
| 5 | Clerk and Deputy Clerk – working at home  Mick 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 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/deputy clerk  Deputy clerk inspects the interior and exterior of the building  Annual report sent to BDC Legionella Risk Assessment has been carried out  Electrical testing completed 10.01.22 |  |
| 2 | Cemetery |  |  | Funerals are booked via the clerk/deputy  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/deputy  Irregular inspections carried out by clerk/deputy  Grasscutting is done regularly by Garden Guardian in growing season  Waste is collected by BDC  Hedges are cut once a year by local contractor Legionella Risk Assessment done by Norse Infinity |  |
| 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/deputy  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 or JP  Timers checked and set by AH or JP at beginning of season |  |
| 5 | Beighton Road Play Area |  |  | Inspected annually by ROSPA – Playsafety Ltd  Regular inspections by Deputy Clerk  Regular checks 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 Deputy Clerk  Regular checks 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  Vehicular field gate kept locked shut |  |
| 7 | Springfield Play Area |  |  | Inspected annually by ROSPA – Playsafety Ltd  Regular inspections by Deputy Clerk  Regular checks 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  Annual checks by contractor |  |
| 9 | Bus shelters |  |  | Mick Ward reports any damage to clerk/deputy  Councillors to report any known damage to clerk/deputy promptly  Deputy 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  Legionella Risk Assessment done by Norse Infinity |  |
| 12 | Litter bins |  |  | Inspected by Mick Ward when litter picking  Faults 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 place  Full building survey carried out by Brown & Co  Visual inspection of exterior carried out weekly by Deputy or councillors whenever in premises  Fire Risk Assessment done February 2021  Fire Extinguishers checked February 2021  Fire Alarm serviced February 2021  Refurbishment and Demolition Survey for Asbestos done October 2020  New electrical works as part of refurbishment 2022  Covid-19 risk assessment done – sanitiser available inside building  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  Deputy carries out irregular inspections |  |
| 15 | Fletcher Room |  |  | Let to Acle Pre-School  Defects reported to Deputy for action  Insurance cover in place  Fire extinguishers checked January 2023  Legionella Risk Assessment done by Norse Infinity and remedial work has been done |  |
| 16 | Chocolate Box |  |  | Newsagent’s shop is let to tenant  Full building survey carried out by Brown & Co  Full refurbishment carried out in 2022  Fire extinguishers in shop and office spaces checked in February 2023  Asbestos Survey done October 2020  New electrical works as part of refurbishment 2022  Covid-19 risk assessment done – sanitiser available inside building |  |

**4. Health and Safety Risk**

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| --- | --- | --- | --- | --- | --- |
|  | **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 from time to time  Clerk/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 possible  Visual inspection of assets by clerk/deputy and councillors  Defects 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 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 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.