

# Risk Assessment – Non Financial

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HOLLESLEY PARISH COUNCIL

Judi Hallett  
CLERK, HOLLESLEY PARISH COUNCIL

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## 1. Scope and Objectives

The purpose of this document is to identify potential non-financial risks facing Hollesley Parish Council ('the Council') and how those risks can be managed to ensure the Council is able to deliver the services expected of it.

This document will be reviewed by the Council annually (preferably at the February or March meeting), enabling the Council to:

- a) Appraise itself of identified risks
- b) Agree appropriate actions to minimise the impact of the risks
- c) identify new risks and appropriate measures to manage them
- d) ensure the Council's insurance is adequate for the forthcoming year

## 2. Introduction

Risk management is NOT just about financial management, but about achieving the objectives of the organisation to deliver high quality public services. The failure to manage risks effectively can be expensive in terms of litigation, reputation and the ability to deliver the expected services.

The new approach to local Council audit seeks to address these issues by placing emphasis on local Council's strengthening their own corporate governance arrangements, improving their stewardship of public funds and improving assurances to taxpayers. In other words, 'the buck' stops with you, the Councillors!

Members are ultimately responsible for risk management because risk threatens achieving the objectives of the Council. As a minimum, members should at least annually formally:

- a) Take steps to identify key risks facing the Council
- b) Evaluate the potential consequences to the Council in the event of an identified risk occurring
- c) Agree upon appropriate measures to avoid, reduce or control the risk or its consequences

All of the above objectives should be served by this document. If they are not, then it is up to the Council to determine how they should be met and to put in place appropriate measures.

This document should be read in conjunction with the current Insurance Policy in force for the Council.

### 3. Risk Analysis

The following table attempts to identify all non-financial risks and to assign a probability ('Prob') of that risk occurring, and should it occur, its impact ('Imp') on the Council. Both the 'Probability' and 'Impact' of a risk are scored on a 1 – 5 scale; 1 being the lowest score (i.e. very improbable or very low risk) and 5 the highest (i.e. highly probable and very high impact). Both these scores are multiplied to give an Overall Risk Rating (ORR). Any risks over ORR 20 will be reviewed on a monthly basis.

The 'Managed by' column details how the risk is managed, either by protecting the Council from its impact (typically by way of insurance) or by reducing the probability of that risk occurring. All Councillors should be aware of the importance of keeping their register up to date and declaring any interests at meetings as and when appropriate. The below list is not exhaustive and items can be added, amended or removed as and when appropriate.

Number	Details	Prob	Imp	Overall Risk Rating	Managed by...	Review Date	Action Taken
1	Damage or loss to <b>Bus Shelters</b> from vandalism or poor maintenance	3	1	3	<ul style="list-style-type: none"> <li>Insurance and its annual review</li> <li>Annual review of assets identified in Council's Asset Register</li> </ul>	Feb 2020	Review asset annually or after any reported damage/vandalism
2	Damage or loss to <b>Seats</b> from vandalism or poor maintenance	3	1	3	<ul style="list-style-type: none"> <li>Insurance and its annual review</li> <li>Annual review of assets identified in Council's Asset Register</li> </ul>	Feb 2020	Review asset annually or after any reported damage/vandalism
3	Damage or loss to <b>Litter/Dog Bins</b> from vandalism or poor maintenance	3	1	3	<ul style="list-style-type: none"> <li>Insurance and its annual review</li> <li>Annual review of assets identified in Council's Asset Register</li> </ul>	Feb 2020	Review asset annually or after any reported damage/vandalism
4	Issue with <b>Grit Bins</b> lids falling on someone	3	1	3	<ul style="list-style-type: none"> <li>Adequate insurance</li> <li>Residents encouraged to register with Clerk for SCC Insurance</li> </ul>	Feb 2020	Review asset annually or after any reported damage/vandalism

Number	Details	Prob	Imp	Overall Risk Rating	Managed by...	Review Date	Action Taken
5	Damage or loss to <b>Village Sign</b> from vandalism or poor maintenance	3	1	3	<ul style="list-style-type: none"> <li>Insurance and its annual review</li> <li>Annual review of assets identified in Council's Asset Register</li> </ul>	Feb 2020	Review asset annually or after any reported damage/vandalism
6	Damage or loss to <b>Notice Boards</b> from vandalism or poor maintenance	3	1	3	<ul style="list-style-type: none"> <li>Insurance and its annual review</li> <li>Annual review of assets identified in Council's Asset Register</li> </ul>	Feb 2020	Review assets annually or after any reported damage/vandalism
7	Issue with land at <b>Recreation Ground</b> from vandalism or poor maintenance	3	2	6	<ul style="list-style-type: none"> <li>Insurance and its annual review</li> <li>Annual review of assets identified in Council's Asset Register</li> </ul>	Feb 2020	Strict adherence to guidelines
8	Damage or loss to <b>Street Lights</b> from vandalism or poor maintenance	1	2	2	<ul style="list-style-type: none"> <li>Insurance and its annual review</li> <li>Annual review of assets identified in Council's Asset Register</li> </ul>	Feb 2020	Review assets annually or after any reported damage/vandalism
9	Damage or loss to <b>Play Park</b> from vandalism or poor maintenance	3	3	9	<ul style="list-style-type: none"> <li>Insurance and its annual review</li> <li>Annual review of assets identified in Council's Asset Register</li> <li>Quarterly and annual inspections</li> </ul>	Feb 2020	Quarterly and annual inspections take place
10	Damage to third party property or individuals resulting from the Council providing services or amenities to the public	3	5	15	<ul style="list-style-type: none"> <li>Insurance - public liability cover of £10,000,000</li> <li>Councillors are required to ensure that any service, product or amenity the Parish Council supplies to the public is in accordance with the requirements of the Council's insurers</li> </ul>	Feb 2020	Strict adherence to guidelines

Number	Details	Prob	Imp	Overall Risk Rating	Managed by...	Review Date	Action Taken
11	Liability claims against assets owned by the Council	3	2	6	<ul style="list-style-type: none"> <li>Insurance - public liability cover of £10,000,000</li> </ul>	Feb 2020	Strict adherence to guidelines
12	Libel and Slander	1	1	1	<ul style="list-style-type: none"> <li>Insurance – however Councillors must take appropriate steps to ensure they act in line with the Suffolk Code of Conduct</li> </ul>	Feb 2020	Strict adherence to guidelines
13	Business activities are outside the legal powers applicable to local Councils	2	2	4	<ul style="list-style-type: none"> <li>Appropriate training for the Clerk/RFO</li> <li>Retained membership of SALC</li> <li>Councillors to ensure that when approving payments each payment is confirmed by an appropriate statutory power</li> <li>Council adopted General Power of Competence in May 2019</li> </ul>	Feb 2020	Strict adherence to guidelines
14	Failure to meet the regulations of employment law and IR protocols	1	2	2	<ul style="list-style-type: none"> <li>Appropriate training for the Clerk/RFO</li> <li>Retained membership of SALC</li> </ul>	Feb 2020	Strict adherence to guidelines
15	Register of Members interests, gifts and hospitality being incomplete, inaccurate or out of date	1	1	1	<ul style="list-style-type: none"> <li>Appropriate training for all</li> <li>Councillors to read and understand guidance from SALC on member's interests, gifts and hospitality</li> <li>Councillors to attend training at least every 4 years</li> <li>Annual reminder to Councillors each May</li> </ul>	Feb 2020	Strict adherence to guidelines

Number	Details	Prob	Imp	Overall Risk Rating	Managed by...	Review Date	Action Taken
16	Under performance of third parties supplying goods or services to the Council (such as partnership agreements)	2	2	4	<ul style="list-style-type: none"> <li>Ensuring appropriate agreements are in place</li> <li>Having a Service Level Agreement (SLA) or other performance criteria in place</li> <li>Regular review / assessment of performance</li> <li>Swift action at earliest sign of under performance</li> <li>Agreement that performance has met criteria prior to payment (if appropriate)</li> </ul>	Feb 2020	Strict adherence to guidelines
17	Incorrect use of Section 137 of the Local Government Act 1972	1	1	1	<ul style="list-style-type: none"> <li>Appropriate training for Councillors and Clerk</li> <li>Councillors to ensure that when approving payments each payment is confirmed by an appropriate statutory power</li> <li>Assignment of statutory powers to each payment in the accounts</li> <li>Use of S137 reduced as more appropriate powers used</li> <li>Council declared the Power of Competence in May 2019</li> </ul>	Feb 2020	Strict adherence to guidelines
18	Multiple Freedom of Information Act requests	1	3	3	<ul style="list-style-type: none"> <li>Policy for dealing with 'Freedom of Information Act' requests exists</li> </ul>	Feb 2020	Strict adherence to guidelines

Number	Details	Prob	Imp	Overall Risk Rating	Managed by...	Review Date	Action Taken
19	Preservation of records and documents	1	2	2	<ul style="list-style-type: none"> <li>All important Parish Council documentation held cupboard at Hollesley Village Hall (Padlocked)</li> <li>Clerk to keep electronic records of all Parish Council business and to back up once a month to memory stick (to be held offsite)</li> <li>Annual check to see if use of cloud storage is appropriate</li> </ul>	Feb 2020	Strict adherence to guidelines
20	Issues when SID is moved and/or battery is changed	2	4	8	<ul style="list-style-type: none"> <li>Training for all SID operators</li> <li>Yellow fluorescent jackets can be provided</li> <li>SID to be relocated as per the SCC Guidelines</li> </ul>	Feb 2020	Strict adherence to guidelines
21	Lids heavy on troughs at Allotments	1	4	4	<ul style="list-style-type: none"> <li>Warning provided to all allotment holders</li> <li>Clips provided for lid to be secured in place</li> </ul>	Feb 2020	Strict adherence to guidelines
22	Path through Allotments	3	3	9	<ul style="list-style-type: none"> <li>Signs put up in Feb 2018</li> <li>Path partially resurfaced (February 2019)</li> </ul>	Feb 2020	Insurance company contacted for advice
23	Abuse towards volunteers on Speedwatch	3	2	6	<ul style="list-style-type: none"> <li>Appropriate training</li> <li>Three adults in attendance at each session</li> </ul>	Feb 2020	Strict adherence to guidelines
24	Unauthorised speaking on behalf of the Council	3	3	9	<ul style="list-style-type: none"> <li>Training</li> <li>Annual reminder of the Suffolk Code of Conduct</li> <li>Cllrs. Advised to make any personal comments very clear</li> </ul>	Feb 2020	Strict adherence to guidelines

Number	Details	Prob	Imp	Overall Risk Rating	Managed by...	Review Date	Action Taken
25	Defibrillator not in working order	2	5	10	<ul style="list-style-type: none"> <li>Annual check by Clerk and a monthly check by a Councillor</li> <li>Accessories purchased in advance</li> </ul>	Feb 2020	<ul style="list-style-type: none"> <li>Cllr. Langdon to arrange monthly inspections and recording</li> </ul>
26	Incident when volunteers are undertaking highways maintenance (e.g. sign cleaning)	3	5	15	<ul style="list-style-type: none"> <li>Appropriate safety equipment to be available (warning signs, high vis jackets, cones, etc.)</li> <li>Guidance from SCC Highways followed (should be available late 2019)</li> </ul>	Feb 2020	<ul style="list-style-type: none"> <li>Strict adherence to guidelines</li> <li>Guidelines/Policy to be drawn up and signed by each Volunteer</li> </ul>
27	Cemetery – All records kept on a shelf in Clerk’s House are at risk of fire or water damage	3	5	15	<ul style="list-style-type: none"> <li>All records are duplicated in electronic form</li> </ul>	Feb 2020	<ul style="list-style-type: none"> <li>HPC currently investigating requirements for keeping paper records and other options – To be resolved by 31<sup>st</sup> August 2020</li> </ul>
28	Cemetery – Accurate Plan of position of Graves is not held and therefore there is a risk that graves may be disturbed	2	5	10	<ul style="list-style-type: none"> <li>Majority of graves have headstones</li> <li>Records are good and up to date</li> </ul>	Feb 2020	<ul style="list-style-type: none"> <li>HPC currently investigating requirements for establishing a formal plan – To be resolved by 31<sup>st</sup> August 2020</li> </ul>

Adopted by Hollesley Parish Council at a meeting on: 20<sup>th</sup> February 2020

Signed:

Mrs Judi Hallett  
Clerk

Mrs Hazel Hughes  
Chair