FULFORD PARISH COUNCIL
RISK STRATEGY

1. Introduction

Fulford Parish Council carries out of its risks assessments Local Government Act 1972 (S101). The risk assessment is normally carried out in October each year. The current form of the risk assessment is a policy document identifying how the Council will deal with each type of risk, but risks are scored for likelihood and impact, making it more difficult for the Council to ensure that it is focussing its attention on managing the most important risk.

Full Council must specifically review, and minute the review, of the risk assessment.

2. Risk Management Strategy

Fulford Parish Council is committed to identifying and managing risks, using the following procedures, and to ensuring that risks are maintained at an acceptable level. The Council will take any action that is deemed necessary.

The Clerk reviews risks on a regular basis, including any newly identified risks, and will report on such matters to the Council. The review will include identification of any unacceptable levels of risk.

The Guidance on Governance and Accountability for Local Councils in England (published by the Joint Practitioners' Advisory Group) makes the following observations regarding risk management:
• Risk management is not just about financial management: it is about ensuring the achievement of objectives set by the council to deliver high quality public services; and
• The local council audit approach seeks to encourage local councils to address these issues by placing emphasis on the need to keep under review and, if need be, to strengthen their own corporate governance arrangements, thereby improving their stewardship of public funds and providing positive and continuing assurance to taxpayers.

Members are ultimately responsible for risk management because risks threaten the achievement of policy objectives. Therefore, each year Members should:
• take steps to identify and update their record of key risks facing the Council;
• evaluate the potential consequences to the Council if an event identified as a risk takes place (in terms of likelihood and impact);
• decide upon appropriate measures to avoid, reduce or control the risk or its consequences; and
• record any conclusions or decisions reached.

3. Assessment of Risk

Each risk will be assessed in terms of its likelihood and impact on the Council.

Likelihood

Likelihood	Probability	Possible Indicators	
4	Almost Certain	> 90%	Frequent occurrence
3	Likely	> 60%	Regular occurrence
2	Possible	> 10%	Occasional occurrence
1	Unlikely	< 10%	Has never occurred

Impact

Risk Threat		
4	Major	Financial Impact > £500,000 Fatality/disabling injuries to public or staff / adverse national media attention / external intervention / total service disruption / extensive legal action against the Council
3	Serious	Financial Impact > £250,000 Adverse local media attention / extensive public complaints / adverse comments by regulators or auditors / significant service disruption / failure to deliver projects or targets / service disruptions / injuries to public or staff / legal action against the Council
2	Significant	Financial Impact > £50,000 Adverse service users complaints / service disruption / minor injuries and near misses to staff and public
1	Minor	Financial impact less than £5,000 / isolated complaints / minor service disruption

4. Risk Matrix



The key risks for the Council are assessed for impact and likelihood (using the criteria listed above); so that risks are identified as low, medium or high.
Controls are then identified in order to mitigate the risk. It is anticipated that the risk will be reviewed annually unless there is a change in intelligence. The table also assigns responsibility to the Clerk and the Council.

5. Risk Register

ASSETS

Ref	Risk	Impact	Likelihood	Level	Controls	Review	Responsibility
	Protection of physical assets	3	2	Medium	Asset Register updated annually, with any changes through additions and disposals updated on an ad hoc basis. This is presented to Council annually with Annual Accounts. Regular inspection of properties under the Council's direct management. Maintenance of buildings, sites and equipment is undertaken on a planned and responsive basis. Playground equipment is checked and maintained. Insurance cover is reviewed annually, with any changes through additions and disposals updated on an ad hoc basis.	Oct 25	Clerk/Council
2	Security for vulnerable buildings, amenities or equipment	3	2	Medium	Appropriate security devices are fitted to all of the Council's buildings and CCTV. Designated staff are responsible for the security of these buildings. In the event of any breaches of security, appropriate measures are taken as soon as practicable to re-secure the property. Crime reports are obtained for all breaches of security by contacting Staffordshire Police.	Oct 25	Clerk/Council

3	Maintenance for vulnerable buildings, amenities or equipment.	3	2	Medium	All premises are maintained within the approved budget. Maintenance is undertaken in-house where possible, and external contractors are used as required.	Oct 25	Clerk/Council
4	Provision of amenities/facilities for local community groups	3	2	Medium	The council has approved the hire of Meir Heath and Rough Close and Fulford Village Halls on a charge basis. Conditions relating to the use of these premises have been adopted by the Council.	Oct 25	Clerk/Council

FINANCE

5	Banking arrangements	3	1	Low	Reviewed periodically by full council. All cheques require three Members' signatures. Signatories review all payments and income.	Oct 25	Clerk/ Signatories/ Full Council
6	Loss of cash through theft and dishonesty	1	1	Low	Fidelity Guarantee covers employees and members	Oct 25	Clerk/Full Council
7	Financial controls and records	3	1	Medium	Financial Regulations in place. Internal and External audit.	Oct 25	Clerk/Full Council
8	Comply with HMRC Regulations	2	1	Low	VAT payments and claims are calculated by the Finance Officer and checked by Council. Internal and external auditors to provide assurance.	Oct 25	Clerk/Full Council

9	Sound budgeting to underlie annual precept	3	2	Medium	Working party to go through budgets in detail. All Committees consulted. Expenditure against the budget is reported to Policy, Full Council reviews regularly.	Oct 25	Clerk/Full Council
10	Complying with borrowing restrictions	1	1	Low	No new borrowing likely at present.	Oct 25	Clerk/Full Council
11	Ensuring robustness of insurance providers	4	1	Low	Regular checks are carried out to ensure that the company is sufficiently robust.	Oct 25	Clerk/Council
12	Clear statement of management responsibility for each service	2	1	Low	No delegated responsibilities for their own budget.	Oct 25	Clerk/Council

PROCUREMENT

13	Awarding of contracts for services and the purchase of capital equipment	4	1	Low	The Council has adopted Standing Orders that govern the awarding of contracts.	Oct 25	Clerk/Council
14	Professional services and contractors	3	1	Low	The Council endeavours to ensure that, wherever possible, it has the opportunity to select (from several) the provider of any professional services it requires. Where necessary, all prospective contractors are required to provide references of other originations for which	Oct 25	Clerk/Council

					they have recently undertaken similar work.		

LIABILITY

15	Risk of damage to third party property or individuals/Legal liability	3	2	Medium	Public Liability Insurance covering personal accident liability for employees and members. Open spaces are checked regularly. Risk assessments of individual events such as Christmas lights carried out as necessary.	Oct 25	Clerk/Council
16	Legal liability as consequence of assets ownership (especially playgrounds)	4	2	Medium	Insurance in place. Regular inspection of properties under the Council's direct management. Maintenance of buildings, sites and equipment is undertaken on a planned and responsive basis. Playground equipment is checked and maintained by ROSPA qualified contractor.	Oct 25	Clerk/Council

EMPLOYER LIABILITY

17	Comply with Employment Law	2	2	Low	SLCC/NALC guidance.	Oct 25	Clerk/Council
18	Comply with Inland Revenue requirements	2	1	Low	Internal and External auditor carry out checks.	Oct 25	Clerk/Council
19	Safety of staff and visitors	2	1	Low	Visitors book to sign in and out. Regular risk assessments.	Oct 25	Clerk/Council

20	Maintenance Operative Safety	2	2	Low	Lone working policy that all staff members are aware of. Key duties risk assessed.	Oct 25	Clerk/Council

STAFFING

21	Staff Cover	3	2	Medium	All key duties can be covered. Annual Leave is co-ordinated as the office will no the covered.	Oct 25	Clerk/Council
22	Staff Retention	2	1	Medium	A learning and development organisation.	Oct 25	Clerk/Council

LEGAL LIABILITY

23	Ensuring activities are within legal powers	3	1	Low	Clerk to clarify legal position of any new proposal and seek legal advice where necessary.	Oct 25	Clerk/Council
24	Proper timely reporting via the minutes	1	1	Low	Council meets once a month. Minutes are distributed in a timely fashion and approved and signed at the following meeting. Minutes are made available to the press and public.	Oct 25	Clerk/Council
25	Proper document control	2	1	Low	Land and buildings registered at the Land Registry. Comprehensive filing system holding all relevant documents. Use of a fireproof cabinet where relevant. Document Retention Policy	Oct 25	Clerk/Council

COUNCIL PROPERTY

26	Register of interests and gifts and hospitality in place	2	2	Low	Register of interest completed annually and amended throughout year as necessary. Gifts and hospitality register. Declarations of interests made when appropriate at all meetings.	Oct 25	Clerk/Council

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