

NAILSEA TOWN COUNCIL: RISK ASSESSMENT PLAN 2016-17

Reviewed by the Risk Assessment and Asset Management working party December 2015

Risk Category	Subject	Nature of risk	Mitigation	How is risk managed?	Likelihood	Impact	Risk rating after mitigation	Review date
Governance and reputational risks	Are policies and procedures fit for purpose?	Public challenge. Breach of statutory responsibility.	Annual review of Standing Orders and Financial Regulations at Policy Committee. Bi-annual review of other policies. Advice received from NALC and SLCC re changes to legislation/regulation/best practice. Ellis Whittam appointed as advisers for 3 years from 2014 for HR and health and safety.	in-house	unlikely	minor	6	Annual
	Code of Conduct, declarations of interests and dispensations	Reputational risk. Potential challenge to a resolution and the need to change a decision. Financial liability/impact.	Record of declarations of interest taken at each meeting. Code of Conduct rules reviewed regularly. Peer knowledge of other cllrs.	in-house	unlikely	moderate	9	Annual
	Meeting statutory 'conduct of business' requirements	Failure would make council ultra vires.	Employ qualified Clerk. Staff development. Quality Council accreditation. Membership of ALCA, NALC and SLCC.	in-house	unlikely	minor	6	Annual
	Over zealous risk management	Culture of no activity unless risk-free.	Focus on being risk aware not risk averse.	in-house	remote	moderate	6	on-going
	Quality Council Award.	Not meeting the requirements for Quality Council status.	Decision in 2015 to apply for new award scheme in 2016. New committee structure in place to meet some criteria. Clerk to monitor requirements are being met and make recommendations for improvement/change to TC.	in-house	possible	moderate	12	Annual
	Recording council resolutions	Public challenge. Unintended consequences from lack of clarity.	Draft minutes published within 2 weeks of meetings. Committees and Town Council approve minutes for accuracy. Staff attention to detail with the wording of minutes.	in-house	unlikely	moderate	9	Annual
	Third party suppliers	Reputational risk of using suppliers who get adverse publicity.	Ensuring good quality specification for goods and services. References may be obtained before appointing suppliers.	in-house	unlikely	minor	6	Annual
Operational risks	Bus shelters	Structural failure or damage presents risk to the public.	3-monthly cleaning: contractor highlights any issues. Feedback from the public. Repairs by NSC contractor.	3rd party	unlikely	moderate	9	Bi-monthly
	CCTV cameras	Failure to record or identify an incident.	Regular maintenance and liaison with NSC and Police. Support for the Shopwatch system.	3rd party	probable	minor	10	Annual
	Christmas lights	Risk to the public of lights falling or catching fire.	Installation by company with expertise and regular monitoring, especially by members of the public. Annual PAT testing of lights.	3rd party	unlikely	moderate	9	Annual

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	Allotment sites (Engine Lane and Whitesfield Road)	Major risk of trespass e.g. Travellers, fire or other risk to health.	Gate kept locked. Allotment reps inspect and report to TC. Communication with allotment holders. Expert advice sought if required. Allotment working party (inc reps, cllrs and staff) monitors.	in-house	unlikely	major	12	Quarterly
		Minor risk of trespass e.g. anti-social behaviour.	Allotment reps inspect and report to TC. Communication with allotment holders. Expert advice sought if required.	in-house	possible	moderate	12	Quarterly
		Safety of stone walls.	Allotment reps inspect and report to TC. Communication with allotment holders. Expert advice sought if required.	all 3	unlikely	moderate	9	Quarterly
		Safety of trees.	Allotment reps inspect and report to TC. Communication with allotment holders. Expert advice sought if required. 3-yearly full risk assessment of trees.	all 3	unlikely	major	12	Quarterly
		Water supply disruption.	Allotment reps inspect and report to TC. Communication with allotment holders. Expert advice sought if required.	3rd party	unlikely	minor	6	Quarterly
	Contractors supplying goods and services	Poor performance.	Ensuring good quality specification. Regular monitoring of performance, either by TC or appointed consultants.	in-house	unlikely	moderate	12	on-going
	Data and records	Total loss of electronic data.	All electronic records backed up daily.	in-house	unlikely	major	12	on-going
		Total loss of hard copy record e.g. fire.	All key records kept in a fireproof safe. Where possible keep electronic copy. For essential documents keep copy offsite.	in-house	unlikely	major	12	Annual
		Total loss of hard copy record at Taunton archive e.g. fire.	All papers for meetings are scanned and stored electronically. Loss of the archive docs would not have an operational impact.	3rd party	unlikely	moderate	9	n/a
	Data Protection Act	Non-compliance with legal requirements.	Employ qualified Clerk. Advice received from NALC and SLCC re changes to legislation/regulation/best practice. Staff training.	in-house	unlikely	major	12	Annual

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	Engine Lane (leased to N&BRFC)	Major risk of trespass e.g. Travellers, fire or other risk to health.	Rugby Club manages site. Gate kept locked.	in-house	unlikely	major	12	Annual
	Gaulacre	Major risk of trespass e.g. Travellers, fire or other risk to health.	Gate kept locked. Residents will notify TC if they have concerns.	in-house	unlikely	major	12	Annual
	Glassblower statue	Risk of theft.	Statue embedded in its base. Loss covered by insurance.	insurance	possible	minor	8	on-going
	Golden Valley Bridleway	Risk of trespass.	Regular inspection of area. Feedback from residents.	in-house	unlikely	minor	6	on-going
		Safety of trees.	Reports from residents. 3-yearly full risk assessment of trees.	insurance	unlikely	major	12	Annual
	Grove Playing Field	Structural problems with Sports Club building (not owned by TC but on land leased to NPFA).	Regular inspection of area and recording of condition. Sports and Social Club long-term plan. NPFA and Social Club have limited resources.	3rd party	possible	major	16	Annual
		Risk of flooding.	Installation of prevention measures in 2012 and regular maintenance of drainage. Heavy rainfall 2013/14 showed effectiveness of prevention measure: risk category reduced.	3rd party	unlikely	major	12	Annual
		Risk of trespass.	Regular usage of the area is a deterrent. Entrance gate can be locked.	3rd party	unlikely	major	9	on-going
	Hanging baskets	Risk of injury to public.	Inspect baskets for wear and tear at start of each season. Use reputable supplier. (See hanging basket poles).	3rd party	unlikely	major	12	Annual
	Hanging basket poles	Structural safety.	Inspect poles for wear and tear. Reports by the public of damage. Structural test routinely no less than every 3 years and additionally if concerns are raised e.g. following damage by a vehicle.	3rd party	possible	major	16	Annual
	Hannah More Park and Play area	Safety of play equipment.	Regular inspection by Handyman. NSC Rangers provide back-up. Annual inspection by approved contractor.	3rd party	unlikely	major	12	Weekly

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	Hannah More Park and Play area	Risk of trespass.	None. The area cannot be secured.	3rd party	unlikely	major	12	n/a
	Hannah More Park and Play area	Safety of trees.	Reports from residents. 3-yearly full risk assessment of trees.	3rd party	unlikely	major	12	n/a
	Lamp posts	Fatigue and failure.	Regular inspection. Feedback from residents.	3rd party	remote	major	8	Annual
	Markets	Are the canopies safe?	Contractor responsible for erecting in accordance with manufacturer's recommendations. Any damage reported to Markets' Manager. Public liability insurance in place.	3rd party	unlikely	moderate	9	Monthly
		Are stall-holders insured? i.e. avoiding risk of potential claim against Town Council.	Check insurance certificates and record expiry date. Refuse to allow non-insured stall-holder to attend market.	in-house	unlikely	minor	6	Annual
		Is market location safe?	Liaise with Town Centre company. Risk assessment carried out.	all 3	unlikely	major	12	Annual
	Tithe Barn	Destruction of Tithe Barn leading to loss of income.	Fire detection systems installed and maintained. Policy forbidding hirers from using flammable materials.	all 3	unlikely	major	12	Annual
		Loss of Council office and meeting rooms.	Hire replacement facilities within Nailsea. Measures taken to protect building.	all 3	unlikely	moderate	9	n/a
		Risk of major fire.	Smoke alarms tested weekly; fire extinguishers tested annually. Annual test of systems by approved contractor. Policy forbidding hirers from using flammable material.	all 3	possible	extreme	20	Weekly / Annual
		Is the building secure from intruders?	All entry points lockable. Alarm set whenever building is empty.	in-house	unlikely	major	12	Daily
		Is the building structurally sound?	Daily use ensures issues are identified. Concerns would be addressed by using specialist firms. CONSIDERATION OF REGULAR STRUCTURAL SURVEY.	in-house	unlikely	major	12	Annual

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		Are electrics and electrical equipment safe?	Annual PAT testing by suitably qualified contractor. Equipment purchased from reputable suppliers.	3rd party	unlikely	major	12	Annual
		Is boiler and gas supply safe?	Annual testing by suitably qualified contractor.	3rd party	unlikely	major	12	Annual
		Risks to hirers.	Employing good practice in building management. Information provided to hirers on health and safety.	in-house	unlikely	moderate	9	
	Spilsbury Wood	Illegal occupation.	Tree risk assessments by qualified contractor. Feedback from residents. 3-yearly full risk assessment of trees.	in-house	unlikely	major	12	on-going
		Destructive event e.g. flooding.	None.	in-house	possible	minor	8	n/a
		Impact on neighbours e.g. fallen tree, contamination.	Regular inspection of area. Tree assessments by qualified contractor.	in-house	unlikely	major	12	Quarterly
	Village Green	Safety of tree.	Regular inspection by approved contractor. 3-yearly full risk assessment of trees.	in-house	unlikely	moderate	8	Annual
Financial risks	Bank collapse	Loss of funds.	Regular review. Keeping funds in low risk financial vehicles.	in-house	remote	major	12	on-going
see internal auditor's 'Audit Report and Risk Assessment'	Budgeting	Cash flow problems.	Monitor income timing. Use reserves to overcome any gaps.	in-house	unlikely	moderate	9	Monthly
		Excessive level of borrowing costs.	Town Council decision to take out loan based on affordability. Fixed interest rates i.e. annual repayment amount fixed.	in-house	remote	moderate	6	Annual
		Pension commitments.	Precept set for known requirements. Annual review of staff salaries.	in-house	remote	minor	4	Annual

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		Risk of incorrect income forecast, including precept.	Committee interrogation of annual costs. Budget approved by Town Council. Reserves adequate to meet shortfall. General Reserves set at 3-4 months.	in-house	unlikely	minor	6	Annual
		Risk of significant overspend.	Monitoring procedures in place to control and report on all spending. Utilise General Reserves. Reduce other expenditure. Increase Precept.	in-house	unlikely	major	9	Monthly
		Withholding of central funding by NSC or government.	Ensure reserves are adequate. Use precept to fill shortfall. Cut costs.	in-house	possible	minor	8	Annual
	Capital projects	Risk of financial overcommitment and cost overruns.	Council appoint working groups to monitor professional consultants. Check on programme and expenditure. Employ suitably qualified Clerk.	in-house	unlikely	major	12	as required
		Risk of poor performance by contractors.	Council appoint working groups to monitor contractor's performance. In appropriate circumstances appoint a Project Manager. Day to day services managed by Town Clerk.	in-house	unlikely	major	12	as required
	Fraud	Council funds depleted.	Expenditure monitored by committees. 3 cheque signatories. Independent internal and external audit carried out.	all 3	unlikely	major	12	on-going
	Grove Sports and Social Club	Financial failure of Sports and Social Club.	Report by NPFA Chair at Leisure Facilities meetings. No TC liability for Club debts. Key financial risk is if the building becomes a TC liability.	3rd party	possible	major	16	on-going
	Investment Account major losses	Loss of funds.	Regular review of financial investments. Spread risk.	in-house	unlikely	major	12	Annual
	Insurance	Is insurance cover adequate?	Professional advice sought and implemented. Market testing of insurance providers.	all 3	unlikely	major	9	Annual
	Purchasing of goods and services	Not suitable for use and/or overpriced.	Council procedures in place requiring competitive quotations and expert advice sought where necessary.	in-house	unlikely	moderate	9	on-going
	Reserves	Inadequate or excessive reserves.	Requirement for reserves reviewed by Town Council annually. General Reserves set at 3-4 months. All other reserves are specified.	in-house	unlikely	major	6	Annual

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	Tithe Barn income and expenditure	Cost of running Tithe Barn exceeds income.	Income and expenditure monitored monthly and future income stream reviewed annually. Reserves, increased hire charges or precept used to fill gap.	in-house	possible	minor	8	Monthly
	VAT	Incorrect accounting for VAT liability.	Staff training. Internal audit. Transaction sums are relatively small.	3rd party	possible	minor	8	Annual
Legal and regulatory risks	Promotion of disability equality	Do buildings, land and facilities meet requirements of disability equality legislation?	Creation of Accessibility working party. Implement the policy on the promotion of disability equality in each area of activity. Advice received from NALC and SLCC re changes to legislation/regulation/best practice.	in-house	possible	minor	8	Annual
	Staff	Are employment practices fair and reasonable?	Advice received from NALC and SLCC re changes to legislation/regulation/best practice. Employ professional Clerk. Oversight by cllrs through Staffing Sub-Committee (reports to Policy Committee). Support available from Ellis Whittam and SW Councils. Feedback from annual staff performance review.	in-house	unlikely	minor	6	Annual
		Is the working environment safe for office staff?	Staff training in health and safety. Ensure appropriate specification for equipment and furniture purchases.	in-house	unlikely	moderate	9	Annual
		Is the working environment safe for caretaking staff?	Staff training in health and safety. Ensure appropriate specification for equipment purchases. 'Door Safe' staff used at events.	all 3	unlikely	moderate	9	Annual
		Loss of key staff.	Role sharing during sickness and holiday avoids dependency on one employee for any activity. Annual performance review. Fair employment conditions. Flexible working. Efficient recruitment process. Succession planning.	in-house	possible	moderate	12	on-going
		Risk of employment dispute, claim for injury, stress, harassment, unfair/constructive dismissal.	Use appropriate terms and conditions of employment. Performance review process. Awareness by cllrs of potential problems among staff. Support available from Ellis Whittam and NALC.	in-house	unlikely	major	12	on-going
		Requirements of equal opportunities and diversity legislation.	Employment of qualified Clerk. Advice received from NALC and SLCC re changes to legislation/regulation/best practice.	in-house	remote	minor	2	Annual