



ALCESTER TOWN COUNCIL

RISK ASSESSMENT AND MANAGEMENT

MARCH 2023

Area	Risk	Level	Control <i>(and agreed improvements shown in bold type)</i>
Assets	Protection of physical assets	M	<ul style="list-style-type: none"> • Buildings and other assets insured. • Asset register maintained. • ATC's insurance reviewed in detail in June 2021 when new insurance policy with Aviva was taken out. • Insurance value increased annually by RPI. • Insurance cover reviewed at least annually. • The Greig Hall is insured by Stratford-on-Avon DC under the lease. • Contents at the Greig Hall transferred to the CIO and insured by the CIO. • Greig Hall CIO to provide a copy of public liability insurance for the Greig Hall • Buildings and other assets checked regularly by staff and councillors. • Repairs carried out promptly when required. • CCTV installed at the EPCC. • Management plan produced for ongoing maintenance at the EPCC. • Specific risk assessment prepared for the EPCC. • Risk assessment carried out for Legionella at EPCC. • Regular water temperature checks carried out and recorded. • Weekly checklist for grounds staff in place re cemetery <p>Specific risk assessments to be prepared for</p> <ol style="list-style-type: none"> 1. Cemetery 2. Allotments 3. Open Spaces
	Maintenance of playground equipment	M	<ul style="list-style-type: none"> • Annual playground inspection by ROSPA. • Operational inspection carried out by independent company twice a year. • Office Administrator keeps schedule of minor repair work which is completed promptly. • Groundsmen have had playground inspection training and make frequent visual inspections. • Register of weekly playground inspections is maintained.

			<ul style="list-style-type: none"> Town Clerk and Office Administrator have also attended playground inspection training. <p>Playground reports to be sent to Lead Councillor for play areas.</p> <p>Independent playground inspector due to retire in 2023 – replacement to be identified.</p>
	Vehicles/Machinery	H	<ul style="list-style-type: none"> Vehicles and machinery checked daily by Groundsmen. Servicing and repairs undertaken as required. New van purchased in 2018-19 - van has annual MOT and servicing. Staff training on manual handling & First Aid. Separate risk assessments agreed with grounds staff for use of machinery in January 2021. <p>Review use of machinery risk assessment</p> <p>Look at options for replacing van</p>

Finance	Banking	M	<ul style="list-style-type: none"> • F & GP Committee reviewed Financial Regulations against NALC recommended version in February 2023 – no amendments required. • Accounts held with a high street bank. • Statements received monthly. • Bank reconciliation prepared monthly by Clerk and presented to F & GP Committee quarterly. • Councillor (who is not a bank signatory) appointed to check bank reconciliation. • Investment Strategy agreed and funds invested in the Public Sector Deposit Fund. • Funds held with high street bank are protected by the Financial Services Compensation Scheme up to £85,000. • Cash received paid into bank promptly. <p>Consideration to be given to further diversification of investments when Investment Strategy reviewed in June 2023.</p> <p>Bank mandate signatories to be reviewed after election.</p> <p>Councillor appointed to check bank reconciliation after election.</p>
	Financial controls and records	M	<ul style="list-style-type: none"> • The Council has Financial Regulations which set out requirements. • Invoices are checked by Clerk and authorised for payment by two councillors. This is done by email. • Most payments are made by BACS transfer. • New payee details are required in writing. • Cheque book is stored safely. • Three signatures (two councillors plus Clerk) required for cheques. • Debit card is used by Town Clerk for items under £500. • All BACS payments reported monthly to Full Council. • Internal and external audit • Bank mandate reviewed annually.

			<ul style="list-style-type: none"> • Monthly management accounts presented to F & GP Committee by Clerk. • Management accounts presented quarterly to Full Council. • Financial software used for accounts. • Key man insurance taken out as part of insurance policy. • Arrangements agreed with Mayor to cover unexpected absence of Town Clerk to enable salaries to be paid. <p>Business Contingency Plan to be agreed.</p>
	Comply with HMRC Regulations	L	<ul style="list-style-type: none"> • Use help line when necessary. • VAT claim made quarterly by Clerk in accordance with Making Tax Digital. • Internal and external auditor to provide double check.
	Sound budgeting to underlie annual precept	M	<ul style="list-style-type: none"> • Town Council prepares detailed budgets in the late autumn. Precept derived directly from this. • Committees are involved in forward budget planning. • Earmarked reserves are reviewed at year end to establish whether they are still required. • If PWLB loans are required for particular projects, a business plan will be prepared to budget for repayments. <p>Budget forward planning for next 3 years to be introduced</p>
Liability	Risk to third party, property or individuals	M	<ul style="list-style-type: none"> • Insurance in place including public liability and employers liability. • Greig Hall CIO has public liability insurance for the Greig Hall. • Open spaces checked regularly. • Trees investigated when damage reported. • Tree inspection of all ATC trees (including those at the Greig Hall) was undertaken in February 2023 and will be repeated every three years. • Tree inspection undertaken on roadside trees in the

			<p>Cemetery in 2021 and schedule of work identified.</p> <ul style="list-style-type: none"> • Advice sought on tree maintenance when required. • Separate risk assessment carried out for each Health and Wellbeing project. <p>Review risk assessments for Youth Club and Crafty Lunch Club</p> <p>Review eligibility for General Power of Competence after May 2023 elections</p>
	Legal liability as consequence of asset ownership	M	<ul style="list-style-type: none"> • Frequent checks by Groundsmen of all Town Council owned land. • Public liability insurance in place. • Greig Hall CIO has taken out public liability insurance. • Risk assessment of individual events are undertaken. • All services are risk assessed when reopened. • Clerk has undertaken training in risk assessment. • New equipment added to insurance policy when acquired. • Written records of ROSPA playground inspections kept. • Cemetery rules and regulations in place. • Weekly playground checks by grounds staff are recorded. • Five yearly memorial inspection is carried out and recorded. • Terms and conditions of hire of the EPCC reviewed in September 2021. • Office Administrator has undertaken training in Cemetery management. <p>Cemetery regulations to be reviewed in 2023.</p> <p>Five yearly memorial inspection due in 2023 – public have been notified in newsletter.</p> <p>Monthly allotment checks to be implemented by grounds staff.</p> <p>Lead Councillors for Open Spaces and Footpaths to carry out regular checks and report any issues to the office.</p>

Employer Liability	Comply with Employment Law	M	<ul style="list-style-type: none"> • Membership of SLCC and WALC. • Advice sought when needed. • Contracts for office staff reviewed and updated. • Contracts of employment for manual staff reviewed and updated. • Annual appraisals undertaken. • Grievance and Disciplinary policies updated in October 2021 in accordance with WALC guidance. <p>Grievance and Disciplinary Policies due for review.</p> <p>Consider staff recruitment policy.</p>
	Comply with HMRC requirements	M	<ul style="list-style-type: none"> • Sage payroll software used for payroll services and Council has subscription to support services. • Internal and external auditor carry out annual checks. <p>Town Clerk to investigate outsourcing payroll.</p>
	Safety of staff and visitors	H	<ul style="list-style-type: none"> • Employees are given adequate direction and safety equipment to undertake their roles. • Staff training undertaken as required. • Office at Globe House is accessed via code entry door. • Clerk and Deputy Clerk have undertaken evacuation training for Globe House. • WCC have undertaken Fire Risk Assessment at Globe House. • Weekly fire alarm checks by WCC. • First aid & Fire Awareness training arranged for staff. • Health and Safety policy adopted. • COSHH training undertaken by grounds staff and Town Clerk. • Updated Health and Safety procedures implemented during pandemic to include remote working for all office staff. <p>COSHH training required for cleaner</p>
Legal Liability	Ensuring activities are within legal powers	H	<ul style="list-style-type: none"> • Clerk clarifies legal position on any new proposal.

			<ul style="list-style-type: none"> Legal advice to be sought where necessary.
	Proper and timely reporting via the Minutes	M	<ul style="list-style-type: none"> Full Council meets once a month and receives and approves Minutes of previous meeting. Planning and Finance and General Purposes Committees meet monthly in accordance with published schedule. Minutes made available to public on website. Agendas are posted on website and on notice boards.
	Proper document control	M	<ul style="list-style-type: none"> All records are stored securely at Globe House. Electronic records are backed up remotely. Land and buildings are registered at HM Land Registry. Other data storage complies with Data Protection Act. Entries in Register of Public Graves, Register of Burials, Grants of Exclusive Rights of Burial and minute Book all properly numbered and paginated. Historic documentation has all be sent to County Records office. <p>Ongoing review of data held in accordance with GDPR.</p>
Councillor propriety	Registers of Interests.	H	<ul style="list-style-type: none"> Register of interests completed and lodged with SDC as required. Link to this information is available via ATC website. Declaration of Interests is an agenda item for all meetings.
Training	Staff and councillors to be suitably trained	M	<ul style="list-style-type: none"> Clerk has completed CILCA qualification. Register of all training undertaken by staff and councillors is maintained. Budget item included for training.

Annual Risk Assessment approved by Finance and General Purposes Committee at its meeting on 28th February 2023.

Approved by Alcester Town Council at its meeting on 7th March 2023.