

RISK ASSESSMENT

**Tattenhall & District Parish Council
Annual Risk Assessment 2020**

SEVERITY X LIKELIHOOD = SAFETY FACTOR

Assessments:

15-25 High (H)
7-14 Medium (M)
1-6 Low (L)

Severity	Likelihood
1 No injury	1 Rare
2 Minor injury (no time lost)	2 Unlikely
3 Time lost up to 7 days	3 Probable
4 Time lost above 7 days	4 Very likely
5 Severe injury/death	5 Certainty

What is the Hazard?	Who is at risk?	Severity	Likelihood	Total	L M H	Existing Control Measures	What additional controls are required	Severity	Likelihood	Total	L M H
Insurance											
Protection of physical assets owned by the authority - loss or damage to buildings, furniture, equipment, etc.	PC ¹	3	2	6	L	T&DPC holds insurance with covering: - public liability (£10m), Employers' liability (£10m), money, fidelity, property loss or damage, officials' indemnity, libel and slander (£500k), personal accident and legal expenses Insurance policy is renewed annually and approved by the Council. New services and assets are reported to the insurance company and their guidance for best practice is followed. Council holding £100k reserves £45739, approx. 6 months running costs.	Equipment subject to inspection & kept in good condition. Risk Assessments obtained from contractors and prepared for events	2	2	4	L
Risk of damage to third party property or individuals as a consequence of the authority providing services or amenities to the public (public liability).	Public	5	2	10	M		Equipment subject to inspection & kept in good condition	3	2	6	L
The risk of consequential loss of income or the need to provide essential services following critical damage, loss or non-performance by a third party (consequential loss).	PC	3	2	6	L		Precept received Annually – 6 months working funds held.	2	1	2	L
Loss of cash through theft or dishonesty (fidelity guarantee).	PC	3	2	6	L		Access to cash/Banking limited – 4 Cheque signatories	3	1	3	L
Legal liability as a consequence of asset ownership (public liability).	PC	4	2	8	M		Equipment subject to inspection & kept in good condition. Risk Assessments	3	2	6	L

¹ PC = Parish Council

							obtained from contractors and prepared for events				
Finance											
Adequacy of precept	PC Public	4	2	8	M	Risks mitigated by sound budgeting, budget reviews, and sufficient revenue reserves. The Finance Working Group provides additional scrutiny.		2	2	4	L
Annual Governance & Accountability Return – not submitted correctly or within time limits	PC	3	2	6	L	Council employs an internal auditor to report at least annually. Clerk follows guidance and timetable of external auditor. AGAR signed by the Council and internal auditor. Existing procedures adequate.	Councillors to be made aware of Procedure & Dates for Return – i) Year End 31 st March ii) Publication of Rights – 30 days inc first 10 days July, iii) Council must approve return before the above. iv) Submission date varies annually.	3	1	3	L
Banking – inadequate checks or loss through theft or dishonesty	PC	4	2	8	M	The Council has Financial Regulations which set out the requirements for banking, cheques and the internal audit. No petty cash is held. A councillor inspects the bank statement/reconciliation each month. Full accounts and the Cashbook updated for each monthly meeting and are available for all councillors and the public to review. Payments are approved at each meeting. Regular (at least quarterly) bank reconciliations are brought to the meeting. Bank statements, the accounts file containing invoices, are brought to Council meetings for cross-checking.	Online payments are Max of £1k bank transfer to new recipients, payments above £1k require check payment	2	2	4	L
Grants – Applying for	PC	4	2	8	M	All applications to be approved by Council. Applications to follow set procedures. Advice to be obtained where possible.	Grants applications to be monitored against deadlines.	3	1	3	L

Grants & Donations – Payment of	PC	4	2	8	M	All grant applications to be made using PC application form. Grant applications to be considered by Full Council and agreed by resolution.	Payments made under General Power of Competence.	2	2	4	L
Payroll – breach of employment laws or regulations (NI, tax, pensions)	PC	3	2	6	L	The calculation of payroll and NEST pensions is outsourced to a specialist company to minimise risk.		2	1	2	L
VAT – errors in claiming or recharging	PC	3	2	6	L	Existing procedures adequate for current services. Clerk has access to advisory services. Vat identified on accounts and vat receipts.	VAT recorded in accounts to be checked by Internal Auditor	2	2	4	L
Contracts – inappropriate contracts entered into	PC	3	2	6	L	Three quotes are obtained. Standing Orders and Financial Regulations govern procedures for quotes, contracts and tenders. Contractors are required to submit risk assessments and public liability insurance certificates. Professional contractors are used for specialist services.		3	1	3	L
Purchase of Goods & Services	PC	3	2	6	L	All invoices to be checked by Clerk. Above regulations to be followed.					
Management & Internal Controls											
Loss to Council records - hardcopy	PC	3	2	6	L	Electronic copies of Agendas & Minutes retained. Completed Minutes Books placed in Cheshire Archives.		3	1	3	L
Loss to Council records - electronic	PC	3	2	6	L	Records regularly backed up to Cloud storage. T&DPC website acts as a backup for certain material. Paper copies of minutes retained (above)		2	1	3	L
Loss of service of employee	PC	3	2	6	L	Chairman to prioritise the most urgent work. Immediately advertise.	Annual appraisals of staff.	2	2	4	L
Legal powers – illegal activity and/or working parties taking decisions	PC	3	1	3	L	All activity and payments made within the powers of the Parish Council and to be resolved and minuted. General Power of Competence in place (confirmed May 2020). Working Groups to have clear terms of reference. Financial Regulations and	Advice provided by Clerk/RFO regrading illegal activity to be minuted.	2	1	2	L

						other recommended policies are in place. Councillors to received Training on roles and responsibilities.					
Councillors' interests – conflicts of interests and failure to disclosure disclosable pecuniary interests	PC	3	2	6	L	Meetings include agenda item to disclose interests. Register of Members Interests form – councillors take responsibility to update their register. Councillors to received training on Code of Conduct	Councillors who fail to follow procedures can be reported to CW&C Monitoring Officer	2	1	2	L
Councillors and staff – bringing Council into disrepute	PC	3	2	6	L	Councillors receive and understand Code of Conduct. Staff take professional approach to all Council matters. Councillors and staff responsible for identifying training needs and undertaking training. Complaints procedures in place.	Councillors who fail to follow procedures can be reported to CW&C Monitoring Officer	2	1	2	L
Legal changes – lack of awareness of legislation or regulation (or changes), leading to Council acting “ultra vires”	PC	3	2	6	L	Clerk attends industry forums as demonstrated by CPD points (12 required annually) and is a member of the Society of Local Council Clerks. Policies and regulations are reviewed regularly.	Clerk & Councillors to challenge actions when necessary – to be minuted	2	2	4	L
Reputational Damage	PC	3	3	9	M	Council to follow policies and procedures in place and ensure that it is acting legally. Policies and procedures to be regularly reviewed to ensure they are up to date and fit for purpose. Councillors to be fully aware of Code of Conduct & guided Nolan Principles including when on social media. Council to operate in open and transparent manner and to encouraged public participation and communication and to monitor public opinion.	Council & Councillors to act in transparent manner. Councillors attending meetings as Council Representatives require Council permission, reports to be provided to Council of such meetings.	3	2	6	L

						Risk of failure to deliver projects – it is noted the Council has a number of key projects, to ensure timely delivery of high standard projects the Council must prioritise projects and ensure there is sufficient capacity for them to be delivered.					
Assets											
Loss or damage to assets	PC Public	5	2	10	M	Up to date asset register maintained and reported to insurance company. Items are made safe and repaired as soon as possible and claims are dealt with promptly.	Equipment subject to inspection & kept in good condition	3	2	6	L
Playground – damage/vandalism and risk to public safety	PC Public	4	2	8	M	Playground inspected quarterly by professional company and weekly by trained councillors/clerk. Report findings acted on and remedial work done quickly. Incidents reported to police where appropriate.	Area monitored by residents, councillors & TCC Committee and concerns raised	3	2	6	L
Barnfield & Glebe Meadow	PC Public	4	2	4	L	Land owned by PC but managed by TWiG – currently no public access	Council to establish inspection routine inc. fencing	3	1	3	L
Spinney & Trees	PC Public	5	3	15	H	Trees subject to inspection every 2 nd year.	Council considering project to increase use of areas increasing public monitoring	5	2	10	M
Millennium Mile	PC Public	5	2	10	M	MM to be subject to regular inspection.	New posts due to ne installed 2020	3	1	3	L
Events											
Loss or damage to asset	PC Public	5	2	10	M	The Council now organises e number fo events. To mitigate risks to the Council the following actions are undertaken: Risk Assessment (detailed) produced for the event. Working Group including Clerk to establish to plan the event which reports back to the Full Council. Risk Assessments and insurance requested from companies providing services at the events. All electrical equipment PAT tested before event.	Council to formulate Handbook for events to help with organisation.	3	2	6	L

						<p>First aiders contracted for event as appropriate.</p> <p>Identified Marshals/Stewards at event.</p> <p>Review of event inc. lesson learned held recorded.</p>				
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Additional measures action plan:

Addition controls required	Action required	Person responsible	Target date	Date completed
RA to be checked by independent person	RA to be checked and documented as part of Internal Audit	Clerk/Internal Auditor	April/May 2020	
Inspection Schedule	Need an inspection schedule for all assets, telephone box, WC, Brook Road Field	Clerk	April 2020	
Council Approval Date: Review date:	4th May 2020			