

RISK ASSESSMENT

Tarporley Parish Council – Annual Risk Assessment 2023

Location: N/A

Approved by Council Resolution:

Date Completed:

Review Date: March 2023

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	TPC holds insurance 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 £50k reserves, level of reserves to be reviewed annually and has established asset renewal funding. Equipment subject to inspection & kept in good condition. Risk Assessments obtained from contractors and prepared for events. Precept received Annually – 6 months working funds held. Risk Assessments obtained from contractors and prepared for events Access to cash/Banking limited – 4 Cheque		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			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			2	1	2	L
Loss of cash through theft or dishonesty (fidelity guarantee).	PC	3	2	6	L			3	1	3	L
Legal liability as a consequence of asset ownership (public liability).	PC	4	2	8	M			3	2	6	L

¹ PC = Parish Council

						signatories					
Finance											
Adequacy of precept – not cover cost of financial year.	PC Public	4	2	8	M	Risks mitigated by sound budgeting, quarterly budget reviews, and sufficient revenue reserves. The Finance Working Group provides additional scrutiny.		2	2	4	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. The Council approves the bank statement/reconciliation each month and reports to the monthly meeting. An off-line check of invoices is carried out by two councillors twice yearly (September & March) Full accounts and the Cashbook updated for each meeting and are available for all councillors and the public to review. Payments are approved at each meeting.. The Finance Working Group provides additional scrutiny. Max of £1k bank transfer to new recipients, payments above £1k require check payment received.		2	2	4	L
Payroll – breach of employment laws or regulations (NI, tax, pensions)	PC	3	3	9	M	The calculation of payroll and NEST pensions is outsourced to a specialist company to minimise risk.		2	1	2	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 31st March		3	1	3	L

						ii) Publication of Rights – 30 days inc first 10 days July, iii) Council must approve return before the above. iv) Submission date varies annually.					
VAT – errors in claiming or recharging	PC	3	2	6	L	Existing procedures adequate for current services. Clerk has access to advisory services. Specialist advice has been sought & noted for new services including complex projects such as Brook Road Outdoor Sports & Recreation. VAT recorded in accounts to be checked by Internal Auditor		2	2	4	L
Contracts – inappropriate contracts entered into	PC	3	3	9	M	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 such as Christmas lights. Advice to be sought regarding allocation of large contracts in future.		3	1	3	L
Management & Internal Controls											
Loss to Council records - hardcopy	PC	3	2	6	L	Records (Minutes) retained by Clerk and archived when appropriate. Keys held by Clerk and Deputy Clerk. 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. TPC 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	Clerk or Deputy Clerk to prioritise the most urgent work.		2	2	4	L

						Immediately advertise. Annual appraisals of staff untaken plus staffing WG available for staff to raise concerns					
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) due for renewal May 2023. Committees to have clear terms of reference. Financial Regulations and other recommended policies are in place. Councillors to receive Training on roles and responsibilities. Advice provided by Clerk/RFO regrading illegal activity to be minuted.	.	2	1	2	L
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 receive 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. Risk of failure to deliver projects – it is noted the Council now 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. 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
Assets											
Loss inc. theft or damage to assets	PC	5	2	10	M	Up to date asset register maintained and		3	2	6	L

	Public					reported to insurance company. Items are made safe and repaired as soon as possible and claims are dealt with promptly. Items to be assessed in terms of likelihood of theft and security and additional measures to be undertake. Any items stolen to be reported to the Police. Equipment subject to inspection & kept in good condition					
Allotments						Individual Risk Assessment of Asset to be undertaken.					
Brook Road Playing Field & Country Park						Individual Risk Assessment of Asset to be undertaken.					
Cemetery – gravestone stability causing risk to the public	PC Public	5	2	10	M	Individual Risk Assessment of Asset to be undertaken. Annual gravestone stability check carried out, date and results of check recorded in Memorials Register, and necessary actions taken. Cemetery subject to regular visits & monitoring by Committee members.		3	1	3	L
Chestnut Tree – safety of tree	PC Public	5	2	10	M	Individual Risk Assessment of Asset to be undertaken. Annual inspection carried out and remedial work done. Tree regularly monitored		4	2	6	L
Playground – damage/vandalism and risk to public safety	PC Public	4	2	8	M	Individual Risk Assessment of Asset to be undertaken. Playground inspected quarterly by professional company and monthly by Deputy 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

Poppy Lane Car Park						Individual Risk Assessment of Asset to be undertaken.					
Storage Building						Individual Risk Assessment of Asset to be undertaken.					
Events											
Loss or damage to asset	PC Public	5	2	10	M	The Council now organises the Christmas Festival annually as well as other events. To mitigate risks to the Council the following actions are undertaken: Risk Assessment (detailed) produced for the event. Working Group including Deputy Clerk it established to plan the event which reports back to the Full Council. Risk Assessments and insurance requested from companies providing services at the event e.g. PA System, Reindeers, Company erecting trees and lights. All electrical equipment PAT tested before event. First aiders contracted for event. Identified Marshals/Stewards at event. Review of event inc. lesson learned held January and recorded.	Council formulating Handbook for event to increase organisation.	3	2	6	L

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 2023	
Inspection Schedule	Need an inspection schedule for all assets, telephone box, WC, Brook Road Field	Clerk/Deputy Clerk	September 2023	
Individual Risk Assessments to be Reviewed/completed	Allotments (TAH to provide) Bowling Green (Club to provide)	Clerk	September 2023	

	Brook Road Chestnut Tree Lychgate Bollards Play Area Poppy Lane Car Park Storage Buildings			
Council Approval Date: Review date:				

Schedule Severity

1. 1-10% delay
2. 10-25% delay
3. 25-50% delay
4. 50-100% delay
5. Greater than 100% delay

Cost Severity

1. 1 to 5% overrun
2. 5 to 10% overrun
3. 10 to 25% overrun
4. 25 to 50% overrun
5. Greater than 50% overrun

Quality

1. Few minor teething troubles – sorted within a few weeks
2. Few minor teething troubles – sorted in warranty period
3. Some significant issues – sorted in warranty period
4. Many significant issues – sorted in warranty period
5. Significant issues remaining after warranty period

Community Impact

1. Major incident – widespread impact on community
2. Major incident – impact on a number of people
3. Significant incident – impact on a number of people
4. Minor incident - several complaints
5. Minor incident – single complaint