

Threapwood Parish Council – Annual Risk Assessment 2020

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 Certain

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 property.	PC ¹	3	2	6	L	TPC holds insurance inc. public liability (£10m), Employers' liability (£10m), money, fidelity, property loss or damage, officials' indemnity, libel and slander 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.	Property subject to inspection & kept in good condition. Risk Assessments obtained from contractors and prepared for events	2	2	4	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 – 3 Cheque signatories	3	1	3	L
Legal liability as a consequence of asset ownership (public liability).	PC	4	2	8	M		Risk Assessments obtained from contractors and prepared for events	3	2	6	L

¹ PC = Parish Council

Finance											
Adequacy of precept	PC Public	4	2	8	M	Risks mitigated by sound budgeting, half yearly budget reviews, and sufficient revenue reserves.		2	2	4	L
Banking – inadequate checks or loss through theft or dishonesty	PC	4	2	8	M	<p>The Council has Financial Regulations which set out the requirements for banking, cheques and the internal audit. No petty cash is held.</p> <p>A council approves accounts at each scheduled meeting and spot check bank statement/reconciliation.</p> <p>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. Bank statements, the accounts file containing invoices are brought to Council meetings for cross-checking.</p>	<p>Online payments are to be approved by 2 cheque signatories between councillors, prove of payment to be printed and filled with invoice</p> <p>Max of £1k bank transfer to new recipients, payments above £1k require check payment</p>	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
Annual Governance & Accountability Return – not submitted correctly or within time limits	PC	3	2	6	L	<p>Council employs an internal auditor to report at least annually.</p> <p>Clerk follows guidance and timetable of external auditor. AGAR signed by the Council and internal auditor.</p> <p>Existing procedures adequate.</p>	<p>Councillors to be made aware of Procedure & Dates for Return –</p> <p>i) Year End 31st March</p> <p>ii) Publication of Rights – 30 days inc first 10 days July,</p> <p>iii) Council must approve return</p>	3	1	3	L

							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.	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
Management & Internal Controls											
Loss to Council records - hardcopy	PC	3	2	6	L	Records kept in cabinet at Clark's address. 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	Councillor to prioritise the most urgent work. Immediately advertise.	Annual appraisals of staff untaken plus staffing WG available for staff to raise concerns	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	Advice provided by Clerk/RFO regrading	2	1	2	L

						to be resolved and minuted. Any working groups to have clear terms of reference. Financial Regulations and other recommended policies are in place. Councillors to receive Training on roles and responsibilities.	illegal activity to be minuted.				
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	Council & Councillors to act in transparent manner. Councillors	3	2	6	L

						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.	attending meetings as Council Representatives require Council permission, reports to be provided to Council of such meetings.				
--	--	--	--	--	--	--	---	--	--	--	--

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
--------------------------	--------------	---	---	----	---	--	--	---	---	---	---

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		
Inspection Schedule	Need an inspection schedule for all assets, telephone box, bus shelter, notice boards	Clerk/Deputy Clerk		

Council Approval Date:	
Review date:	