

Risk Assessment – Non-Financial

TUNSTALL PARISH COUNCIL

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CLERK, TUNSTALL PARISH COUNCIL

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1. Scope and Objectives

The purpose of this document is to identify potential non-financial risks facing Tunstall Parish Council ('the Council') and how those risks can be managed to ensure the Council is able to deliver the services expected of it.

This document will be reviewed by the Council annually (preferably at the March meeting), enabling the Council to:

- a) appraise itself of identified risks
- b) agree appropriate actions to minimise the impact of the risks
- c) identify new risks and appropriate measures to manage them
- d) ensure the Council's insurance is adequate for the forthcoming year

2. Introduction

Risk management is NOT just about financial management, but about achieving the objectives of the organisation to deliver high quality public services. The failure to manage risks effectively can be expensive in terms of litigation, reputation, and the ability to deliver the expected services.

The new approach to local Council audit seeks to address these issues by placing emphasis on local Council's strengthening their own corporate governance arrangements, improving their stewardship of public funds, and improving assurances to taxpayers. In other words, 'the buck' stops with you, the Councillors!

Members are ultimately responsible for risk management because risk threatens achieving the objectives of the Council. As a minimum, members should:

- a) Take steps to identify key risks facing the Council
- b) Evaluate the potential consequences to the Council in the event of an identified risk occurring
- c) Agree upon appropriate measures to avoid, reduce, or control the risk or its consequences

All of the above objectives should be served by this document. If they are not, then it is up to the Council to determine how they should be met and to put in place appropriate measures.

This document should be read in conjunction with the current Insurance Policy in force for the Council.

3. Risk Analysis

The following table attempts to identify all non-financial risks and to assign a probability ('Prob') of that risk occurring, and should it occur, its impact ('Imp') on the Council. Both the 'Probability' and 'Impact' of a risk are scored on a 1 – 5 scale: 1 being the lowest score (i.e., very improbable or very low risk) and 5 the highest (i.e., highly probable or very high impact). Both these scores are multiplied to give an Overall Risk Rating (ORR). Any risks over ORR 20 will be reviewed on a monthly basis.

The 'Managed by' column details how the risk is managed, either by protecting the Council from its impact (typically by way of insurance) or by reducing the probability of that risk occurring. All Councillors should be aware of the importance of keeping their register up to date and declaring any interests at meetings as and when appropriate. The below list is not exhaustive, and items can be added, amended, or removed as and when appropriate.

Number	Details	Prob	Imp	Overall Risk Rating	Managed by...	Review Date	Action Taken
1	Damage or loss of physical assets owned by the Council (buildings, furniture, equipment, etc.)	3	1	3	<ul style="list-style-type: none"> Insurance and its annual review Annual review of assets identified in Council's Asset Register 	<ul style="list-style-type: none"> 14th March 2024 	<ul style="list-style-type: none"> None
2	Damage to third party property or individuals resulting from the Council providing services or amenities to the public	3	5	15	<ul style="list-style-type: none"> Insurance - public liability cover of £10,000,000 Councillors are required to ensure that any service, product or amenity the Parish Council supplies to the public is in accordance with the requirements of the Council's insurers 	<ul style="list-style-type: none"> 14th March 2024 	<ul style="list-style-type: none"> None

Number	Details	Prob	Imp	Overall Risk Rating	Managed by...	Review Date	Action Taken
3	Liability claims against assets owned by the Council	3	5	15	<ul style="list-style-type: none"> Insurance - public liability cover of £10,000,000 	14 th March 2024	<ul style="list-style-type: none"> None
4	Libel and Slander	1	1	1	<ul style="list-style-type: none"> Insurance – however Councillors are liable for 10% of any claim against them 	14 th March 2024	<ul style="list-style-type: none"> None
5	Business activities are outside the legal powers applicable to local Councils	3	3	9	<ul style="list-style-type: none"> Appropriate training for the Clerk/RFO Retained membership of SALC Councillors to be aware of the appropriate Statutory Powers given to a Council, relating to all payments 	14 th March 2024	<ul style="list-style-type: none"> None
6	Failure to meet the regulations of employment law and inland Revenue protocols	1	3	3	<ul style="list-style-type: none"> Appropriate training for the Clerk/RFO Retained membership of SALC 	14 th March 2024	<ul style="list-style-type: none"> None
7	Register of Members interests, gifts and hospitality being incomplete, inaccurate or out of date	3	1	3	<ul style="list-style-type: none"> Appropriate training for Councillors and Clerk Councillors to read and understand guidance from SALC on member's interests, gifts and hospitality An item to remind Councillors of their duty is on the May agenda each year 	14 th March 2024	<ul style="list-style-type: none"> None

Number	Details	Prob	Imp	Overall Risk Rating	Managed by...	Review Date	Action Taken
8	Under performance of third parties supplying goods or services to the Council (such as partnership agreements)	3	5	15	<ul style="list-style-type: none"> Ensuring appropriate agreements are in place Having a Service Level Agreement (SLA) or other performance criteria in place Regular review / assessment of performance Swift action at earliest sign of under performance Agreement that performance has met criteria prior to payment (if appropriate) At March 2016 review only grass cutting contract applies 	14 th March 2024	None
9	Incorrect use of Section 137 of the Local Government Act 1972	3	3	9	<ul style="list-style-type: none"> Appropriate training for Councillors and Clerk Councillors to ensure that when approving payments each payment is confirmed by an appropriate statutory power Each S.137 payment separately accounted for. Grant Awards Policy in place from January 2016 Adoption of General Power of Competence in May 2019 	14 th March 2024	None

Number	Details	Prob	Imp	Overall Risk Rating	Managed by...	Review Date	Action Taken
10	Manning of Council Office – safe working for the Clerk	1	5	5	<ul style="list-style-type: none"> Clerk to notify a Councillor when she is spending any more than 5 minutes in the office and when she leaves 	<ul style="list-style-type: none"> 14th March 2024 	<ul style="list-style-type: none"> None
11	Multiple Freedom of Information Act requests	1	3	3	<ul style="list-style-type: none"> Clerk to draw up policy for dealing with 'Freedom of Information Act' requests Policy drawn up and ratified at March 2016 meeting Policy reviewed at 2024 meeting 	<ul style="list-style-type: none"> 14th March 2024 	<ul style="list-style-type: none"> None
12	Preservation of records and documents	1	3	3	<ul style="list-style-type: none"> All important, current, Parish Council documentation held in locked cabinet in locked office All-important documentation held in Firebox in Office Clerk to keep electronic records of all Parish Council business on OneDrive (i.e. backed up to the Cloud) 	<ul style="list-style-type: none"> 14th March 2024 	<ul style="list-style-type: none"> None
13	Poor maintenance of Defibrillator	2	5	10	<ul style="list-style-type: none"> Annual check carried out by Clerk Date of expiry of pads noted and diarised Periodical checks carried out by Richard Wilson 	<ul style="list-style-type: none"> 14th March 2024 	<ul style="list-style-type: none"> None
14	Abuse towards volunteers on Speed Watch	3	3	9	<ul style="list-style-type: none"> Training for all volunteers At least three volunteers present at each session 	<ul style="list-style-type: none"> 14th March 2024 	<ul style="list-style-type: none"> Telephone number of local police to be held by all volunteers

Number	Details	Prob	Imp	Overall Risk Rating	Managed by...	Review Date	Action Taken
15	Unauthorised speaking on behalf of the Council	3	3	9	<ul style="list-style-type: none"> • Training for all Councillors • Reminder of the Suffolk Code of Conduct annually 	• 14 th March 2024	• None
16	Risk of injury to individuals resulting from failure of or damage to the play park equipment	2	4	8	<ul style="list-style-type: none"> • Annual inspection carried out by David Bracey – organised by the Council • Insurance Policy held by Tunstall Community Hall 	• 14 th March 2024	• None
17	A member of the public or of the Parish Council has concerns that the Tunstall Community Hall Charity is not being run in accordance with the terms set out in the Trust Deed	10	2	20	<ul style="list-style-type: none"> • As a registered charity, the Tunstall Community Hall Charity is governed by the Charities Commission. If anyone has a query or concern about how a charity is being run it should first be referred to the Charity's Trustees. If that does not resolve the issue it should then be referred directly to the Charities Commission for attention 	• 14 th March 2024	• None

Number	Details	Prob	Imp	Overall Risk Rating	Managed by...	Review Date	Action Taken
18	Clauses within the lease between the PC and the Hall Charity (for the Hall and land surrounding it) not adhered to	10	5	50	<ul style="list-style-type: none"> The Chair and one Councillor of TPC review the Lease on a three-year cycle, alongside the Chair and one Trustee from the Hall Charity. Such review will refer in particular to Clause 3 of the Lease including, but not limited to, a review of its use (3.3) , status of repair (3.4), insurance of the premises (3.11) and review and amendment if needed of the informal working arrangements between TPC and the Hall Charity 	<ul style="list-style-type: none"> 14th March 2024 	<ul style="list-style-type: none"> None

Adopted by the Parish Council at a meeting on: 14th March 2024

Signed: K. Silovsky

Mrs Tiffany Pollock
Clerk

Cllr. Karol Silovsky
Chair

Change History

Version	Description	Date
March 2014	Original document drawn up	12 th March 2015
March 2016	Amendments after review	9 th March 2016
March 2017	Amendments after review and add defibrillator item	8 th March 2017
March 2018	Items 14 and 15 added and details of Chair	14 th March 2018
March 2019	Review and slight amendments	13 th March 2019
March 2020	Review and slight amendments	11 th March 2020
August 2020	Addition of item 16	19 th August 2020
May 2021	Addition of items 17 and 18	5 th May 2021
March 2022	Probability and ORR scoring raised for items 17 and 18 until resolved	22 nd February 2022
March 2023	Note added to item 14, insurance is now held by Tunstall Community Hall	5 th March 2023