



Tutbury PARISH COUNCIL RISK ASSESSMENT

RISK	RISK LEVEL L/M/H	IMPACT L/M/H	MANAGEMENT	MITIGATION/NOTES
Administration Inaccurate Accounting	M	L	Two councillors check invoices and authorise payments	Online banking is used so action is recorded and visible. Monthly bank reconciliation checked by councillors when approving payments.
Loss of data/records	M	L	Back ups are taken regularly data can be retrieved from any device using the one Drive. Accounting information is stored in Scribe and can be accessed from any device.	Files are stored in cloud storage and back-ups are taken. Financial records are loaded on parish council website. Drive is password protected. Laptop is password protected.
PAYE Fraud Inaccuracies for PAYE, pension, HMRC payments	L	L	Payroll bureau processes payments to RFO Cllrs authorise payments monthly. Submissions are handled to HMRC within deadlines	Payroll is processed by qualified personnel and carried out if clerk absent. Removes the responsibility from clerk to process own pay.

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Overspending and insufficient reserve	H	M	<p>Payments are made by RFO if there is sufficient budget available.</p> <p>Budget is set by full council</p> <p>RFO issues purchase orders.</p> <p>General reserve is set at a minimum of three months expenditure.</p>	Budget reporting is provided to full council quarterly
Setting sufficient Precept	H	M	<p>Budget forecast for relevant financial year is produced in November prior to precept setting in December.</p> <p>Adequate general reserve is maintained.</p>	<p>Budget forecast and precept level is considered by full council prior to deadlines set.</p> <p>Precept requests are submitted before the deadlines by RFO</p>
Insufficient reserves	H	M	<p>A general reserve of at 50% of precept is maintained and reserves are monitored quarterly when budget is reviewed.</p> <p>Earmarked reserves are set in line with the budget.</p>	Accounting software records general reserve and earmarked reserve balances and reports are provided to full council quarterly.

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Inaccurate reclaim and unclaimed revenue	M	L	Scribe software is used to record VAT. VAT is clearly indicated in accounts package. VAT is reclaimed annually by RFO	Cilca qualified clerk and support is available through internal auditor , SLCC/ SPCA for any additional advice
Incorrect or insufficient or unauthorised Online payments	M	L	Bank mandate is updated when Cllrs leave or join the council to ensure there are sufficient members to authorise payment. Bank statements are available online and are reconciled monthly. Standing orders are agreed at full council meetings and reviewed Annually	Authorisation requirements are set on the bank account. Only Cllrs added to the bank mandate have access. No payments can be processed without the RFO and two Cllrs.

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Inaccurate Accounting	H	L	Accounts are handled by qualified clerk. Training is available through memberships society of Clerks and Staffordshire Parish Council Association	Recognised accounting software (Scribe) is used for reports and Annual Governance Reviews. Accounts are internally and externally assessed within legal deadlines. <u>External Audit services</u> are carried out by Mazars LLP

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Insufficient insurance	H	M	Cover includes. Employers Liability £10,000,000 Data Protection Act cover £10,000,000 Public Liability £10,000,000 Property insured Changing Room, Cornmill Lane, Tutbury, Burton-On-Trent, Staffordshire, DE13 9HA, United Kingdom £290,144 All risks including theft Buildings including subsidence (unless otherwise specified) £290,144 General Contents £8,359 Gates & Fences £12,097 Mowers & Machinery £1,039 Natural Surfaces £5,658 Other Surfaces £29,704 Office Contents £2,442 Outside Equipment £0 Playground Equipment £0 Sports Equipment £18,312 Street Furniture £67,145 War	Assessed annually

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<p>Vandalism/ Damage to changing rooms and playing field at Cornmill Lane</p>	<p>H</p>	<p>L</p>	<p>Insurance cover for buildings , content and land. Maintenance reviews carried out by Open Space committee. Fire Alarms are serviced Annually. Boiler is checked annually Legionella control carried out monthly Annual cleaning of water systems for legionella control. Annual inspections of Multi use games area and football pitches are carried out/ Mowing and hedge cutting is carried out by a contractor. Paths and driveway will be monitored periodically. Vehicle gates have two padlocks</p>	<p>Monthly review at committee meetings Sufficient budget is set to maintain the asset. Regular communication maintained with football teams and users. Public indemnity insurance cover is provided by the contractor together with a risk assessment. Certified weed spraying is included. Football teams are informed to keep the gates locked at all times when not in use. Regular meetings and user</p>
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				agreements ensure the area is kept secure and clean.
Vandalism/ Damage to Ferrers Avenue playing field	M	L	Boundary fence installed and maintained to secure the boundary. Goal posts are covered by insurance	Regular checks by Cllrs of the area. Tamper proof products used where possible. Goal posts are inspected periodically.

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<p>Inadequate maintenance of the closed area of St Mary's churchyard</p>	<p>L</p>	<p>L</p>	<p>The area is mown by a contractor. Mowing near the grass bank edges will not be carried out.</p> <p>Repairs to retaining walls are carried out periodically.</p> <p>Tree survey has been carried out on the closed churchyard trees in 2023</p> <p>Paths, steps and drain gullies are inspected and maintenance carried out.</p> <p>Trees and vegetation on the East path are maintained. Trees will be inspected again in 2026.</p>	<p>Public indemnity insurance cover is provided by the contractor together with a risk assessment.</p> <p>Financial Provision for a retaining wall behind the closed church boundary wall has been made and will be monitored.</p> <p>Trees will be monitored by PCC periodically and will require planning permission. Trees will be surveyed again 2026.</p> <p>Regular meetings with the Church council ensure that the council is made aware of any potential maintenance requirements.</p>

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Vandalism/ Damage to bus Shelter	L	L	Annual checks are carried out.	Roofs have been replaced and repaired in 2023. <u>Financial provision will be made for future refurbishments.</u>
Inadequate maintenance of Park Pale footpath	L	L	<p>The land off Chatsworth drive is mowed regularly by a contractor who has been informed not to disturb the ground to protect the ancient monument status.</p> <p>2 Sycamore trees are inspected every three years.</p> <p>A boundary fence has been erected.</p>	<p>Certified work, risk assessments and public liability is covered by the contractor.</p> <p><u>2 Sycamore trees will be surveyed 2024.</u></p> <p>The property owners of 38a Iron walls land are responsible for the maintenance of the fence.</p>

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Vandalism/ Damage to High Street Planters	L	L	Planters are covered by insurance. A contractor maintains the planting	Regular inspections and watering done by Cllrs and shop owners.
Insufficient maintenance of the land known as the Triangle	L	L	Trees are inspected every three years. Steps and bench inspected and maintained as required. Mowing is carried out regularly by a contractor. Christmas tree is erected by contractor. Electrical supply to the Christmas lights is checked by an electrician periodically	Trees will be inspected in 2026 Certified work , risk assessments and public liability is carried out by the contractor. Risk assessment carried out when erecting the Christmas tree,

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Insufficient goods and services are used	L	L	<p>All contracts are reviewed annually, bi-annually or three yearly. Contracts are awarded each year where appropriate. Risk assessments for operations are provided by contractors. Contractors are required for</p> <ul style="list-style-type: none"> • Cornmill Lane and Ferrers Avenue Playing field. • Closed churchyard and Park Pale footpath. • Street cleaning. 	<p><u>Public liability and work certificates certificates are checked annually.</u></p>
Insufficient maintenance of footpath known as Elm Lane	M	L	<p>Friends of Elm lane volunteers use a strimmer to maintain the footpath. Strimmer is covered by insurance and regular maintenance is carried out. Annual Risk assessments are carried out by the group and followed periodically.</p>	<p>Financial provision is made to support the costs of the group. The strimmer is kept at a local resident address.</p>

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Breach of Standing orders	L	L	Standing orders are reviewed annually. New members are encouraged to attend standing orders training. Standing orders are available on the website.	The Clerk has obtained the CiLCA qualification to ensure that the council is operating within current legislation in a professional manner. <u>The model clerk employment contract is reviewed periodically.</u>

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Breach of Financial Regulations	L	L	<ul style="list-style-type: none"> • The clerk arranges for the provision of goods and services of value up to £150. • The clerk in consultation with the chairman arrange for the provision of goods and services of value up to £500 and in the case of an emergency involving a danger to life, health or property £1,000 • Tenders are invited for contracts in excess of £5,000 and contracts are awarded at parish council meetings. The council is not obliged to accept the lowest tender. If no tenders are received the council can make arrangements to carry out the work as it thinks fit. <p>Financial Regulations are reviewed annually. All financial processes are carried out by the Responsible Financial Officer who is a qualified clerk.</p> <p>Grants are awarded in line with Section 137 of the Local Government Act 1972.</p> <p>The asset Register is updated and reviewed annually.</p>	<p><u>An emergency contingency for parks and open spaces has been allocated in 2024 25 budget. This will be reviewed annually.</u></p> <p>Payments are made on completion of the work/service carried out to the council's satisfaction.</p> <p>All payments are recorded in the minutes. Direct debit payments are in place for gas, electricity and water payments for the changing rooms at Cornmill Lane. Standing orders will be set up in accordance with the Model financial Regulations.</p> <p>contractual government guidelines will be followed.</p> <p>The RFO will issue all purchase orders.</p>
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			The council appoints an internal auditor, to review year-end accounts, financial procedures and internal financial controls and to complete an intermediate audit	<u>The council reviews the internal auditor annually.</u>
Breach of Councillor Code of Conduct.	M	L	The code of conduct is reviewed annually. Councillors are encouraged to attend Code of Conduct training. Cllrs maintain their Register of interests governed by East Staffs Borough Council.	
Loss of clerk	H	M	An exit policy has been written in case of loss of the clerk due to illness or termination of the clerk contract	Policies and procedures are reviewed annually.
Planning breaches	H	L	All works in a conservation area requires planning permission.	Planning permission is sought by contractors for any tree works or other services carried out.

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Risks arising from Special Events	H	M	The Council helps facilitate special one-off community activities such as the Tutbury Christmas Festival by assisting with grant funding.	This can involve funding local groups, arranging a street closure, obtaining entertainment and other licences; appropriate insurance cover is sought when required. All statutory requirements are complied with. The insurance broker would be informed of any council led events.

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