

TIDENHAM PARISH COUNCIL RISK ASSESSMENT

Notes

“The greatest risk facing a local authority is not being able to deliver the activity or services expected of the Council.”

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the Council to identify any and all potential risks inherent in the place or practices. Based on a recorded assessment the Council should then take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible, making sure that all employees/members are made aware of the results of the risk assessment.

This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. In conducting this exercise, the following plan was followed:

Identify the areas to be reviewed.

Identify what the risk may be.

Assess the probability of the risk and its impact on Council business. Overall risk rating then assigned as a product of Probability and Impact.

Evaluate the management and control of the risk and record all findings.

Review, assess and revise if required.

FINANCE AND MANAGEMENT						
Subject	Risk(s) Identified	Probability H/M/L	Impact H/M/L	Risk Rating H/M/L	Management/Control of Risk	Review/Assess/Revise
Business continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	L	H	L	All files and recent records are kept at the Clerk’s or Admin Assistant’s home. The Clerk and Admin Assistant make daily back-ups of files to an external hard drive and files are saved to a cloud based file storage system. In the event of the Clerk or Admin Assistant being indisposed either can access the other’s cloud based files. Where further advice needed the Chairman to contact the Gloucestershire Association of Parish and Town Councils for advice. The Chairman holds a box with copies of all keys and information on passwords etc. in case of emergency.	Existing procedures adequate. Review when necessary.
Precept	Adequacy of precept Requirements not submitted to FoDDC Amount not received by Council	L L L	H H H	L L L	The Council reviews the Precept requirement annually at the December Finance and Probity Committee meeting, which is presented to the December full Council meeting. The Finance and Probity Committee reviews the presented budget update information, including actual position and projected position to year end quarterly and uses projected figures for the next	Existing procedure adequate.

					financial year to agree the amounts set for the specific budget headings for that year, the total of which is resolved to be the precept amount to be requested from Forest of Dean District Council. This figure is submitted by the Clerk in writing to FoDDC. The Clerk informs Council when the monies are received (approx. April and October time).	
Financial records	Inadequate records Financial irregularities	L L	L H	L M	The Council has Financial Regulations that set out the requirements.	Existing procedure adequate. Review the Financial Regulations when necessary.
Bank and banking	Inadequate checks Bank mistakes Loss Charges	L L L L	L L H L	L L L L	The Council has Financial Regulations that set out the requirements for banking, cheques, electronic payments and reconciliation of accounts. The bank does make occasional errors in processing cheques which are discovered when the Clerk reconciles the bank accounts once a month when the statements arrive, these are dealt with immediately by informing the bank and awaiting their correction. The Clerk reviews the Councils banking arrangements regularly.	Existing procedure adequate. Review the Financial Regulations when necessary and bank signatory list when necessary, especially after an Annual Council Meeting and an election. Monitor the bank statements monthly.
Cash	Loss through theft or dishonesty	L	L	L	The Council has Financial Regulations that set out the requirements. The Council's insurance policy has a Fidelity Guarantee.	Currently not relevant as no cash transacted.
Reporting and auditing	Information communication Compliance	L M	M M	L M	A full list of payments and receipts, electronic payments and/or cheques to be signed is provided at the monthly full Council meeting and a Financial Statement which includes a breakdown of receipts and payments balanced against the bank statement are	Existing communication procedures adequate.

					presented and checked by Councillors and signed by the Chairman at each meeting. A spreadsheet detailing all payments and receipts, listed under budget headings and giving total expenditure against budgets is maintained by the Clerk. This is considered by the Finance and Probity Committee at its quarterly meeting and presented to full Council at the next meeting. A budget monitoring statement is produced quarterly for consideration at the Finance and Probity Committee meeting and then presented to full Council. A random check of 5 individual payments, including quotation, invoice, signatories, cheques and bank statements takes place at each quarterly Finance and Probity Committee meeting.	
Direct costs Overhead expenses Debts	Goods not supplied but billed Incorrect invoicing Cheque payable incorrect Loss of stock	L L L L	M M M L	L L L L	The Council has Financial Regulations that set out the requirements. At each Council meeting the list of invoices awaiting approval is distributed to Councillors, and considered. Council approves the list of requests for payment. The Council has minimal stocks, these are checked and monitored by the Clerk.	Existing procedure adequate. Review the Financial Regulations when necessary.
Invoices and Grants payable	Power to pay Authorisation of Council to pay	L	L	L	All such expenditure goes through the required Council process of approval, minuted and listed accordingly. The Receipts and Payments Spreadsheet details the power to pay for each item and it is noted separately if a payment is made using the S137 power of expenditure.	Existing procedure adequate. Parish Councillors request a copy of S137 rules if required.
Grants - receivable	Receipts of Grant	L	L	L	Any one-off grants awarded would come with terms and conditions to be satisfied.	Existing procedures adequate.
Charges - Rentals payable	Payments of leases/rentals	L	L	L	Negative. The Parish Council does not currently have any lease or rental agreements.	
Charges – Rentals receivable	Receipt of rental – Insurance implication	L	L	L	Negative. The Parish Council does not currently have any rental agreements	

Best value Accountability	Work awarded incorrectly Overspend on services	L M	M M	L M	As per Financial Regulations normal Parish Council practice would be to seek, if possible, more than one quotation for any substantial work required to be undertaken or goods. For major contract services, formal competitive tenders would be sought. If a problem is encountered with a contract the Clerk or Admin Assistant would investigate the situation, check the quotation/tender, research the problem and report to Council.	Existing procedure adequate. Review Financial Regulations regularly.
Salaries and assoc. costs	Salary paid incorrectly Wrong hours paid Wrong rate paid Wrong deductions of NI or Tax Unpaid Tax & NI contributions to the Inland Revenue	L L L L L	L L L L L	L L L L L	The Parish Council authorises the appointment of all employees at Council meetings. Salary rates are assessed by the Council according to the National Standard rates of pay and applied on 1st April each year or as rates change. Administration of payroll is outsourced. Salary is paid monthly by electronic transfer or cheque reported to the Council. The Tax and NI contributions due are calculated by the payroll provider and monitored by the Clerk. All Tax and NI payments are made monthly and submitted on the Annual Return.	Existing appointment and payment system is adequate.
Election costs	Risk of an election cost	L	M	L	Risk is higher in an election year. When an election is due the Clerk will obtain an estimate of costs from the District Council for a full election and an uncontested election. There are no measures which can be adopted to minimise the risk of having a contested election as this is a democratic process and should not be stifled. A contingency budget in case of a contested Casual Vacancy in a non-election year should be considered.	Existing procedure adequate.
VAT	Re-claiming/charging	L	L	L	The Council has Financial Regulations that set out the requirements.	Existing procedure adequate
Annual return	Submit within time limits	L	L	L	The Annual Tax and NI Returns are prepared by the payroll provider and checked and authorised by the Clerk before being submitted by the provider. The Annual Return is completed and signed by the Council, submitted to the internal auditor for completion and signing then checked and sent on to the External Auditor within time limit.	Existing procedures adequate.

Legal Powers	Illegal activity or payments	L	M	L	All activity and payments within the powers of the Parish Council to be resolved and minuted at full Parish Council meetings.	All activities and payments minuted.
Council records - paper	Loss through: Theft Fire Damage	L M L	M M L	L M L	The Parish Council records are stored at the home of the Clerk or Admin Assistant. Records include historical correspondence, minute books and copies, documents for ownership of property, records such as personnel, insurance, salaries etc. Recent materials are in a metal filing cabinet (not fire proof) and older more historical records in metal cabinets at Sedbury and Beachley Village Hall.	Damage (apart from fire) and theft is unlikely and so provision adequate. Deeds/leases kept in portable metal safe at Clerk's home.
Council records - electronic	Loss through: Theft, fire, damage Corruption of computer	L M	M M	L M	The Parish Council's electronic records are stored on a Council computer at the Clerk's and Admins Assistant's homes. The Clerk and Admin Assistant make daily back-ups of files to an external hard drive and files are saved to a cloud based file storage system. In the event of the Clerk or Admin Assistant being indisposed either can access the other's cloud based files.	Existing procedure adequate.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	M L L M	L L L M	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Employers and Employee liability insurance is a necessity and must be paid for. Ensure compliance measures are in place.	Existing procedure adequate. Review insurance provision annually. Review of compliance.
General Data Protection Regulations	Illegal holding or processing of personal data under GDPR. Civil claim for miss-use of data. Data Breach	L L L	M L L	L L L	Inventory of Data held carried out by Clerk and Admin Assistant June 2018. Adoption of TPC Privacy Policy, Policy Statements and Subject Access Requests Policy to be adopted June 2018. All staff and Council members to familiarise themselves and comply with these. Council insurance policy has Legal Expenses Cover provides a legal defence and will meet compensation costs for a civil claim made against the Parish Council. Any data breach to be notified immediately to Information Commissioner's Office. All Councillors to use Parish Council email addresses. Request written confirmation from other data controllers the Council deals with that they are GDPR compliant. The Council is registered with the Information Commissioner's Office.	New procedures. Ensure ongoing adherence to Policies and an annual review of Policies. Ensure annual renewal of Data Protection Registration.

Freedom of Information Act	Policy Provision	L M	L M	L M	The Council has a publication scheme in place. The Council is able to request a fee for any information requested to cover the cost of consumables and the clerk's time.	Monitor and report any impacts of requests made under the FOI Act.

Minutes/Agendas	Accuracy and legality	L	L	L	Minutes and agenda are produced in the prescribed method by the Clerk or Admin Assistant and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Minutes and agenda are displayed according to the legal requirements. Business conducted at Council meetings should be managed by the Chair or Committee Chairman.	Existing procedure adequate. Guidance/training to Chairmen should be given (if required). Members to adhere to Code of Conduct.
Notices/Statutory documents	Business conduct	L	M	L		
Public Liability	Risk to third party, property or individuals	M	M	M	Insurance is in place. Risk assessments regularly carried out to comply with requirements.	Existing procedures adequate. Ensure risk assessments are carried out.
Employer Liability	Non compliance with employment law	L	L	L	Undertake adequate training and seek advice from the Gloucestershire Association of Parish and Town Councils	Existing procedures adequate.
Legal Liability	Legality of activities	M	M	M	Clerk to clarify legal position on proposals and to seek advice if necessary. Council always receives and approves Minutes at monthly meetings. Retention of document policy in place.	Existing procedures adequate.
	Proper and timely reporting via Minutes	L	L	L		
	Proper document control	L	L	L		

ASSETS						
Subject	Risk(s) Identified	Probability H/M/L	Impact H/M/L	Risk Rating H/M/L	Management/Control of Risk	Review/Assess/Revise
Street Furniture, Play Area Equipment and Open Spaces	Loss or Damage Risk Damage to third party(ies) /property	M L	L M	L M	An asset register is kept up to date and insurance is held at the appropriate level for all items. Monthly visual inspection of Play Area, fencing and other equipment made by contractor and annual inspection of play area equipment carried out by registered play inspection company. Annual walk around inspection carried out by Admin Assistant and Amenities Committee Chairman. Full Arborists Inspection Tree Report and Church Wall Survey Report obtained and actioned every 3 years.	Existing procedure adequate. Review insurance requirements annually.
Noticeboards	Risk/damage/injury to third parties Road side safety	L L	L L	L L	Parish Council has four notice boards sited around the Parish. All locations have approval by relevant parties, insurance cover, inspected regularly by the Clerk and Admin Assistant - any repairs/maintenance requirements brought to the attention of the Parish Council. Keys held by the Clerk and Admin Assistant	Existing procedure adequate.
Buildings	Hazardous materials	M	M	M	To exercise due diligence in ensuring that any hazardous materials used in the fabric of buildings is identified and managed by: <ul style="list-style-type: none"> Carrying out an initial hazardous material survey by an accredited operator Performing a risk assessment prior to any building or maintenance work 	New procedure. Review Annually
COUNCILLORS' PROPRIETY						
Subject	Risk(s) Identified	Probability H/M/L	Impact H/M/L	Risk Rating H/M/L	Management/Control of Risk	Review/Assess/Revise
Members interests	Conflict of interest Register of Members interests	L M	M L	M L	Councillors have a duty to declare any interests at the start of the meeting or when it becomes apparent during the meeting. Register of Members Interest forms to be reviewed regularly by Councillors.	Existing procedure adequate. Members to take responsibility to update their Register.

	CLERK		AD/ASSIS	
	YES	NO	YES	NO
DISPLAY SCREEN EQUIPMENT				
SPACE Is there sufficient space with enough storage to enable easy access to the workstation (Legal minimum 11 cubic metres per person)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
LIGHTING AND POWER				
Is the lighting suitable for the user?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Has glare and reflection from light fittings, windows and walls been avoided from the screen?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Have desk lamps (or other local task lighting) been supplied where necessary?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Are flexible cables safe (ie not trailing)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
NOISE				
Is the equipment noise low enough not to distract attention or disturb speech?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Can noisy equipment be moved away from the workstation where necessary?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
TEMPERATURE AND HUMIDITY				
Is the temperature at the workstation at least 16°C (following the first hour of work commencing)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Is the temperature maintained at a level that ensures operator comfort?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Have all sources of excess heat (those likely to cause injury or discomfort to operators) been eliminated or suitably controlled?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Is the air around the workstation comfortable (ie not too dry)?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

DISPLAY SCREEN				
Is the screen image stable?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Is the brightness/contract control easily adjusted?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Adopted by Tidenham Parish Council 16th November 2016 Minute 2016/2017 page 19 item 16

Reviewed and Re-adopted by Tidenham Parish Council 21st March 2018 Minute 2017/2018 page 24 item 14 b)

Reviewed and Re-adopted by Tidenham Parish Council to include GDPR and Buildings sections 20th June 2018 Minute 2018/2019 page 5 Item 17

To be reviewed June 2019