TIDENHAM PARISH COUNCIL RISK MANAGEMENT AND ASSESSMENT POLICY

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. **(see Appendix A)**
- Evaluate the management and control of the risk and record all findings.
- Review, assess and revise if required on a quarterly basis with re-adoption annually

Subject	Risk(s) Identified	Probability	Impact	Risk Rating	Management/Control of Risk	Probability	Impact	Risk Rating	Review/Assess/Revise (Last review date ……..)
		Highly Likely/ Possible/ Unlikely	Severe/ Moderate/ Negligible	High/ Medium/ Low		Highly Likely/ Possible/ Unlikely	Severe/ Moderate/ Negligible	High/ Medium/ Low	
FINANCE & MANAGEMENT									
Business continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	P	S	M	All files and recent records are kept at the Clerk's or Assistant Clerk's home. The Clerk and Assistant Clerk 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 Assistant Clerk 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.	U	S	M	Existing procedures adequate. Review when necessary.

Subject	Risk(s) Identified	Probability	Impact	Risk Rating	Management/Control of Risk	Probability	Impact	Risk Rating	Review/Assess/Revise (Last review date ……..)
		Highly Likely/ Possible/ Unlikely	Severe/ Moderate/ Negligible	High/ Medium/ Low		Highly Likely/ Possible/ Unlikely	Severe/ Moderate/ Negligible	High/ Medium/ Low	
Precept	Adequacy of precept	P	S	H	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 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).	U	S	M	Existing procedure adequate.
	Requirements not submitted to FoDDC	P	S	H		U	S	M	
	Amount not received by Council	P	S	H		U	S	M	
Financial records	Inadequate records	P	N	L	The Council has Financial Regulations that set out the requirements.	U	N	L	Existing procedure adequate.
	Financial irregularities	P	S	H		U	S	M	Review the Financial Regulations when necessary.
Bank and banking	Inadequate checks	P	N	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.	U	N	L	Existing procedure adequate.
	Bank mistakes	P	N	L		U	N	L	Review the Financial Regulations when necessary and bank signatory list when
	Loss	P	S	H		U	S	M	necessary, especially after an Annual Council Meeting and an election.
	Charges	P	N	L		U	N	L	Monitor the bank statements monthly.

Subject	Risk(s) Identified	Probability	Impact	Risk Rating	Management/Control of Risk	Probability	Impact	Risk Rating	Review/Assess/Revise (Last review date ……..)
		Highly Likely/ Possible/ Unlikely	Severe/ Moderate/ Negligible	High/ Medium/ Low		Highly Likely/ Possible/ Unlikely	Severe/ Moderate/ Negligible	High/ Medium/ Low	
					The Clerk reviews the Councils banking arrangements regularly.				
Cash	Loss through theft or dishonesty	P	N	L	The Council has Financial Regulations that set out the requirements. The Council's insurance policy has a Fidelity Guarantee.	U	N	L	Currently not relevant as no cash transacted.
Reporting and auditing	Information communication	P	M	L	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 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.	U	M	L	Existing communication procedures adequate.
	Compliance	P	M	M		U	M	L	
Direct costs Overhead	Goods not supplied but billed	P	M	L	The Council has Financial Regulations that set out the requirements.	U	M	L	Existing procedure adequate.

Subject	Risk(s) Identified	Probability	Impact	Risk Rating	Management/Control of Risk	Probability	Impact	Risk Rating	Review/Assess/Revise (Last review date ……..)
		Highly Likely/ Possible/ Unlikely	Severe/ Moderate/ Negligible	High/ Medium/ Low		Highly Likely/ Possible/ Unlikely	Severe/ Moderate/ Negligible	High/ Medium/ Low	
expenses Debts	Incorrect invoicing	P	M	L	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.	U	M	L	Review the Financial Regulations when necessary.
	Cheque payable incorrect	P	M	L		U	M	L	
	Loss of stock	P	N	L		U	N	L	
Invoices and Grants payable	Power to pay Authorisation of Council to pay	P	N	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.	U	N	L	Existing procedure adequate. Parish Councillors request a copy of S137 rules if required. If the General Power of Competence is adopted, this to be reviewed and reconsidered at the first annual meeting following an ordinary election.
Grants - receivable	Receipts of Grant	P	N	L	Any one-off grants awarded would come with terms and conditions to be satisfied.	U	N	L	Existing procedures adequate.
Charges -Rentals payable	Payments of leases/rentals	P	N	L	The Parish Council does not currently have any lease or rental agreements.	**U**	N	**L**	
Best value	Work awarded incorrectly	P	M	M	As per Financial Regulations normal Parish Council practice would be to seek,	U	M	L	Existing procedure adequate. Review

Subject	Risk(s) Identified	Probability	Impact	Risk Rating	Management/Control of Risk	Probability	Impact	Risk Rating	Review/Assess/Revise (Last review date ……..)
		Highly Likely/ Possible/ Unlikely	Severe/ Moderate/ Negligible	High/ Medium/ Low		Highly Likely/ Possible/ Unlikely	Severe/ Moderate/ Negligible	High/ Medium/ Low	
Accountability	Overspend on services	P	M	M	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 Assistant Clerk would investigate the situation, check the quotation/tender, research the problem and report to Council.	U	M	L	Financial Regulations regularly.
Salaries and assoc. costs	Salary paid incorrectly	P	N	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.	U	N	L	Existing appointment and payment system is adequate.
	Wrong hours paid	P	N	L		U	N	L	
	Wrong rate paid	P	N	L		U	N	L	
	Wrong deductions of NI or Tax	P	N	L		U	N	L	
	Unpaid Tax & NI contributions to the Inland Revenue	P	N	L		U	N	L	
Election costs	Risk of an election cost	P	M	M	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.	U	M	L	Existing procedure adequate.

Subject	Risk(s) Identified	Probability	Impact	Risk Rating	Management/Control of Risk	Probability	Impact	Risk Rating	Review/Assess/Revise (Last review date ……..)
		Highly Likely/ Possible/ Unlikely	Severe/ Moderate/ Negligible	High/ Medium/ Low		Highly Likely/ Possible/ Unlikely	Severe/ Moderate/ Negligible	High/ Medium/ Low	
VAT	Re-claiming/charging	P	N	L	The Council has Financial Regulations that set out the requirements.	U	N	L	Existing procedure adequate
Annual return	Submit within time limits	P	N	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.	U	N	L	Existing procedures adequate.
Legal Powers	Illegal activity or payments	P	M	M	All activity and payments within the powers of the Parish Council to be resolved and minuted at full Parish Council meetings.	U	M	L	All activities and payments minuted.
Council records - paper	Loss through:				The Parish Council records are stored at the home of the Clerk or Assistant Clerk. 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 (not fire proof) 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.
	Theft	P	M	M		U	M	L	
	Fire	P	M	M		U	M	L	
	Damage	P	N	L		U	N	L	
Council records - electronic	Loss through:				The Parish Council's electronic records are stored on a Council computer at the Clerk's and Assistant Clerk's homes. The Clerk and Assistant Clerk make daily back-ups of files to an external hard drive and				Existing procedure adequate.
	Theft, fire, damage	P	M	M		U	M	L	

Subject	Risk(s) Identified	Probability	Impact	Risk Rating	Management/Control of Risk	Probability	Impact	Risk Rating	Review/Assess/Revise (Last review date ……..)
		Highly Likely/ Possible/ Unlikely	Severe/ Moderate/ Negligible	High/ Medium/ Low		Highly Likely/ Possible/ Unlikely	Severe/ Moderate/ Negligible	High/ Medium/ Low	
	Corruption of computer	P	M	M	files are saved to a cloud based file storage system. In the event of the Clerk or Assistant Clerk being indisposed either can access the other's cloud based files. Agendas, minutes and procedures are also stored on the Council website.	U	M	L	
Insurance	Adequacy	P	M	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.	U	M	L	Existing procedure adequate. Review insurance provision annually. Review of compliance.
	Cost	P	N	L		U	N	L	
	Compliance	P	N	L		U	N	L	
	Fidelity Guarantee	P	N	M		U	N	L	
General Data Protection Regulations	Illegal holding or processing of personal data under GDPR.	P	M	M	Inventory of Data held carried out by Clerk and Assistant Clerk 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.	U	M	L	New procedures. Ensure ongoing adherence to Policies and an annual review of Policies.
	Civil claim for miss-use of data.	P	N	L		U	N	L	Ensure annual renewal of Data Protection Registration.
	Data Breach	P	N	L		U	N	L	
	Policy	P	N	L		U	N	L	

Subject	Risk(s) Identified	Probability	Impact	Risk Rating	Management/Control of Risk	Probability	Impact	Risk Rating	Review/Assess/Revise (Last review date ……..)
		Highly Likely/ Possible/ Unlikely	Severe/ Moderate/ Negligible	High/ Medium/ Low		Highly Likely/ Possible/ Unlikely	Severe/ Moderate/ Negligible	High/ Medium/ Low	
Freedom of Information Act	Provision	P	M	M	The Council has a publication scheme in place.	U	M	L	Monitor and report any impacts of requests made under the FOI Act.
Minutes/Agendas Notices/Statutory documents	Accuracy and legality	P	N	L	Minutes and agenda are produced in the prescribed method by the Clerk or Assistant Clerk 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 is managed by the Chair or Committee Chairman.	U	N	L	Existing procedure adequate. Guidance/training to Chairmen should be given (if required). Members to adhere to Code of Conduct.
	Business conduct	P	M	M		U	M	L	
Legal Liability	Legality of activities	P	M	M	Clerk to clarify legal position on proposals and to seek advice if necessary.	U	M	L	Existing procedures adequate.
	Proper and timely reporting via Minutes	P	N	L	Council always receives and approves Minutes at monthly meetings.	U	N	L	
	Proper document control	P	N	L	Retention of document policy in place.	U	N	L	
FINANCE & MANAGEMENT									
Street Furniture, Play Area Equipment and Open Spaces	Loss or Damage Risk	P	N	L	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	U	N	L	Existing procedure adequate.

Subject	Risk(s) Identified	Probability	Impact	Risk Rating	Management/Control of Risk	Probability	Impact	Risk Rating	Review/Assess/Revise (Last review date ……..)
		Highly Likely/ Possible/ Unlikely	Severe/ Moderate/ Negligible	High/ Medium/ Low		Highly Likely/ Possible/ Unlikely	Severe/ Moderate/ Negligible	High/ Medium/ Low	
	Damage to third party(ies) /property	P	M	M	made by contractor and annual inspection of play area equipment carried out by registered play inspection company. Annual walk around inspection carried out by Assistant Clerk and Amenities Committee Chairman. Full Arborists Inspection Tree Report and Church Wall Survey Report obtained and actioned every 3 years.	U	M	L	Review insurance requirements annually.
Noticeboards	Risk/damage/injury to third parties	P	N	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 Assistant Clerk - any repairs/maintenance requirements brought to the attention of the Parish Council. Keys held by the Clerk and Assistant Clerk	U	N	L	Existing procedure adequate.
	Road side safety	P	N	L		U	N	L	
Buildings	Hazardous materials	P	M	M	To exercise due diligence in ensuring that any hazardous materials used in the fabric of buildings is identified and managed by: · Carrying out an initial hazardous material survey by an accredited operator · Performing a risk assessment prior to any building or maintenance work	U	M	L	Review Annually
COUNCILLORS' PROPRIETY									
Members interests	Conflict of interest	P	M	M	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.	U	M	L	Existing procedure adequate. Members to take responsibility to update their Register.
	Register of Members interests	P	N	L		U	N	L	

Subject	Risk(s) Identified	Probability	Impact	Risk Rating	Management/Control of Risk	Probability	Impact	Risk Rating	Review/Assess/Revise (Last review date ……..)
		Highly Likely/ Possible/ Unlikely	Severe/ Moderate/ Negligible	High/ Medium/ Low		Highly Likely/ Possible/ Unlikely	Severe/ Moderate/ Negligible	High/ Medium/ Low	
Electric Vehicle	Theft	P	M	M	Vehicle to be kept in locked car park at Sedbury and Beachley Village Hall and keys secured in lock box inside locked Hall. Code to be given to users on booking the vehicle. Users to Register and undertake initial familiarisation and driving session with a Councillor and sign Terms and Conditions of use. Registration to include check of Drivers Licence. Ensure adequate insurance cover is in place with all requirements met regarding driver registration.	P	N	L	Review insurance adequacy on renewal and driver registration and Terms and Conditions of Use at least annually.
	Damage by vandalism	P	M	M		P	N	L	
	Damage through accident.	P	M	M		P	N	L	

	CLERK		Asst. Clerk	
DISPLAY SCREEN EQUIPMENT	YES	NO	YES	NO
SPACE Is there sufficient space with enough storage to enable easy access to the workstation (Legal minimum 11 cubic metres per person)?	☒	☐	☒	☐
LIGHTING AND POWER				
Is the lighting suitable for the user?	☒	☐	☒	☐
Has glare and reflection from light fittings, windows and walls been avoided from the screen?	☒	☐	☒	☐
Have desk lamps (or other local task lighting) been supplied where necessary?	☒	☐	☒	☐
Are flexible cables safe (ie not trailing)?	☒	☐	☒	☐
NOISE				

Is the equipment noise low enough not to distract attention or disturb speech?	☒	☐	☒	☐
Can noisy equipment be moved away from the workstation where necessary?	☒	☐	☒	☐
TEMPERATURE AND HUMIDITY				
Is the temperature at the workstation at least 16°C (following the first hour of work commencing)?	☒	☐	☒	☐
Is the temperature maintained at a level that ensures operator comfort?	☒	☐	☒	☐
Have all sources of excess heat (those likely to cause injury or discomfort to operators) been eliminated or suitably controlled?	☒	☐	☒	☐
Is the air around the workstation comfortable (ie not too dry)?	☒	☐	☒	☐
DISPLAY SCREEN				
Is the screen image stable?	☒	☐	☒	☐
Is the brightness/contract control easily adjusted?	☒	☐	☒	☐

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
Reviewed and Re-adopted by Tidenham Parish Council 19th June 2019 Minute 2019/2020 page 7 item 20
Reviewed, amended and Re-adopted by Tidenham Parish Council 17th November 2021 Minute 2021/2022 page 22 item 16.
Reviewed and Re-adopted by Tidenham Parish Council 21st June 2023 Minute 2023/2024 Page 7 Item 16.
Reviewed and Re-adopted by Tidenham Parish Council 19th February 2025 Minute 2024/2025 Page 30 Item 13.
Reviewed and Re-adopted by Tidenham Parish Council 15th July 2026 Minute 2026/2027 Page 11 Item 19.

TIDENHAM PARISH COUNCIL RISK ASSESSMENT – APPENDIX A

Overall risk rating calculated using risk assessment matrix as recommended by the Joint Panel on Accountability and Governance Practitioners' Guide published by NALC March 2020.

Probability	Impact: Negligible (1)	Impact: Moderate (2)	Impact: Severe (3)
Highly likely (3)	Medium (3)	High (6)	High (9)
Possible (2)	Low (2)	Medium (4)	High (6)
Unlikely (1)	Low (1)	Low (2)	Medium (3)