



# RISK ASSESSMENT

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(ORIGINALLY ADOPTED C/240/10)

Annually Reviewed/Amended

01/02/2012  
06/02/2013  
29/01/2014  
28/01/2015  
27/01/2016  
01/03/2017  
24/01/2018  
23/01/2019  
12/02/2020  
10/02/2021  
09/02/2022  
08/02/2023  
14/02/2024

## 1. ASSETS

Risk	Description	Risk Identified	H / M / L	Management / Control of Risk
1.1	Parish Council Buildings ( <i>Northway Community Hub, Garden Building, Changing Rooms and Village Hall</i> ) the loss of or damage to	Physical assets not adequately protected; this will affect the council's ability to carry out its business	L	Physical Assets are protected by Insurance Cover. Usage of any of the buildings is dependent on an individual risk assessment and subsequent risk assessments carried out at the time. An Asset register is kept up to date. Lighting ion the Changing Room Facility to protect the Play Area if required.
1.2	Parish Council Buildings-physical assets owned by the council.	Buildings, equipment etc. are not adequately secured, unusable, unsafe, damaged or stolen. Financial loss to the Council, short-term impact that could affect delivery of service.	M	Northway Community Hub & Parish Office is surrounded with palisade fence and gates including security lighting and CCTV. Vandal Proof paint is used on both the Village Hall and Changing Room. Northway Village Hall and Changing Room Facility are in a public place. CCTV has been installed to cover the buildings/car park and small amount of play area. Northway Community Hub and its contents are covered by insurance. Northway Village Hall and the Changing Rooms have buildings cover but it is up to the Lessee to obtain their own contents insurance cover.
1.3	Loss or damage to other physical assets owned by the Council (e.g. play equipment, benches, bins, noticeboards etc).	Assets may be unusable or unsafe and cannot be accessed. Financial loss to the Council. Risk of injury to users. This would be a short-term impact and could affect delivery of service.	L	An annual inspection takes place at the CHR and NVH and leaseholders report other issues that are the responsibility of the Parish Council. Visual inspections are carried out regularly at the Hub and repairs made as and when required. The Play Area and Equipment / Teenage Shelter are inspected and reported upon weekly as well as annually. Dangerous equipment is either repaired or removed. Street Furniture and Bus Shelters are regularly inspected as part of the Litter Picker role.
1.4	<b>Trees</b>	<b>Trees become potentially dangerous to the public / private property</b>	L	<b>Councillors inspect all Parish Council owned trees on an 18 month cycle (as recommended by Tree Surgeon), as well as ad hoc checks by staff and councillors. Any changes to condition of trees are reported to Clerk to arrange formal inspection by Tree Surgeon.</b>

## 2. FINANCE

Risk No	Description	Risk Identified	H / M/ L	Management / Control of Risk
2.1	Failure to adequately control banking processes	Financial loss	L	All cheques and payments (DDRS) require three signatories
2.2	Risk of consequential loss of income	Financial loss	L	Insurance and fidelity insurance set up for £250,000.00
2.3	Loss of cash through theft or dishonesty	Financial loss Reputational damage	L	All items logged and banked. The petty cash tin holds a maximum sum of £250.00 at any one time and is regularly checked by appointed Councillor. Ensure customer takes receipts for any cash payment.
2.4	Lack of financial controls and records	Financial loss	L	Monthly reconciliation prepared by DCK Accounting Solutions / Clerk and reported to Council quarterly. Three signatories on all cheques, direct debits and standing orders. Internal and external audit processes in place
2.5	Failure to understand and comply with HMRC / PAYE and Nest Pensions	Fines Employment Tribunal	L	Help line available and used when necessary. Internal / External Audit processes. Expert advice available from DCK Accounting Solutions if needed. Salaries and pensions of staff are calculated by a contracted payroll service.
2.6	Failure to provide adequate Fidelity Insurance	Financial loss to Council	L	Auditors' recommendations of £250,000 is insured and checked as part of audit process.
2.7	Precept - Failure to ensure sound budgeting to underlie annual precept	Financial loss to Council or funds surplus to requirements	L	Budgeting process is held once per year though the Council meeting cycle, starting October and finalised by the end of January, <b>including actual position and projected position to year end and estimated figures for the next financial year.</b> Precept derived directly from this information. Expenditure against budget reported to Finance quarterly. <b>The precept figure is requested from Tewkesbury Borough Council by the end of January and Council informed of receipt (normally April and September). The Council needs to have adequate reserves to deal with an emergency (approximately 6 months expenditure).</b>
2.8	Failure to comply with borrowing restrictions	Breaking the law	L	Borrowing has been obtained from the DCLG (previously PWLC) now United Kingdom debt Management Office who demand two payments of capital and interest. Prior notification is received via email.
2.9	Failure to ensure legality of Payments made	Breaking the law	L	Clerk to ensure legal powers used and these are submitted to full Council on the Monthly accounts for approval.

2.10	Failure to appoint competent Internal Auditor	Council would be in breach of regulations	L	An internal auditor is appointed on an annual basis and the competence, independence and relationship is considered at that time.
2.11	Failure to implement robust anti-fraud measures	Risk of Fraud	L	A Council member is appointed at the quarterly Finance Committee Meetings to undertake a spot check of the Parish Council invoices and bank statement, reconciling the two, others are covered by standing orders.
2.12	Failure of Lessees to pay invoices (for rent or other charges) in accordance with the lease agreement	Loss of income Breach of contract	L	Leases clearly set out charges to pay and frequency of payment. Any disputed charges raised by them will be dealt with by the Clerk and if still disputed will be reported to the Council. Legal advice will be sought if necessary.
2.13	Failure to adequately present accounts for Payment	Council is unaware of its financial position. Financial loss to Council	L	The Clerk presents Accounts for payment, including statutory expenditure, for approval at the monthly meeting of the Full Council where cheques are signed by two members of the Council as well as the RFO.
2.14	Failure to adequately present Bank Reconciliation and Bank Statements	Council is unaware of its financial position. Financial loss to Council.	L	On a regular basis, at least quarterly, bank statements must be subject to formal review. Regularly the bank reconciliation statement should be signed and dated, and the supporting statements initialed as evidence of this review.
2.15	<b>Contractors</b>	<b>Not seeking best value for money</b>	<b>L</b>	<b>The Council's Financial Regulations advise on protocol for seeking quotes and tenders to obtain best value for money. In the event of an emergency the Clerk is vested with powers to use suitable contractors for repairs. All contractors are required to provide a copy of PLI.</b>

### **3. LIABILITY / EMPLOYER LIABILITY / LEGAL LIABILITY**

Risk No	Description	Risk Identified	H / M / L	Management / Control of Risk
3.1	Risk to third party, property, or individuals following failure of Parish Council responsibilities	An insurance claim may be made.	L	Insurance in place. Public Liability Insurance currently £10,000,000. Open spaces checked regularly by various contractors and Litter Picker. Weekly playground inspection and maintenance as necessary as well as annual inspection by RoSPA
3.2	Risk of Legal liability as consequence of asset ownership (especially burial ground, swimming pool, playgrounds and skateboard park)	The Council has to fight a legal case that may lead to financial or reputation loss	L	Adequate Insurance in place
3.3	Legal liability as a consequence of an event (public liability)	The Council has to fight to a legal case that may lead to financial or reputation loss	L	A risk assessment is carried out for each event and shared with key personnel. All third parties booked for events are asked to supply their own risk assessment and a copy of their PLI.
3.4	Failure to understand and comply with Employment Law	Risk of breaking the law	L	This is complied with and should be checked by Staffing Committee. Fidelity Insurance set at £250,000 and Employer Liability at £10,000,000.
3.5	Failure to understand and comply with Inland Revenue requirements	Risk of breaking the law	L	Advice sought form HMRC as well as contracted Accountants when necessary
3.6	Personal Accident at work as a result of failure of Parish Council Responsibilities	Risk of being in breach of H&S	L	Responsibilities understood and followed. Personal Accident included in insurance policy.
3.7	Failure to ensure the safety of staff and visitors	Risk of being in breach of H&S	L	Warning alarm fitted to NCH front and back door to alert staff / hirers of the presence of someone. Keypad entry to office area, lock on office door and secure window. Risk assessments have been undertaken and are reviewed by the Caretaker. There is a Lone Working Policy in place. Monitoring by Clerk / Caretaker
3.8	Health and Safety Incident	Risk of being in breach of H&S	L	The Caretaker undertakes a H&S assessment. This happens quarterly at the Hub and a record is maintained. The Council have also contracted professional advisors to address specific issues as and when necessary (Full Assessment undertaken in 2018 and 2021). COSHH regulations adhered to. A qualified contractor is contracted to maintain equipment.

3.9	Failure to ensure activities are within legal powers	Risk of breaking the law	L	Clerk clarifies legal position on any new proposals with legal advice being sought where found necessary. Advice taken from GAPTC, NALC, Charles Arnold-Baker, Clerk magazine and through training.
3.10	Failure to ensure proper and timely reporting via the minutes	Difficulty in making up to date decisions in reports from previous meetings are not available.	L	Minutes are produced following meeting and sent to Members in time for the next meeting (normally sent with Agenda)
3.11	Failure of controls around the Safety of Documents	Risk of being in breach of GDPR	L	Legal documents filed in metal cabinet in storeroom. Data storage complies with GDPR. Cheque book stored in locked safe. Staff / Councillors are aware of GDPR requirements
3.12	Failure to understand and comply with requirements around the Register of Interest / gifts / hospitality. Code of Conduct  Adoption of Standing Orders / Financial Regulations	Lack of transparency  Misconduct  May act outside of regulations	L  L  L	Information and training provided for Councillors.  Members are given a copy of the Code of Conduct and sign up to it, this is backed up in training. Standing Orders and Financial Regulations are kept up to date when new legislation comes through. The documents are reviewed and approved every year.

**4. Clerk / Councillors**

Risk No	Description	Risk Identified	H / M / L	Management / Control of Risk
4.1	Clerk absence	Day to day running of Council business (business continuity)	L	Clerk's Assistant to fill in plus GAPTC have a 'bank' of Locums. Seek local Clerks to cover if necessary
4.2	Councillor Vacancies	Lack of Councillors make a 'quorum', poor representation of parish	L	Advertise vacancies regularly and encourage candidates to apply for positions.

**5. Data**

Risk No	Description	Risk Identified	H / M / L	Management / Control of Risk
5.1	Computer Data	Failure to keep computer data safe	L	Information from computers backed up weekly by IT contractors as well as put on memory sticks and stored in GDPR compliant locked box. Adequate data security in place. Staff trained in data security requirements.
5.2	Website	Hacking	L	The web site is maintained and kept secure by Fortitude IT Consulting (web site provider)
	CCTV	Breach of safety regulations, loss of camera data. Accessing images inappropriately	L L	Logical and physical controls are in place to protect data. Access to cameras must be for a legitimate reason and this must be logged.
5.3	GDPR	Failure to protect personal data	L	Relevant data stored to comply with the Data Protection Act 2018 and under the retention documents requirements. Relevant policies adopted by the Parish Council (Min Ref/C/297/18). Regularly reviewed.
5.4	Freedom of Information	Failure to follow FOI request guidance	L	Requests for information are dealt with under the Act via the policy in place.