

Previous Risk Management Reviewed December 2018

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Next Review Due: 5 May 2022

Chairman of Council Signature



Clerk Signature



Siobhan Rumsby

Risk assessment is a systematic general examination of conditions, activities and environmental factors that will enable the Parish Council to identify any and all potential inherent risks. The Parish Council, based on a recorded assessment, will take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible.

This document has been produced to enable Barton under Needwood Parish Council to assess the risks that it faces under a category of H/M/L (High/Medium/Low) and satisfy itself that it has taken adequate steps to minimise them.

FINANCIAL AND MANAGEMENT					
Subject	Area of Risk	H / M / L	Management / Control of Risk	Review / Assess / Revise	Responsibility
Insurance	General adequacy	L	The insurance arrangements are reviewed fully on a three-year basis with interim annual checking. Review of risk and adequacy of cover (loss / damage, public liability, consequential loss and fidelity guarantee) should be conducted annually. Full review of renewal costs every three years – next due 2021	Check limits annually and review full policy every three years Ensure any capital expenditure purchases over a value of £400 are added to the schedule. Insurance policies/schedules to be kept for 21 years in fire proof cabinet	Clerk and Councillors
	Cost	L			
	Compliance	L			
	Public Liability (statutory)	L	Insurance at £10,000,000		Clerk and Councillors

	Employers Liability (statutory)	L	Insurance at £10,000,000		Clerk and Councillors
	Money	L	Insurance at £250,000 In transit £5,000 Private residence of member or employee £500 In custody or under supervision £5,000 In locked safe or strongroom £5,000 In locked receptacle other than strongroom £500	Consider safe for office	Clerk and Councillors
	Fidelity Guarantee	M	Insurance at £250,000		Clerk and Councillors
	Property	L	War Memorial: £11,906 Grounds equipment: £1673 Noticeboards: £6834 Gates & fencing: £8207 Street Furniture: £15958 Sheds & Contents: £5818 Office Equipment: £1415 Fishpond equipment: £1828 Play Equipment: £72,126 Ground Surfaces: £24,974 CCTV: £6480 Chain of office: £632 Speedwatch equipment: £1262		Clerk and Councillors
	Libel and Slander	L	Insurance at £250,000 (excess greater – 10% of claim or £1,000 whichever is lower)	Consider an Excess Reserve	Clerk and Councillors
	Personal Accident	L	Insurance at £500,000 any one person and £2,000,000 any one incident		Clerk and Councillors

	Employees/Councillors	L	Insurance at £100,000 Capital sum, £100 weekly sum – Accident and assault cover		Clerk and Councillors
	Excess	L	£250 to be set aside as a Reserve in case of any claim		Clerk and Councillors
	Adequacy of precept in order for the Council to carry out its statutory duties	L	<p>To determine the precept amount required, the Council regularly receives budget update information.</p> <p>At the precept meeting Council receives a budget report, including actual position and projected position to the end of year and indicative figures or costings obtained by the Clerk. With this information the Council maps out the required monies for standing costs and projects for the following year and applies specific figures to budget headings, and individual committee budgets, the total of which is resolved to be the precept amount to be requested from East Staffordshire Borough Council.</p>	<p>Review starting in December with budget process.</p> <p>Confirm precept requirement in January</p>	Clerk and Councillors
Precept	Insufficient available funds	L	A full budget needs to be submitted prior to the Precept request. This should include funds placed in reserve for future projects, a contingency fund and three months' running costs	Existing procedure adequate	Clerk and Councillors

Budget Provision and Reserves	Work awarded incorrectly	L	Normal Parish Council practise would be to seek, if possible, more than one quotation for any substantial work undertaken. For major work competitive tenders must be sought. If problems encountered with a contract, the Clerk would investigate the situation and report to the Council. If problems encountered with a contract, investigations to be made and reported to the full Council.	Procedure in Financial Regulations	Clerk and Councillors
Best Value Accountability	Overspend on services	M			
Contracts and contractors	Maintenance contractors		Refer to Standing Orders for award of contracts. Competitive tenders sought. Initial contracts awarded for 12 months. If problems encountered with a contract, investigations to be made and reported to the full Council. Subject to satisfactory performance, subsequent contracts are awarded for three years.	Report on performance and review when appropriate	Clerk and Councillors
Payroll and Salary	HMRC RTI Information – submit within time limits	L	Salary payments should be entered on the RTI Tools software and uploaded to HMRC on a monthly basis Pension payments set up by Direct Debit and monthly schedule completed by Clerk	Current procedure adequate	Clerk / HR Committee

	HMRC End of Year Submission / P60 – submit within time limits	L	The Council must complete the End of Year Submission online within the HMRC timeframe	Current procedure adequate	Clerk / HR Committee
	Salary paid incorrectly	L	Salaries agreed by full Council and paid monthly. Cheque signatories to check correct payments.	Existing procedures adequate	Clerk / Councillor Mandated signatories
	Unpaid tax to HMRC	L	Clerk ensures correct HMRC payments made by the due date	Existing procedures adequate	Clerk / Councillor mandated signatories
	Fraud by staff	L	Requirements of Fidelity Guarantee Insurance adhered to with regards to fraud.	Existing procedures adequate	Clerk and Councillors
Employees	Health and safety	L	All employees to be provided adequate direction and safety equipment needed to undertake their role.	Monitor health and safety requirements and insurance annually	Clerk and Councillors
	Clerk resignation / sickness / death	L	Councillors may act in a temporary capacity at nil pay. Contingency required for advertising, sickness cover etc – Exit Policy to be drafted indicating whereabouts of documents, cheque books, PAYE information etc.	Review contingency in budget annually Exit Policy to be drafted.	Clerk / HR
	Employer Liability / legislation	L	Comply with Employment Law Carry out Health and Safety Checks, Risk Assessments in accordance with Policy Council maintain membership of Staffordshire Parish Councils Association including National Association of Local Councils and receive regular updates on any changes to employment policy.	Review and adopt any changes to Health & Safety Policy, Lone Working Policy, Grievance Procedures, Equal Opportunities Policy and any others necessary. Carry out annual appraisals, salary reviews	Clerk / HR

			Clerk membership of Society of Local Council Clerks for support and advice		
Bank and Banking	Inadequate checks		Refer to Financial Regulations which set out banking procedures	Existing procedure adequate	Clerk / Councillors
	Bank mistakes		Monthly reconciliation	Existing procedure adequate	Clerk
	Cheque mistakes		Cheques to be written by the Clerk following inspection of the invoices and signed by two Councillors. Payments agreed on Schedule at the PC Meeting. Cheque, cheque counterfoil, invoice and schedule to be signed or initialled	Existing procedure adequate	Clerk and cheque signatories
	Credit references		The Bank performs credit references on cheque signatories	Existing procedure adequate	Bank
	Non-performance/ delivery of third parties		Avoid pre-payments wherever possible. Vet suppliers thoroughly	Existing procedure adequate	Clerk and Councillors
	Information communication		Financial information is a regular agenda item (Finance Report) with recommendations put forward by the Finance Committee then discussed / reviewed and approved by full Parish Council		Clerk and Councillors
Financial reporting	Annual accounts	L	Accounts to be closed at Council Year End 31 March and final Statement submitted to full Parish Council meeting for scrutiny and	Existing procedure adequate	Clerk and Councillors

			agreement. Clerk / RFO and Chairman to sign off.		
	Inadequate records	L	The Council has Financial Regulations which set out the requirements	Existing procedure adequate	Clerk and Councillors
Financial Records	Financial irregularities	L	Accounts are inspected at regular Finance Meetings and any discrepancies would be highlighted	Existing procedure adequate	Councillors
Grants	Payment of Grants and Power to pay using S137		Ensure that the donation is acceptable to pay under S137 or General Power of Competence. All such expenditure goes through the required Council process of approval, minuting and listing accordingly if a payment is made using S137 power of expenditure	Existing procedure adequate	Clerk and Councillors
Charges – rents	Payment of rents	L	Any rents receivable (Allotments, Holland Sports Club) are requested by the Clerk and chased for non-payment; rents payable (SCC) are paid within time frame indicated on invoice received	Existing procedure adequate	Clerk and Councillors
VAT	Reclaiming	L	The Council will make at least one reclaim using the 126 form annually after the close of the year end provided the reclaim is for more than one calendar month and is over £100. The order must have been requisitioned by the Council, the invoice made out to the Council or the Clerk and the payment made from Council funds.	Existing procedure adequate	Clerk

VAT	Charging	L	The Council is not currently registered for VAT	Existing procedure adequate	
Audit	Annual Return - complete and publish within time limits	L	<p>External Audit Annual Return completed and signed by the Internal Auditor and then completed and signed by the Chariman and Clerk / RFO and published on the website within the specified timeframe.</p> <p>If the PC payments and receipts fall below £25,000 the PC may agree that there is no need for a Limited Assurance Review and that Exemption is acceptable; the Certificate of Exemption must be completed and sent to the External Auditor by 30 June. All paperwork must still be completed and published whether or not it is sent to the External Auditor.</p> <p>The PC may still have a Limited Assurance Review and the paperwork must be completed and sent to the External Auditor and published on the website in the usual way.</p>	Existing procedure adequate	Clerk and Chairman
Audit	Public inspection of documents	L	By appointment only, at the Village Hall or other convenient public place. For the safety of the Clerk, the public are welcome to inspect	Existing procedure adequate	Clerk and Councillors



			documents, but with a Councillor present.		
	Internal Audit	L	Independent Internal Auditor appointed and recommendations reviewed and followed	Existing procedure adequate	Councillors (with advice from Clerk)
	Review of Effectiveness of Audit	L	The Council must review its requirements of the internal Audit including scope, independence, competence, relationships and planning following the completion of the Internal Audit.	Existing procedure adequate	Council
Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved at full Council Meetings, including reference to the power used.	Ensure relevant Power referred to.	Clerk and Councillors
Minutes / Agenda / Notices and Statutory Documents	Accuracy and legality	L	Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements including publishing on the Agenda and Minutes section of the Parish Council website ( <a href="http://www.bartonparishcouncil.org.uk">www.bartonparishcouncil.org.uk</a> )  Minutes are circulated in advance of the meeting, approved and signed at the next full Council meeting.	Existing procedure adequate	Clerk

	Standing Orders	L	Adopted May 2021	Revise and review annually	Full Council
	Financial Regulations	L	Adopted in April 2021	Revise and review annually	Full Council
	Code of conduct	L	Councillors issued with the document on taking office and conduct themselves in accordance with the Code of Conduct.	Existing procedure adequate, reviewed regularly	Clerk and Chairman
Council Records	Paper	L	Loss through, fire, theft, damage. The Parish Council records are stored at the Village Hall in the fire retardant filing cabinets. Records to be kept for the required amount of time and when disposed of, shredded.	Damage (apart from fire) and theft is unlikely – there are smoke detectors and fire alarms at the hall and the hall is locked when empty. Provision is therefore adequate. Further archiving/shredding of papers in storage is necessary.	Clerk and Council

	Electronic	M	<p>The Parish Council electronic records are stored on the Council's computer in the office, laptop at the Clerk's home, and in the Dropbox Cloud. Back-ups are made on to an external hard drive.</p> <p>MacAfee antivirus software is installed on both devices and is to be kept up-to-date</p>	Existing procedure adequate. Back ups to be made weekly.	Clerk
Data Protection	Policy provision		The Parish Council is registered with the Information Commissioner's Office	Existing procedure adequate	
	Data Protection Officer		Is not currently necessary. The Clerk is appointed Data Controller	To be reviewed should the legal position change and Data Protection Act 2018 comes into force.	
	GDPR		<p>Policies to be adopted and published:</p> <p>General Privacy and Data Protection, Document Retention, Freedom of Information, Disclosure Log, Consent for Information</p>	Policy implementation ongoing - Review annually	Council
Freedom of Information and Environmental Information Regulations	Policy	L	To date there have been no requests under FOI or EIR. Policy to be adopted and published	Policy implementation ongoing – Review annually	Clerk / Council
	Provision		The Parish Council is aware that if a substantial request came in it could		Clerk / Council

			create a number of additional hours work.		
Councillors	Resignation or death of a Councillor	L	When a vacancy arises there is a legal process to follow which leads to either a by-election or a co-option process. Advertising and procedure is followed under the direction of East Staffordshire Borough Council. The Council tries to draw members from around the Parish to make sure each area is represented.	A Casual Vacancy procedure is followed adequately	Clerk / Council
	Council becoming inquorate	M	If the Council becomes inquorate the Borough Council will take over the running of the Council (at the Village expense).	Procedures of East Staffordshire Borough Council are adequate	
Election Costs	Risk of an election cost	L	Risk is higher in an election year. The Council sets aside a sum each year to a maximum of £1,600 in case of an by-election. In a normal election year a budget figure for the Parish election is obtained in advance from the Borough Council	Existing procedure is adequate for the four-yearly elections and the risk of incurring costs of a by-election are low.	

Members' Interests	Register of members' interests	M	Councillors must complete a form on election which must be sent to East Staffordshire Borough Council for publication on their website. Councillors are responsible for ensuring that their own register of member's interests is kept up to date. Register displayed at <a href="http://www.bartonunderneedwood-pc.gov.uk">www.bartonunderneedwood-pc.gov.uk</a> and <a href="http://eaststaffsbc.gov.uk">eaststaffsbc.gov.uk</a>	Review Annually	Councillors
Council Meetings	Recording of meetings	M	Members of the public are requested to inform the Chairman if they wish to record the meeting. The Parish Council will also make a recording if necessary		Chairman

<b>ASSETS and PROPERTY</b>					
<b>Subject</b>	<b>Location</b>	<b>H / M / L</b>	<b>Management / Control of Risk</b>	<b>Review / Assess / Revise</b>	<b>Responsibility</b>
War Memorial	The Square, Main Street, Barton	M	Stone structure in garden surrounded by chain linked bollards.	Annual inspection to be carried out in June	Councillors
Benches and street furniture owned by the Parish Council	Main Street, War Memorial, Collinson Park, Fishpond	M	All secured by bolts, screws etc. Regular monitoring, reporting to the Council, annual maintenance and repair or replacement as required using personnel deemed qualified by the Council.	Annual inspection to be carried out in June	Parks and Open Spaces Committee
Collinson Park Play Equipment	Collinson Road	M	Inspections carried out at required intervals and any maintenance, repair or replacement as required carried out using personnel deemed qualified by the Council.	Annual inspection to be carried out in June  Weekly safety checks	Playdale Play Equipment  Groundsman / Parks & Open Spaces Committee

Memorial Wall	Burial Ground	L	Wall erected in 2013, regular inspection to be made to ensure stability. Plaques to be inspected to ensure adequately fixed.	Annual inspection to be carried out in June	Burial Ground Committee
Memorial Headstones, Gates, Fencing & Equipment	Burial Ground, Collinson Park, Fishpond, Allotments	L	All structures to be inspected regularly to ensure safety. Plumbing to be checked at Allotments  Fishpond pump and associated equipment checked quarterly	Annual inspection to be carried out in June  Bailiffs	Councillors  Fishpond Committee
Trees	Various locations on Parish Council land	L	Storm damage, disease, loose limbs, branches Health checks to be carried out to determine safety. Full report and maintenance requirements to be brought before full council unless risk to public and property high, then Clerk to arrange any urgent tree work. Lengthsman reports any damage.	Inspection every three years to be carried out in June and following high winds, floods. Lengthsman patrols village on a weekly basis.	Parks & Open Spaces Committee Clerk

Waste Bins	Collinson Park	M	Subject to vandalism, theft Damage – regular inspections carried out	Annual maintenance inspection in June	Parks & Open Spaces Committee
Grit Bins	War Memorial Village Hall Car Park	M	Subject to vandalism damage, theft of bin or contents – regular inspections carried out in winter months	Regular maintenance inspection carried out and ensure salt renewed through Ice Busters scheme or alternative funding.	Parks & Open Spaces Committee
Noticeboards	Village Hall x 2 Main Street Fishpond Burial Ground Mill Lane Park Road	M	Monthly checks carried out by Clerk when posting notices. Storm damage reported immediately to ensure safety of carriageway, pedestrians and property. Repair or replacement as required by personnel deemed qualified by the Council.	Full annual inspection and cleaning/maintenance required.	Clerk / Councillors



<b>Maintenance of land and assets</b>	Collinson Park, Ash Tree Pocket Park, Fishpond, St James Garden	M	Grounds Maintenance contract awarded and reviewed annually for grass cutting, weeding, pruning and shrubbery maintenance. CCTV installed and signage displayed.	Existing procedure adequate	Parks & Open Spaces  Clerk
	Burial Ground, War Memorial Village Hall Car Park Various tubs and borders	M	Employed Groundsman maintains Burial Ground, Village Hall Car Park and identified areas at the Fishpond. Any hazards reported to Clerk	All equipment regularly serviced and performance monitored.	HR Committee
	Fishpond		Bailiffs carry out maintenance at the Fishpond pegs. Bailiffs patrol and lifebuoys accessible.  Police Patrols requested in the event of any anti-social behaviour	Bailiffs voluntarily maintain using their own equipment	Fishpond Committee
	Allotments		Regular site inspections carried out. Skips hired for clearing.	Any safety issues addressed	Allotment Committee
	Litter pickers		Casual staff and volunteers taken through specific risk assessment.	RA to be reviewed regularly	Councillors/Clerk Voluntary groups

<b>Other Assets</b>	Holland Sports Club land	L	Club leases land from the Parish Council and operations as a Limited Company. Parish Councillors and Clerk attend Committee meetings and can intervene if any problems	Existing procedure adequate	Councillors / Clerk Holland Sports Club Limited
	Village Hall	L	Parish Council is the Sole Trustee and have appointed a Management Committee for the day to day running of the hall, Parish Councillors on Committee – Management Committee insure the premises and have Public Liability and Employee Liability cover.	Existing procedure adequate Terms of Reference to be drafted and adopted.	Parish Council Village Hall Management Committee
<b>Public Events</b>	Any public event organised or led by the Parish Council e.g. Better Barton Live; Remembrance Day; Christmas Lights Switch On		Ensure safety of all attending including staff, Councillors and members of the public  Public Liability Insurance at £10,000,000	Individual Risk Assessments drawn up for each event.	Councillors/ Clerk