

**BARLEY PARISH COUNCIL  
RISK ASSESSMENT SCHEDULE**

March 2021

**Definition of Risk Management**

Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled. It is one of the key elements of the framework of governance together with community focus standards of conduct and service delivery arrangements.

**Reference: Audit Commission – Worth the Risk: Improving Risk Management in Local Government (2001:5)**

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. The Council is aware that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic and focused approach to managing risk which:

- Identifies the subject
- Identifies what the risk may be
- Identifies the level of risk
- Evaluates the management and control of the risk and records findings
- Reviews, assesses and revises procedures if required.

**MANAGEMENT**

Subject	Risk(s) Identified	Level H/M/L	Management / Control of Risk	Review/Assess/Revise and Actions.
<b>Business Continuity and Council Records Storage</b>	Council unable to continue business due to an unusual event. Loss of records through theft, fire or damage.	L	Papers, both current and archived, are held in a lockable cabinet in the Village Hall and recent records are kept at the Clerk's home. The chairman retains a copy file of key documents at home. In the event of the Clerk being indisposed the RFO will take on the Clerks duties and vice versa. Electronic records are held on the Clerk's computer and stored to a separate hard disk each April and stored in the lockable metal cabinet.	Damage (apart from fire) and theft is unlikely Provision is adequate.
<b>Meeting Location</b>	Suitability Health and Safety  Loss of Village Hall.	L	Meetings are held in the Village Hall. The Chairman and the Clerk have keys to the building. The premises and facilities are considered to be adequate for the all those who attend from a health and safety and comfort aspect. Alternative premises could be arranged with neighbour PC's or businesses. .	Existing procedure considered adequate
<b>Web Site</b>	Out of Date. Updating of Site Hacked by third party	M  L	Clerk and members ensure content is updated following each meeting. Lead Councillor to monitor content. Maintained by reputable local web service	Existing procedure considered adequate
<b>Freedom of Information Act</b>	Policy Provision	L	The Council has adopted the model publication scheme for Local Councils and produced an information guide setting out what information is available and by what means, including costs, should a member of the public make a request.	Monitor and report any impacts made under Freedom of Information Act

<b>FINANCE</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management / Control of Risk</b>	<b>Review/Assess/Revise and Actions.</b>
<b>Precept</b>	Adequacy of Precept	M	Sound budgeting to determine the annual precept. The Parish Council to receive monthly budget updates with detailed budget statements each quarter. The precept is determined at the January meeting and the request forwarded to Pendle BC by the Clerk.	Existing procedure adequate
<b>Insurance</b>	Adequacy and Cost Liability in relation to: - <ul style="list-style-type: none"> <li>• Assets</li> <li>• Employees</li> <li>• Theft of Monies</li> </ul>	L L L L	An annual review is undertaken of all insurance arrangements in place.  Public Liability Insurance supported by asset register, inspection & repair Employee Liability Insurance supported by health and safety considerations Fidelity Guarantee supported by financial monitoring All above insurances are a statutory requirement.	Existing procedure adequate RFO to review provision and compliance annually and report to Council prior to paying premium.
<b>Bank &amp; Banking</b>	Inadequate checks	L	The key elements of the Council Financial Regulations to control risk are: - <ul style="list-style-type: none"> <li>• Two nominated Councillors are required to sign all cheques,</li> <li>• Bank transfer payments made by the RFO when instructed by the Council</li> <li>• RFO to undertake monthly bank reconciliation to ensure good order and this is checked by the Chairman and reported at each Council meeting.</li> <li>• Clerk to receive a copy of the bank statement each month to allow an independent reconciliation of income and expenditure to be undertaken and reported at each meeting.</li> </ul>	Existing procedures adequate Review Financial Regulations as necessary.  Clerk (or nominated Councillor) to check Reconciliation.
<b>Cash</b>	Loss through theft or dishonesty	L	The Council limits petty cash to £30 per annum for stationery and stamps. Petty cash transactions are only made by the Clerk and are fully receipted and reported to the RFO each quarter.	Existing procedures adequate
<b>Other financial controls and records</b>	Inadequate checks	L	RFO to produce a monitoring statement for each meeting. Any financial obligation must be resolved and clearly minuted before any commitment. All payments must be resolved and clearly minuted. Any Section 137 payments must be approved & recorded at time of approval Annual Internal Audit – Auditor appointed by the Parish Council. Annual External Audit – Auditor appointed by the Audit Commission.	Existing procedures adequate  Comply with Council policy.  Arranged by RFO.
<b>Car Park Charges</b>	Cash Emptying Theft  Cash Transport and Banking Theft	M  M	Gatekeeper to collect takings each day to limit value of cash in depository. Takings to be counted by an independent person. Quarterly random audit checks to be undertaken by RFO or Chairman. Takings to be banked weekly to minimise value of cash carried. Responsible person to take monies to bank taking all necessary security precautions.	Daily record maintained Actioned by RFO RFO to check banking statement
<b>Grants Received</b>	Receipt of Grants	L	Where a grant is awarded the terms and conditions (T & C) need to be considered and adhered to and receipt of grant monitored and confirmed.	Clerk to report on T & C. RFO to monitor payment. Include in financial

<b>Clerk &amp; RFO</b>	Loss of Clerk / RFO	M	Where practical the Council will seek to employ a Clerk and a RFO with flexible arrangements permitting them to cover should one of them be unavailable or leave the Council at short notice.	statement when setting precept
	Fraud	L	The requirements of Fidelity Guarantee insurance must be adhered to.	Insurance cover to be reviewed annually.
	Actions undertaken	L	Clerk & RFO to be provided with relevant training, reference books, access to assistance and legal advice	Membership of NALC maintained
	Salary paid incorrectly	L	The Clerk and RFO have Job Descriptions and Employment Contracts detailing salary payments. Council to authorise payments by bank transfer each quarter period.	Chairman to progress quarterly payments at Council meetings.
<b>Cllr and Staff Allowances</b>	Overpayment		Travel expenses paid at agreed rates. Other expenses paid upon submission of a suitable receipt and paid by cheque. Records maintained.	Existing procedures adequate. Action by RFO.
<b>Direct Costs &amp; Overheads</b>	Goods not supplied but invoice paid. Invoice incorrect. Unpaid invoices.		Following approval of expenditure by PC the RFO raises orders with suppliers. Following satisfactory receipt of services/goods the invoice values are verified by the RFO, with Councillor support if required, and payment made. A summary of payments to be issued is presented at each PC meeting and checked against the outstanding list. Cheques are signed or a bank transfer payment is made by the RFO and records are maintained of each transaction in the PC accounts.	Existing procedures adequate.  Action RFO.
<b>VAT</b>	Maintain records and VAT receipts. Re-claim in time limits.	L	Record VAT charges on purchases on HM Customs & Excise proforma to enable tax recovery. Claim re-payments annually using BACS transfer. All VAT receipts retained for 5years.	Existing procedures adequate. Action RFO.
<b>Reserves</b>	Adequacy	M	Reviewed annually at budget setting – nominally £9k.	Action RFO.
<b>Cheque Books Pay in Books</b>	Loss or Theft	L	Stored securely.	Action RFO.
<b>Annual return</b>	Not submitted within time limits	L	Annual return is completed and signed by the Council in May, submitted to the Internal Auditor for completion and signing in June, then checked and sent on to the External Auditor in July to comply with current time limits.	Existing procedures adequate. Action by RFO.
<b>ASSETS</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management / Control of Risk</b>	<b>Review/Assess/Revise and Actions</b>
<b>Street furniture and playground equipment</b>	Damage to play equipment and benches etc.	L	An asset register is kept up to date and insurance is held at the appropriate level for all items.	Existing procedures adequate  Nominated Councillors
	Failure to Maintain	L	Regular checks are made on all equipment by members of the Parish Council with repairs carried out promptly. Annual Inspection of all assets with report presented to council. Council has a roadside noticeboard and Councillors/Staffs are mindful of roadside safety when carrying out duties at the noticeboard.	
<b>Loss of car Park</b>	Pendle BC reclaim. Travellers set up Camp	M M	Ensure car park is well maintained and available to all - maintain satisfaction. Ensure steel gate barrier is locked every evening.	Regular inspection by Chair Action Gatekeeper

<b>LIABILITY</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management / Control of Risk</b>	<b>Review/Assess/Revise and Actions</b>
<b>Legal Powers</b>	Illegal activity or payments	L	All activity and payments made within the powers of the Parish Council (not ultra vires) and to be resolved and clearly minuted. Councillors informed of their legal powers. Clerk attends formal training and advises Council when making decisions. Ensure established with clear terms of reference.	Existing procedures adequate
	Working Parties taking decisions	L		Monitor on a monthly basis
<b>Minutes/ Agendas/ Statutory documents</b>	Accuracy and legality	L	Minutes are produced by the Clerk and issued in draft to Councillors. Thereafter minutes are approved at the next council meeting and signed off by the Chairman as an accurate record. Approved minutes stored in Parish Council records book by the Clerk.  Summons and agendas of PC meetings are produced in the prescribed format and timescale (adhering to legal requirements) and issued to Councillors. Notices and agendas of PC meetings are produced in the prescribed format and timescale (adhering to legal requirements) and displayed on notice boards.  Business conducted at Council meetings should be managed by the Chairman	Existing procedures adequate
	Non compliance with statutory requirements	L		Undertake adequate training  Members to adhere to Code of Conduct
<b>Employer and Public Liability</b>	Risk to third party, property, staffs or individuals	M	Insurance is in place and reviewed annually. Risk assessment of any individual event undertaken.	Existing procedures adequate
<b>Health &amp; Safety</b>	Risk to third party, property, staffs or individuals	M	Safety implications of any actions required of Councillors and Staff's to be considered when authorising actions including manual handling, traffic management and lone working. Only experienced contractors to be employed.	Existing procedures adequate
<b>Contracts</b>	Poor contract procurement and management	M	All Works Contracts Orders to specify price, quality of materials and build and time periods in writing before works commence. Any site-specific issues must be brought to the attention of the contractor before works commence. Only one Councillor is nominated to authorise contract variations.	Action by Nominated Councillor & Clerk.
<b>Legal Liability</b>	Legality of activities	M	Clerk to clarify legal position on proposals and to seek advice if necessary Council always receives and approves minutes at monthly meetings Clerk to be trained to be able to advise the Council in legal duties.	Existing procedures adequate
<b>COUNCILLORS PROPRIETY</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management / Control of Risk</b>	<b>Review/Assess/Revise</b>
<b>Members Interests</b>	Conflict of interest	M	Councillors have a duty to declare any interest at the start of the meeting	Existing procedures adequate
	Register of Members Interests	L	Register of Members Interests form to be reviewed at least on an annual basis	Members to take responsibility to update their register

<b>CAR PARK &amp; TOILET BUILDING</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management / Control of Risk</b>	<b>Review/Assess/Revise and Actions.</b>
Toilet donations	Cash emptying / Transport to Bank	M L	Empty donation boxes weekly to minimise cash within donation boxes. Takings to be banked frequently to minimise value carried by BPC member	Review if theft problem develops.
Fly tipping	General public disposing of waste in the car park	M	Daily monitoring of the car park. Ensure the car park gates are secured and locked each night to restrict access. Warning signs to be erected to discourage fly tipping if problem develops. CCTV system to act as deterrent with signs warning of system in operation.	Action Gate Keeper.  BPC Councillors to carry out regular checks. Purchase and installation of signs if required.
Fly tipping	Contractors disposing of commercial waste	M	BPC & village community to be vigilant of any suspicious activities taking place in the car park and surrounding areas. Ensure the car park gates are secured and locked nightly to restrict access	Monitor and report any unauthorised tipping. Action: Gatekeeper
Vandalism	Damage / defacing of the toilet block and car park / village green furniture.	M	BPC members & village community to be vigilant of any suspicious activities and report to the appropriate authorities. Ensure car park gates are secured and locked each night. Review the installation of security lighting if vandalism persists. Review the introduction of neighbourhood watch scheme if problems develop. CCTV system to act as deterrent with signs warning of system in operation.	Existing procedure adequate Review security lighting and other measures if problems develop. Action: Gatekeeper Monthly BPC meeting
Vandalism	Damage to the car park and surrounding area	M	BPC members & village community to be vigilant of any suspicious activities and report to the appropriate authorities Ensure the car park access gates are secured and locked nightly Review the installation of security lighting if vandalism persists Review the introduction of neighbourhood watch scheme CCTV system to act as deterrent with signs warning of system in operation.	Existing procedure adequate Any actions to be raised at the BPC monthly meetings if required Action: Gatekeeper
Gypsy incursions	Travellers setting up camp on the car park	L	Ensure the gate is secured & locked each night. BPC members to be vigilant of any suspicious movements Regular checks during Travellers annual festivities to ensure no unauthorised camping. No Overnight camping signs to be displayed.	Existing procedures adequate Action: Gatekeeper
Trips. Slips & Falls	Uneven car park surface	M	Ensure car park surface is regular checked and report any damage to the BPC Maintenance schedule in place	Action: repairs to car park to be planned annually and spot repairs required as potholes deeper than 75mm develop. Quarterly Inspection BPC

Trips. Slips & Falls	Uneven paving stones. Broken or uneven manhole and grate covers	M	Monthly inspections carried out on pavements / covers and report any damage. Repairs carried out in a timely manner according to risk Annual inspection to be carried out by nominated Councillors.	Existing procedures adequate. Annual inspection report
Trips. Slips & Falls	Slippery surfaces due adverse weather conditions around toilet building		Ensure pavements around toilet entrances and pay kiosk are clear of ice when reasonably practicable. Water used to clean floors should not escape the building during freezing conditions The covering of leaves cleared as required during Autumn season.	Action: Lengthsman Action: Cleaning Contractor Action: Lengthsman.
Water Supply Failure of Services &  Safety	Loss of water supply and Flooding	L	Daily Check of water supply – toilets flushing & Hand Wash Driers working Report any leaks / damage during daily cleaning of the toilet block. Report any blockages to the toilets or drainage system.  Ensure water supply pipes are well insulated to prevent burst pipes during the winter periods - Cleaning Contractor to check Annual maintenance checks.  Legionella Testing – In accordance with Legionella Risk Assessment Only cold water (<math>20^{\circ}\text{C}</math>) to be provided All water cistern tanks to be covered to prevent access to vermin Water Tanks to be cleaned out to remove sludge, scale etc Notice given to the public / cabin of any planned isolations of the water supply	Action: Cleaning Contractor Action: Cleaning Contractor Action: Cleaning Contractor  Existing procedures adequate BPC annual inspection report.  Notification of isolations.
Electrical Supply Failure of Services &  Safety	Loss of electrical supply	L	Toilets to be checked daily for vandalism and after adverse weather conditions. Any damages to be repaired and electrical trips/ fuses to be reset /replaced by a nominated competent person. Electrical Meter Reading provided to supplier every six months Notice given to the public / cabin of any planned isolations of the water supply  Electrical Installation Condition Report commissioned every 5 Years by qualified electrician and records kept up to date. Report any damage during daily cleaning of the toilet block.	Action Cleaning Contractor.  Nominated BPC Councillor Notification of isolations Existing procedures adequate BPC annual inspection report  Action Cleaning Contractor
Building Safety & Security	Roofs, Walls, Drains, Floors, Doors	L	Fixtures and fittings to be inspected daily during cleaning operations. Minimise risk of vandalism & misuse the toilet building is to be locked overnight Annual Building Condition Inspection with Report by nominated Councillors	Action: Cleaning Contractor  Action: BPC
Toilet Cleaning	Public Health	L	Toilets to be cleaned daily in accordance with approved cleaning schedule. Toilets are closed during cleaning operations to minimise risks. Deep Cleaning of Toilets every 6 months. Sanitary Bins provided and emptied by Specialist Contractor. Cleaning materials are provided by BPC with minimum stock levels maintained	Action: Cleaning Contractor Action: Cleaning Contractor Action: Cleaning Contractor Monitored Cleaning Contractor

<b>TURNING CIRCLE &amp; PLAYGROUND</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>H/M/L</b>	<b>Management / Control of Risk</b>	<b>Review/Assess/Revise and Actions.</b>
Vandalism	Defacing of village property and infrastructure	L	Councillors & village community to be vigilant of any suspicious activities and report to the appropriate authorities. Review the installation of security lighting if vandalism persists. Review the introduction of neighbourhood watch scheme if vandalism persists.	Existing procedure adequate  Monthly BPC meeting Monthly BPC meeting
Failure of services to the Bus shelter	Loss of electrical supply	L	Annual maintenance checks carried out.  Ensure sufficient notice is given to the general public of any planned isolations of the electrical supply by external contractual work by utility companies.	Existing procedures adequate BPC annual inspection report. Notification of isolations sent to BPC chairman .
Trips. Slips & Falls	Uneven surface	M	Regular checks by Councillors. Any hazards to be reported and repairs carried out promptly according to risk.	Action: Councillors. Action: Lengthsman
Trips. Slips & Falls	Slippery surfaces	M	Ensure cobble stones are clean and slips are reduced where reasonably practicable. The covering of leaves cleared when required during Autumn season. Area cleaned by Pendle Council road sweeper.	Action: Lengthsman  Action: Lengthsman.
Turning Circle (TC) used as a car park.	Parked cars of public or businesses using the TC as a car park or preventing turning movements	M  M  M	Restricted parking time signs in place. Councillors to place "no parking" tickets on offending vehicles when practical. Regular offenders to be reported to BPC Clerk and contact made with offender when identified. Councillors to be vigilant of any suspicious parked cars. Barley Mow management to be informed of any unauthorised parking by Barley Mow staffs. Barley Garage to be informed the TC is not an over-spill car park.	Verbal action by Councillors or Correspondence by Clerk  Monitoring by all BPC Councillors.
Defibrillator	Failure of equipment	L	Equipment regular checked by nominated BPC Councillor.	Existing procedures adequate.
Fly tipping	General public disposing of waste in the turning circle	L	Regular monitoring of the turning circle Warning to signs to be erected to discourage fly tipping if problems arise.	Action: Councillors to carry out regular checks. Purchase and installation of signs if required.
Playground	Risk of damage Risk of Personal Injury.	M M	The Parish Council conducts weekly checks of the area for general maintenance. This is done by a Lead Councillor. Any issues will be emailed to the Clerk for action. Annual playground inspections are conducted by PBC.	Existing Procedures Adequate.  Arranged by Clerk





## BARLEY PARISH COUNCIL RISK ASSESSMENT SCHEDULE Review 2021

ITEM	FREQUENCY	COMMENTS / ACTIONS
<b>Parish Council Insurance Limits Including</b> Public and Employers Liability Money and Fidelity Guarantee Personal Accident	Annually Annually Annually	<b>All processes adequate.</b>  Action RFO Action RFO Action RFO
<b>Asset's inspection</b> Street Furniture Toilet Building Inspection – General Toilet Building Inspection – Detailed Electrical inspection Surface of Car Park & Turning Circle	Annually Daily Annually 5 Years Monthly	Action by Designated Councillors Cleaning Contractor Action by Designated Councillors Approved Contractor Action by Designated Councillors
<b>Financial Matters</b> Banking Arrangements Insurance Providers VAT return completed Budget agreed, monitored and reported Precept requested:  Payment's approval procedure Bank reconciliation overseen by Chairman Clerk's/ RFO salary reviewed and documented Internal audit External audit Internal check of financial procedures	Annually Annually Annually Quarterly Annually / January  Monthly Ongoing Annually Annually Annually	<b>All processes adequate</b>  Action RFO Action RFO Action RFO / Council Clerk  Action Clerk & RFO RFO & Chairman Chairman Action RFO / Clerk / Chairman Action RFO Action Clerk
<b>Administration</b> Minutes properly numbered Asset Register available/updated Financial Regulations reviewed Standing Orders reviewed Backups taken of computer records Other Policies reviewed	Ongoing Ongoing 2Yrs 2Yrs 6 months 3 Years	<b>All processes adequate</b> Action Clerk Action Clerk & Chairman Action Clerk & RFO Action Clerk & Chairman Action Clerk & RFO Action Clerk & Chairman
<b>Employers Responsibilities</b> Contract of employment in place Contractors Indemnity Insurance Written arrangements with contractors	Annually Ongoing Ongoing	<b>All processes adequate</b> Action Chairman Action Chairman / Councillors Action RFO / Chair / Councillors
<b>Members' responsibilities</b> Code of Conduct adopted Register of Interests completed and updated Register of Gifts/Hospitality Declarations of Interests minuted	Ongoing Ongoing Ongoing Ongoing	<b>All processes adequate</b>  Action Councillors Councillors advise Clerk

The information given above was agreed at the March'21 meeting and will be agreed annually as being a correct record.

Signed  
Chairman

Dated

Clerk

Dated