

BARKWAY PARISH COUNCIL - RISK ASSESSMENT

Reviewed 13th March 2017

Subject	Initial Risk	Degree of Risk	Actions to Control Risk	Status	Degree of Residual Risk
Financial Management					
Business continuity	Parish Council not being able to function in the event of an unexpected disaster	Low	Parish Council has adopted a business continuity plan	To be reviewed annually	Minimal
Precept	Precept inadequate	Medium	Precept is determined by producing regular budget control statements and amount requested is based on actual spend and estimated income, expenditure and reserve for the ensuing year	To be reviewed annually	Low
	Precept not applied for	Low	Clerk to submit request to District Council	Existing procedures adequate	Very low
	Precept not received	low	Clerk to inform Parish Council when monies received		Very low
Financial records	Inadequate records	Low	The Parish Council has controls and procedures in place to ensure that requirements are met	Existing procedures adequate	Very low
	Financial irregularities	Low			Very low
Banking Cash	Inadequate checks	Low	The Parish Council has controls and procedures in place to ensure that requirements are met	Existing procedures adequate	Very low
	Bank errors	Low			Very low
	Loss of cheques/cash	Low			Very low
	Unnecessary charges	Low			Very low

Reporting and auditing	Lack of information and communication	Medium	A financial statement is produced at Parish Council meetings on a quarterly basis as an agenda item and is approved at the meeting	Existing procedures adequate	Low
	Compliance	Medium	internal audit to be carried out annually		Low
Costs and expenses	Incorrect invoicing	Low	All payments to be approved by Councillors at a meeting and all invoices to be checked and signed by the two authorised signatories who sign the cheques	Existing procedures adequate	Very low
Debts	Cheques incorrect	Low			Very low
	Debts outstanding	Low	Any payment due to the Council to be obtained	Existing procedures adequate	Very low
Grants receivable	Non receipt of grants	Low	Receipt of one-off grants to be monitored by Councillor responsible for grants and Parish Clerk	Existing procedures adequate	Very low
Charges – Rentals payable	Non payment of rents/charges	Low	The Parish Council employs specialists for one off services as and when required. Invoices received to be dealt with under the existing system	Existing procedures adequate	Very low
Charges - Fees and Services	Non payment of fees/services	Low	The Parish Council employs specialists for one off services as and when required. Invoices received to be dealt with under the existing system	Existing procedures adequate	Very low

Charges – Rentals/Hire Charges and Contributions receivable	Non receipt of rents/hire charges and contributions	Low	The Parish Council receives rent and contribution for the use of the Recreation Ground and Pavilion. These charges/contributions should be invoiced/requested/monitored as agreed.	Annual contribution from RTFC reviewed and agreed by BRGMC on 24th April 2015	Low
			Insurance arrangements to be in place by users or covered by Parish Council's insurers in agreement with all parties	Procedures in place for other hirers of the Pavilion	
Work commissioned by Parish Council	Insufficient quotations obtained	Low	Normal practice should require the Parish Council where appropriate to obtain more than one quotation for any work over £1,000. The Parish Councillor responsible for the project to check the quotations and research any problems and report to Parish Council	Existing procedures adequate	Very low
	Work commissioned incorrectly	Low	Parish Councillor to manage the project effectively		Very low
	Work goes over budget	Medium			Low

Remuneration and other Costs	Remunerations calculated and paid incorrectly	Low	Barkway Parish Council has four regular employees, the Parish Clerk, the litter picker, the Groundsman and the Pavilion Bookings Clerk / Caretaker although other people may be employed on an ad hoc basis. The Clerk's remuneration is reviewed annually and is based on industry remuneration scales. The Clerk's monthly fee and expenses are approved at each Council meeting	Existing procedures adequate	Very low
	Tax, N I and Pension implications	Low	Tax, N I and Pension matters are dealt with by the Clerk	Existing procedures adequate	Very low
Councillors and employees	Loss of key Councillors and contractors	Medium	This is covered by the Business Continuity Plan	To be reviewed annually	Low
	Fraud by Councillors and contractors	Low	Insurance requirements to be adhered to	Existing procedures adequate	Very low
	Actions undertaken by Councillors and contractors	Medium	Adequate training to be arranged for Clerk and for Councillors to be provided with the necessary information for them to carry out their duties effectively	Ongoing	Low
Election costs	Risk of an election cost	Medium	Risk is higher in an election year. When an election is due the Clerk will obtain an estimate of costs from the County 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	If there were to be election costs, they would be taken from Reserves, not exceeding an amount of £3,000	Low

VAT	Failure to maintain proper records and to reclaim VAT where appropriate	Low	The Parish Clerk reviews the position quarterly and makes a claim where necessary, at least twice annually	Existing procedures adequate	Very low
Annual Accounts	Failure to submit within time limits	Low	The Annual Accounts are prepared by the Clerk and are completed and signed by the Council, further to a review of the Internal Audit procedures which has to be minuted before the financial year end. The Accounts are then submitted to the Internal Auditor for completion, signing and checking then sent on to the External Auditor within the time limit	Existing procedures adequate	Very low
Legal powers	Illegal activity or payments	Low	All activity and payments within the powers of the Parish Council to be agreed and minuted at full Parish Council Meetings	Existing procedures adequate	Very low
Minutes/Agendas/Notices	Accuracy and legality	Low	Minutes and agenda are produced in the prescribed method by the Clerk and adhered to the legal requirements. Minutes are approved and signed at the next Council meeting. Minutes and agenda are displayed according to the legal requirements	Existing procedures adequate	Very low
Statutory documents	Business conduct	Low	Business conducted at Council meetings is managed by the Chair	Councillors to adhere to Code of Conduct and Standing Orders	Very low

Members Interests	Conflict of interest	Low	The declaring of interests by members at a meeting should be an obvious process to remind Councillors of their duty and should remain on the agenda	Existing procedures adequate	Very low
	Register of Members Interests	Medium	Register of Members' Interest forms should be reviewed regularly by Councillors. The Register of Members' Interests is available to view on the Barkway Village website accessed via the Governance page.	Councillors take responsibility to update their forms and to be reminded at each Parish Council meeting	Low
Insurance	Inadequate cover	Medium	A review of insurance cover and premiums is carried out annually prior to renewal and at times of change of circumstances.	Existing procedures adequate	Low
	Uncompetitive costs	Medium			Low
	Claims	Medium	Care is taken to minimise likelihood of a claim being made		Low
Data Protection	Illegal usage of stored data	Low	Parish Council registered for Data Protection	Registration renewed annually	Very low
Freedom of Information Act	Lack of policy and provision	Low/medium	Parish Council has adopted a Freedom of Information Policy.	To be reviewed annually	Very low
Children, Young Persons and Vulnerable Adults	Lack of policy and provision	Medium	Parish Council has adopted a Children, Young Persons and Vulnerable Adults Protection Policy.	To be reviewed annually	Low
			Royston Town Football Club has their own Policy in place.		

Equipment and Areas					
Assets	Loss or damage	Low	An annual review of assets is carried out in order to update insurance cover and to ensure that storage and maintenance of physical assets is maintained	Existing procedures adequate	Very low
	Risk/damage to third parties or their properties	Low			Very low
Maintenance of property for which the Parish Council is responsible eg Reading Room (<i>see section on meeting locations</i>), recreation ground and play equipment, pavilion (see separate fire risk assessment), War Memorial, village pond, wagon wash (<i>see Water Features section below</i>)	Poor condition of property or amenities	Medium	All assets or property for which the Parish Council is responsible are regularly reviewed and maintained	Existing procedures adequate	Low
	Potential loss of income	Medium	All repairs and relevant expenditure for these repairs are actioned/ authorised in accordance with the correct procedures of the Parish Council		Low
	Risk of injury or damage to third parties and/or their property	Medium	All assets & property are insured and reviewed annually or when circumstances change		Low
	Inadequate insurance cover	Medium	All public amenity land is inspected regularly by the Parish Council or their advisers		Low
	Vandalism	Medium			Low
	Security	Medium			List of key holders for Pavilion and Reading Room is maintained.
	Emergency services access to Recreation Ground	Low		Main gate to be unlocked when events are taking place on the Recreation Ground.	Very low

Maintenance of property (continued)	Trees	Low		Tree survey to be carried out and again within agreed timescales, at no longer than 5 yearly intervals.	Very low
	Dog mess	Medium		Dog waste bins are situated in various locations and are emptied on a regular basis.	Very low
	Fire	Low			Low
Notice boards	Risk/damage/injury to third parties	Low	Parish Council has three notice boards sited around the village. All locations have approval by relevant parties, insurance cover, inspected regularly by the Clerk - any repairs or maintenance requirements brought to the attention of the Parish Council. Keys are held by the Parish Clerk and several Councillors	Existing procedures adequate	Very low
	Vandalism	Medium			Low
Street furniture, signs, etc.	Risk/damage/injury to third parties	Low	The Parish Council is responsible for two boundary signs, waymark signs, dog bins, various benches, the Parish map board and the village sign	Existing procedures adequate	Very low
	Vandalism	Medium			Low

Meeting locations - Reading Room & Community Room	Health & Safety	Low	The Parish Council has a duty to ensure that these meeting locations meet health and safety requirements in order for them to be used by the Council and public alike in a safe and comfortable way	Health and Safety inspection to be arranged	Low
	Security	Low		List of key holders maintained by Clerk	Low
	Fire	Low		Fire risk assessment to be carried out	Low
Council records -paper	Loss through: Theft, fire, damage	Low	The Parish Council records are stored at the home of the Clerk and in lockable steel cabinets in the Reading Room, Barkway. Records include historical correspondence, minute books and copies, legal documents, records, such as contractors, insurance, land registration documents, payments, etc.	Loss through theft, fire or damage is unlikely.	Very low
				Any legal documents held will be copied and held at a separate location	
				A fire-proof safe is located in the Reading Room for storage of important documents.	
Council records -electronic	Loss through: theft, fire, damage, corruption of computer	Low/medium	The Parish Council's electronics records are stored on the Clerks computer. Data backup to be carried out on a monthly basis onto external hard drive.	A fire-proof safe is located in the Reading Room for storage of external hard drive containing copied data.	Very low
Website	Webmaster not being able to function	Low	One other Councillor and the Clerk are also trained to maintain the website	Existing procedures adequate	Very low

Website (continued)	Loss of passwords	Low	Copy of all passwords used by barkway-village.co.uk to be kept by Clerk and Chairman	Existing procedures adequate	Very low
Water Features					
Village Pond	Flooding	Medium	There is an over flow facility to the pond. Historical water levels indicate there is very low risk of pond reaching capacity and overflowing. Water levels should be checked regularly, and if necessary pumped out	Overflow facility currently working. Regular monitoring being carried out by Portfolio Holder.	Low
	Pond icing over during cold periods	Medium	Warning signs are installed including on jetty during cold weather and removed accordingly		Low
	Risk/damage/injury/death to third parties or property	Medium	Any maintenance work carried out to the pond must be conducted by professionally qualified and insured contractors		Low
			Legal boundaries have been established with adjoining landowners in order to clarify liabilities and responsibilities for the safety of 3 rd parties.		
			Ensure boundary fencing is maintained.		
			On site emergency throw line attached to post on jetty.	Consideration to be given to throw line being replaced by life buoy	
Safety guidance notices are on notice boards for all users of the area.	Guidance notice to be updated giving advice on duck feeding				

Village Pond (continued)	Risk/damage/injury/death to third parties or property		Depth of water and level of silt in Pond to be checked regularly.	Visual check of water level carried out regularly by Portfolio Holder. Annual check of silt level to be carried out.	
			Sufficient funding be made available in the budget for all appropriate maintenance of the Pond / Area and Jetty.	Existing procedures adequate.	
Jetty	Risk/damage/injury/death to third parties or property	Medium	Replacement jetty installed in August 2016 incorporating safer and wider access for all users	Annual inspection by Portfolio Holder to maintain condition and safety standard of the Jetty.	Low
			Sufficient funding be made available in the budget for all ongoing appropriate and necessary maintenance of the Jetty.	Existing procedures adequate.	Low
Village Green	Risk/damage/injury/death to third parties or property	Low	The Village Green area has been refurbished to make the ground area even and safe.	A regular inspection is carried out by the Portfolio Holder.	Low
			Condition of public benches be regularly inspected and appropriate maintenance undertaken.	A regular inspection is carried out by the portfolio holder	

Village Green (continued)			Arrangements for Village Green Area to be observed at intervals to assess usage and activities. Risk assessment be adjusted and additional safety measures undertaken if necessary.	Monitoring is carried out by the Portfolio Holder.	
			Sufficient funding be made available in the budget for all appropriate maintenance of the Village Green.	Existing procedures adequate.	
			Over flow drain has been cleared of debris and growth	Monthly inspection of overflow drain by carried out by Portfolio Holder and clearance work organised if necessary	
Wagon Wash	Flooding	Medium	Any maintenance work carried out to the pond must be conducted by professionally qualified and insured contractors	Existing procedures adequate	Medium
	Wagon Wash icing over during cold periods	Medium	Warning signs are installed in cold weather and removed accordingly	Work carried out	Low
	Risk/damage/injury/death to third parties or property	Medium	Wall/kerb on overflow end has been cleared of all vegetation to make it clearly visible.	Situation to be reviewed annually.	Low
			Area above overflow drain should be free of all obstacles	Situation to being continually monitored.	
			Grasses areas at both ends to be managed. All potentially hazardous tree/bush stumps and roots be removed to ensure even and safe levels are maintained.	Monitoring being carried out by the Portfolio Holder.	

Wagon Wash (continued)			Vegetation should be encouraged to reduce access by third parties on the entrance slopes at each end		
			Reflector posts installed at access slopes, to reduce risk of drive-ins and to clearly demark road side		
			Legal boundaries with adjoining landowner have been established in order to clarify liabilities and responsibilities for the safety of 3 rd parties.		
			Maintenance of structure on North, West and East sides (South wall is responsibility of adjoining landowner).	Encroaching vegetation to be removed as required. Monitoring carried out by the Portfolio Holder (in conjunction with adjoining landowner for South wall)	
			Safety guidance notices placed on notice boards for all users of the area.	Guidance notice to be updated giving advice on duck feeding	
			Depth of water and level of silt in Wagon Wash to be checked regularly.	Visual check of water level carried out regularly by Portfolio	

				Holder. Annual check of silt level to be carried out.	
Wagon Wash (continued)			Arrangements for Wagon Wash Area to be observed at intervals to assess usage and activities and risk assessment adjusted and additional safety measures undertaken if necessary.	Monitoring carried out by the Portfolio Holder.	
			Sufficient funding be made available in the budget for all appropriate maintenance of the Wagon Wash	Existing procedures adequate.	
Trees	Risk/damage/injury to third parties and/or property	Medium	Professional Tree Condition/Hazard Survey carried out.	Works carried out on trees within advised timescale and will continue with ongoing advised programme of maintenance.	Medium/Low
			Sufficient funding be made available in the budget for all ongoing appropriate and necessary maintenance of trees.		

Events					
Bonfire on the « Rec »	Risk/damage/injury to third parties and/or property	Medium	The Parish Council has controls and procedures in place to ensure that safety requirements are met. Annual Risk Assessment required.	Procedures to be updated annually in the light of recent changes to health and safety issues	Low
	Potential loss of income	Low			Very low
	Inadequate insurance cover	Medium			Low