BARNT GREEN PARISH COUNCIL

80 Hewell Road, Birmingham, B45 8NF

0121 447 9893 | exec@barntgreenparishcouncil.gov.uk | www.barntgreenparishcouncil.gov.uk

LOCAL COUNCIL AWARD SCHEME FOUNDATION

RISK ASSESSMENT AND MANAGEMENT

OCTOBER 2025

RISK AREA	POTENTIAL RISK IDENTIFIED	LIKELIHOOD OF OCCUR	IMPACT	RISK RATING SCORE	POTENTIAL IMPACT	STEPS TO MITIGATE RISK (CONTROL)	EVIDENCE	ACTION (AGREED IMPROVEMENTS)
Assets	Damage to physical assets as identified on the Asset Register (office equipment, street furniture)	1 – 2	1 – 2	Low – Medium	Cost of replacing damaged, destroyed or missing assets. Loss of facilities.	Maintain Asset Register; Resolve ownership; Regular maintenance of assets. Adequate level of insurance	Current insurance policy. Maintenance contract Risk-Assessed Fixed Asset list	Regular review of insurance policy. Regular review of maintenance contract.
Finance	Banking procedures	1	3	Medium	Cash flow problems. Increased potential for fraud	Follow clear procedure via Financial Regulations. Regular banking and reconciliation of statements. Termly internal audit by parish councillors Mandate kept up to date.	Banking procedure agreed by Council. Monthly reconciled bank statements. Signed confirmation of quarterly internal audit; independent internal audit Current bank mandate.	Ensure all council members are aware that there are 4 signatories on the account and 2 are required to sign to authorise. Review bank mandate to ensure bank signatories are up to date.
Finance	Loss of income because of damage or theft	1	1	Low	Inability to provide expected service. Loss of key data.	Adequate level of insurance cover. Any important documents backed up to off-site hard drive and original paper copies kept in lockable filing cabinet.	Current insurance policy schedule. Data back-up.	Review the need for consequential loss insurance cover. Storage of key documents to be in a fireproof lockable cabinet where possible.

Likelihood multiplied by Impact = Risk Rating Score.
Risk Ratings: High 5; Medium 4,3,2; Low 1

RISK AREA	POTENTIAL RISK IDENTIFIED	LIKELIHOOD OF OCCUR	IMPACT	RISK RATING SCORE	POTENTIAL IMPACT	STEPS TO MITIGATE RISK (CONTROL)	EVIDENCE	ACTION (AGREED IMPROVEMENTS)
Finance	Loss of income because of non-payment of sales invoices	2	1	Medium	Cash flow	Have a 7-day payment policy detailed on the invoice. Provide multiple ways in which to make a payment and detail these prominently on the invoice. Set automated reminders following invoice date.	System in place for non-payments. 7days, fortnightly reminder, non-payment further action letters, legal proceedings.	
Finance	Loss of cash through theft or dishonesty	1	3	Medium	Adverse publicity for the council and risk to reputation. Financial loss.	Adequate level of fidelity insurance cover, with a minimum of £10,000.	Insurance policy document	Review level of fidelity insurance relevant to size/activity of council.
Finance	Non-compliance with HMRC regulations	1	2	Medium	Penalties and/or fines for late returns, errors on submissions etc. Reputational risk and adverse publicity.	Use external advice when necessary. Submit VAT return every 6 months and at least annually. Submit Real-Time payroll monthly and end of year returns online and on time. Internal and external audit review.	VAT returns and workings. Monthly payroll submission confirmations.	Maintain VAT accounting monthly to keep track of when to submit VAT return. Maintain monthly and quarterly salary returns.
Finance	Inadequate financial controls and records	1	2	Medium	Lack of control over the Council's assets. Higher likelihood of fraud or misappropriation of assets. Ineffective reporting. Qualified internal and	Qualified executive officer Adherence to Finance Regulations & policies. Accounts/asset register prepared on accounting system. Bank reconciliations undertaken monthly. Quarterly inspection of	Minimum of 2-year review of relevant policies. Quarterly (minimum) accounts statements to Parish Council. Bank reconciliation statements. Check-sheets signed by appointed members.	Review Finance Regulations annually. Maintain asset register and reconcile to agreed insurance values. Update asset register for all future assets purchased.

Likelihood multiplied by Impact = Risk Rating Score.
Risk Ratings: High 5; Medium 4,3,2; Low 1

RISK AREA	POTENTIAL RISK IDENTIFIED	LIKELIHOOD OF OCCUR	IMPACT	RISK RATING SCORE	POTENTIAL IMPACT	STEPS TO MITIGATE RISK (CONTROL)	EVIDENCE	ACTION (AGREED IMPROVEMENTS)
					external audit reports.	accounts daybook by appointed members. Expenditure payments approved by council. Minimum 2 council signatories on payment authorisations. Annual independent internal audit.	Signed expenditure payments reports. Signed authorisation reports / cheque stubs. Approved signatories on bank mandate. Auditor's statement 'un-qualified'.	Training for Members of the Finance Working Party and EO CPD in financial administration.
Finance	Inadequate budgeting	1	2	Medium	Council receives less funding than is required to meet its obligations and objectives.	Council prepares detailed balanced budget in late Autumn. Precept determined directly from this budget. Actual expenditure versus budget reported to Council at least twice a year.	Budget versus actual statements with minuted approval, signed by 2 parish councillors.	To include statement of approval in the minutes.
Finance	Non-Compliance with borrowing restrictions	1	1	Low	Council acting outside its powers	Justification for any additional borrowing fully reviewed and approved by Council. Borrowing approval via NALC.	Internal and external audit reviews.	Not currently required.
Liability	Third party property or individuals	1	3	Medium	Funding cost of a successful action or claim against the Council. Reputational risk.	Public liability insurance cover (£10M)	Current insurance policy.	
Liability	Legal liability because of asset ownership e.g. street furniture	1	3	Medium	Cost of a successful claim against the Council. Reputational risk.	Adequate Insurance; clarify land ownership responsibility	Current insurance policy.	Proof of ownership

Likelihood multiplied by Impact = Risk Rating Score.
Risk Ratings: High 5; Medium 4,3,2; Low 1

RISK AREA	POTENTIAL RISK IDENTIFIED	LIKELIHOOD OF OCCUR	IMPACT	RISK RATING SCORE	POTENTIAL IMPACT	STEPS TO MITIGATE RISK (CONTROL)	EVIDENCE	ACTION (AGREED IMPROVEMENTS)
Employer Liability	Non-compliance with employment law	1	3	Medium	Employee dissatisfaction and disputes, leading to industrial tribunal.	Employer Liability Insurance cover. Relevant staff training and experience. Advice from relevant professional advisers and membership bodies e.g. CALC and SLCC	Staff qualifications and training records. Membership confirmation. Contractual arrangements with professional advisers. Annual Appraisal.	Review line management responsibilities Appraisal Policy
Employer Liability	Non-compliance with HMRC requirements	1	3	Medium	Fines and penalties for late returns, errors etc. HMRC investigations.	Relevant staff training and experience. To take note of advice from HMRC as required. Internal and external audit reviews.	Records of HMRC returns and submissions.	Chairman/Vice-Chairman to note receipt of HMRC notifications.
Employer Liability	Safety of staff and visitors	1	1	Low	Funding cost of a successful action or claim against the Council. Reputational risk.	Adequate insurance. Relevant staff training. Adherence to Council policy on lone working and health and safety.	Current insurance policy. Signed confirmation of acceptance of policy. Training certificates	Revisit employee safe-working policies/ lone-working policy. Creation of H&S Policy
Contractual Liability	Failure to fulfil contract	1	2	Medium	Cost of legal support in event of claim. Reputation at risk.	Adequate insurance. Both sides to agree terms of contract. Contractors to provide proof of insurance cover.	Copy of agreed written contract signed & retained. Copy of contractors' insurance retained.	
Legal liability	Non-compliance with legal powers (acting *ultra vires*)	1	1	Low	Potential reputational and financial risk.	Executive Officer clarifies the legal position. Legal advice to be taken as necessary. Regular Worcs CALC updates circulated. Access to CALC /NALC	Council minutes. General Power of Competence achieved and implemented January 2020.	
Legal liability	Inaccurate and/or non- timely reporting via the minutes	1	3	Medium	Inappropriate or no actions undertaken. Reputational risk.	Full council meets regularly and receives and approves minutes of meetings.	Council minutes consecutively numbered, signed and dated. Hard copy available as well as via the website.	Annual review of Freedom of Information requirements.

Likelihood multiplied by Impact = Risk Rating Score.
Risk Ratings: High 5; Medium 4,3,2; Low 1

RISK AREA	POTENTIAL RISK IDENTIFIED	LIKELIHOOD OF OCCUR	IMPACT	RISK RATING SCORE	POTENTIAL IMPACT	STEPS TO MITIGATE RISK (CONTROL)	EVIDENCE	ACTION (AGREED IMPROVEMENTS)
					Non-compliance with the Freedom of Information Act	Minutes made available to public via the Council website. Staff training.		
Legal Liability	Inaccurate and/or non-timely disclosure via public media e.g. newsletter / website	1	3	Medium	Misleading information provided. Legal claim against the Council Risk to reputation.	All media double-checked for accuracy. Newsletter proof-read. Permissions obtained. Libel/slander insurance cover	Regular reporting to council, recorded in minutes. Signed copies of permissions retained.	
Legal Liability	Misconduct of staff	1	1	Low	Risk to reputation 3rd-party claim against the Council Cost of legal advice	Regular liaison with Executive Officer Membership of relevant professional body (SLCC/ILCM) CPD training	Diarised meetings Chairman and Executive Officer Support of membership to SLCC. Annual appraisal and review of training needs	
Health & Safety	Failure to comply with legislation	1	3	Medium	Action or claim against the council. Reputational risk	Policies on health and safety adopted and reviewed every two years. Checklists and risk assessments of relevant activities are undertaken. Training of staff. Lead Health and Safety Officer identified.	Review of policy minuted. Health and Safety policy available. Accident record book retained in office. First-Aid kit available in office	Check suitability of First-Aid kit and purchase replacement items if required. Regular review of H&S policy.
Legal Liability	Document control	1	2	Medium	Loss of key data. Confidential data compromised. ICO investigation. Council unable to function effectively	Any key legal documents kept in locked office cabinet or archived at County Records Office. Computer backed up regularly using stand-alone hard drive.	Schedule of which documents are contained in locked cabinet and those at County Archive.	Identify and list statutory documents (e.g. employers' liability, minutes) and where stored.
Councillor Propriety	Non-Declaration of Interests	1	3	Medium	Councillors' conflict of interest Corruption Reputational risk	Register of Interest completed and reviewed annually.	Register available online via link to District Council website.	

Likelihood multiplied by Impact = Risk Rating Score.
Risk Ratings: High 5; Medium 4,3,2; Low 1

RISK AREA	POTENTIAL RISK IDENTIFIED	LIKELIHOOD OF OCCUR	IMPACT	RISK RATING SCORE	POTENTIAL IMPACT	STEPS TO MITIGATE RISK (CONTROL)	EVIDENCE	ACTION (AGREED IMPROVEMENTS)
						Agenda item to prompt all to declare any DPI's/ODI's. Update forms available at meetings Training of councillors	All declared interests recorded in Parish Council minutes Councillors' training record maintained	
Councillor Propriety	Non-compliance with Code of Conduct	1	3	Medium	Bringing the Council into disrepute	Signed acceptance of Code; copy provided to all members. Training of councillors	Parish Council minutes Councillors' training record maintained	Ensure new members receive appropriate training
IT	Failure of IT System	1	4	Medium	Loss of service	Upgrade / service equipment regularly	New PC and laptop purchased in May 19 as old equipment over 6 years old. Unlikely that both the PC and laptop would fail at the same time meaning that loss of service is minimal.	Purchase extended warranty on IT Equipment.
IT	Security	2	2	Medium	Cybercrime – Ransomware / Malware	Antivirus software applied to all systems. Back up to cloud system.	Annual renewal of antivirus. Emails are quarantined automatically if from an unfamiliar source. Two – step authentication on financial websites. Password protection on all ecommerce activity and council's own website.	Different passwords for each website.
IT	Security	1	2	Medium	Theft	Insured to cover cost of replacement. No data stored on either PC or laptop as all cloud-based storage – minimises the risk of data	Current insurance policy. Different passwords to Pc and Laptop.	

Likelihood multiplied by Impact = Risk Rating Score.
Risk Ratings: High 5; Medium 4,3,2; Low 1

RISK AREA	POTENTIAL RISK IDENTIFIED	LIKELIHOOD OF OCCUR	IMPACT	RISK RATING SCORE	POTENTIAL IMPACT	STEPS TO MITIGATE RISK (CONTROL)	EVIDENCE	ACTION (AGREED IMPROVEMENTS)
						protection and council integrity.		

Approved by Barnt Green Parish Council at the Parish Council Meeting 20 October 2025 and signed by the Chairman.

Chairman R.Cholmondeley Robert Cholmondeley (Nov 5, 2025 21:43:49 GMT) ______________ Date 05/11/25 ______________

Review Date: October 2026

Likelihood multiplied by Impact = Risk Rating Score.
Risk Ratings: High 5; Medium 4,3,2; Low 1

11. Risk Assessment and Management Policy October 2025

Final Audit Report 2025-11-05

Created:	2025-11-05
By:	Eleanor Choudry (exec@barntgreen.org.uk)
Status:	Signed
Transaction ID:	CBJCHBCAABAAC21wTOUNBu470Tt9v-uC0mQmUIfKKl2G

"11. Risk Assessment and Management Policy October 2025" History

Document created by Eleanor Choudry (exec@barntgreen.org.uk)
2025-11-05 - 12:05:23 PM GMT

Document emailed to Robert Cholmondeley (robert.cholmondeley@barntgreenparishcouncil.gov.uk) for signature
2025-11-05 - 12:05:27 PM GMT

Email viewed by Robert Cholmondeley (robert.cholmondeley@barntgreenparishcouncil.gov.uk)
2025-11-05 - 9:41:52 PM GMT

Document e-signed by Robert Cholmondeley (robert.cholmondeley@barntgreenparishcouncil.gov.uk)
Signature Date: 2025-11-05 - 9:43:49 PM GMT - Time Source: server

Agreement completed.
2025-11-05 - 9:43:49 PM GMT