

## BROAD HINTON AND WINTERBOURNE BASSETT PARISH COUNCIL

### BROAD HINTON AND WINTERBOURNE BASSETT PARISH COUNCIL RISK ASSESSMENT

#### Notes

**“The greatest risk facing a local authority is not being able to deliver the activity or services expected of the Council.”**

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the Council to identify any and all potential risks inherent in the place or practices. Based on a recorded assessment the Council should then take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible. Making sure that all Councillors and the Clerk are made aware of the results of the risk assessment.

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. In conducting this exercise, the following plan was followed:

- Identify the areas to be reviewed.
- Identify what the risk may be.
- Evaluate the management and control of the risk and record all findings.
- Review, assess and revise if required.

#### Risk Definitions

##### Probability

- High: This category of Risk would be unacceptable to the workings of the Council and immediate remedial action is needed to reduce the chance of the risk occurring.
- Medium: Whilst it might be acceptable to live with this Risk level, action should be undertaken, if possible, to reduce the chance of the risk occurring.
- Low: This would be acceptable as it is unlikely to occur.

##### Impact

- High: A Risk of High Impact occurring would severely limit the ability of the Council to continue to operate effectively.
- Medium: The Impact of a Medium Risk would be damaging to the workings of the Council, but it would be able to continue to function.
- Low: This would be acceptable and the Council would be able to continue with minimal disruption.

**BROAD HINTON AND WINTERBOURNE BASSETT PARISH COUNCIL**

**FINANCE AND MANAGEMENT**

<b>No</b>	<b>Subject</b>	<b>Risks Identified</b>	<b>Probability H/M/L</b>	<b>Impact H/M/L</b>	<b>Management/ Control of Risks</b>	<b>Review/ Assess/ Revise</b>
1.	Business Continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	L	M	All paper and hard copy files and recent records are kept at the Clerk's home. The Probability is Low as Clerk makes continuous back-ups of all recent electronic files through the Microsoft Office system. In the event of the Clerk being indisposed the Chairman will contact the Wiltshire Association of Local Councils for advice and the Councillor responsible for IT can grant another Clerk access to electronic files. Nevertheless, should a major event take place, the Impact could be serious	Existing procedures adequate. Review when necessary.
2.	Precept	Adequacy of precept Requirements not submitted to Wiltshire Council Amount not received from Wiltshire Council	L	M	The Council reviews the Precept requirement annually at the December meeting and reviews the presented budget update information, including actual position and projected position to year end and estimated figures for the next financial year. With this information the Council then agrees the amounts set for the specific budget headings for the following year, the total of which is resolved to be the precept amount to be requested from Wiltshire Council. This figure is submitted by the Clerk to Wiltshire Council. The Clerk informs Council when the monies are received (approx April time). The system works well and with Wiltshire being a well run County, both the Probability and Impact can be deemed Low	Existing procedure adequate.
3.	Financial Records	Inadequate records Financial irregularities	L	L	The Council has Financial Regulations that set out the requirements. With the system of checks and balances in place, the likelihood is seen as Low	Existing procedure adequate. Review the Financial Regulations when necessary.

**BROAD HINTON AND WINTERBOURNE BASSETT PARISH COUNCIL**

4.	Bank and Banking	Inadequate checks Bank mistakes Loss Charges	L	L	The Council has Financial Arrangements that set out the requirements for banking, cheques and reconciliation of accounts. The Clerk reconciles the bank accounts when the statements arrive. The Clerk reviews the Councils banking arrangements regularly.	Existing procedure adequate. Review the Financial Regulations when necessary and bank signatory list when necessary, especially after an AGM and an election. Monitor the bank statements monthly.
5.	Reporting and Auditing	Information communication Compliance	L	L	A budget monitoring statement is produced before each Council meeting with the agenda and discussed and approved at the meeting. A list of payments above £100 is provided at the meeting and the financial records including a breakdown of receipts and payments balanced against the bank statement are presented and checked at each meeting.	Existing communication procedures adequate. Council appointed a Councillor to act as overseer and checker
6.	Direct costs Overhead expenses Debts	Goods not supplied but billed Incorrect invoicing Cheque payable incorrect Loss of stock Unpaid invoices	L	L	The Council has Financial Regulations that set out the requirements. Council has well ordered system for agreeing payments with records of agreeing Councillors being noted. The Council has minimal stocks. Invoices paid promptly by Clerk. Risk seems as Low	Existing procedure adequate. Review the Financial Regulations when necessary.
7.	Best Value Accountability	Work awarded incorrectly Overspend on services	L	L	As per Financial Regulations normal Parish Council practice would be to seek, if possible, more than one quotation for any substantial work required to be undertaken or goods provided. For major contract services, formal competitive tenders would be sought. If a problem is encountered with a contract the Clerk would investigate the situation, check the quotation/tender, research the problem and report to Council. The Probability of such an event can be seen as Low	Existing procedure adequate. Review Financial Regulations regularly
8.	Clerk/ Other Workers	Loss of Clerk Fraud	L	L	The Parish Council has sufficient reserves to enable training of a replacement in the event of the Clerk	Existing procedure adequate. Purchase

**BROAD HINTON AND WINTERBOURNE BASSETT PARISH COUNCIL**

		Actions undertaken Health & Safety			resigning. The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role. The only possible problem could be a sudden loss of Clerk, but that could be overcome.	reference books where necessary. Membership of the WALC. Monitor working conditions, safety requirements and insurance regularly.
9.	Annual Audit	Submit within time limits	L	L	Annual Audit is prepared by the Clerk and signed off by the Council. Then submitted and sent on to the External Auditor within time limit.	Existing procedures adequate
10.	Legal Powers	Illegal Activities or Payments	L	L	All activity and payments within the powers of the Parish Council to be resolved and minuted at Full Parish Council Meetings.	All activities and payments Minuted.
11.	Council Records – Paper	Loss through: Theft Fire Damage	L	M	Recent Parish Council records are stored at the home of the Clerk. Records include historical correspondence, minute books and copies, documents for ownership of property etc. Recent materials are in a metal filing cabinet (not fire proof) and older more historical records stored off site in Chippenham. Possible scanning of all hard copy documents and then held on Cloud seen as a sensible solution. This would lower the Risk considerably.	Damage (apart from fire) and theft is unlikely and so provision adequate. Deeds/leases copied and deposited off site
12.	Council Records – Electronic	Loss through: Accidental Deletion, Theft, fire, damage Corruption of computer	L	L	The Parish Council's electronic records are stored on a Council computer at the Clerk's home. Recent changes to a Microsoft Office system provides permanent back up through Cloud technology. Accidental deletion covered by 0365 'undelete' feature.	Existing procedures adequate
13.	Insurance	Adequacy Cost Compliance	L	L	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Employers and Employee liability insurance is a necessity and must be paid for. Ensure compliance measures are in place.	Existing procedure adequate. Review insurance provision annually.
14.	Data Protection	Policy Provision	L	L	The Council holds the minimum of personal data. Data Protection policy under review	Existing procedures under review, but generally adequate.

## BROAD HINTON AND WINTERBOURNE BASSETT PARISH COUNCIL

15.	Freedom of Information	Policy Provision	L	L	The Council has a model publication scheme from WALC in place.	Monitor and report any impacts of requests made under the FOI Act.
16.	Meeting Location	Adequacy Health and Safety	L	L	The Parish Council Meetings are held at the Village Hall. The premises and the facilities are considered to be adequate for the Clerk, Councillors and Public who attend from Health & Safety and comfort aspects.	Existing location adequate
17.	Street Lighting	Risk/Injury to third party	L	L	Not applicable to this Council	Review when necessary.

### ASSETS

No	Subject	Risks Identified	Probability H/M/L	Impact H/M/L	Management/ Control of Risks	Review/ Assess/ Revise
18.	Street Furniture, Play Area Equipment and Open Spaces	Loss or Damage Risk/damage to third party(ies)/property	L	L	Not entirely applicable to this Council. Adequate insurance in place	Existing procedure adequate. Review insurance requirements annually.
19.	Noticeboards	Risk/damage/injury to third parties Road side safety	L	L	Parish Council has a number of notice boards sited around the Villages. All locations have approval by relevant parties, insurance cover, inspected regularly by the Clerk - any repairs/maintenance requirements brought to the attention of the Parish Council. Where applicable keys held by the Clerk.	Existing procedure adequate
20.	Bus Shelters	Damage to shelters	M	L	The Council has a number of Bus Shelters situated on the main road. These are subject to damage by passing cars and weather.	Ongoing problem, but council has provision in place for repair if necessary.

**BROAD HINTON AND WINTERBOURNE BASSETT PARISH COUNCIL**

**LIABILITY**

<b>No</b>	<b>Subject</b>	<b>Risks Identified</b>	<b>Probability H/M/L</b>	<b>Impact H/M/L</b>	<b>Management/ Control of Risks</b>	<b>Review/ Assess/ Revise</b>
21.	Minutes/Agendas/ Notices/Statutory documents	Accuracy and legality Business conduct	L	L	Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Minutes and agenda are displayed according to the legal requirements. Business conducted at Council meetings should be managed by the Chair.	Existing procedure adequate. Guidance to Chair should be given (if required). Members to adhere to Code of Conduct.
22.	Public Liability	Risk to third party, property or individuals	L	L	Insurance is in place. Risk assessments regularly carried out to comply with requirements. Nevertheless the impact on the Council working could be significant	Existing procedures adequate. Ensure risk assessments are carried out.
23.	Employer Liability	Non compliance with Employment law	L	L	Undertake adequate training and seek advice from the Wiltshire Association of Local Councils	Existing Procedures adequate
24.	Legal Liability	Legality of activities Proper and timely reporting via Minutes Proper document control	L	L	Clerk to clarify legal position on proposals and to seek advice if necessary. Council always receives and approves Minutes at monthly meetings. Retention of document policy in place.	Existing Procedures adequate

**COUNCILLORS PROPERTY**

<b>No</b>	<b>Subject</b>	<b>Risks Identified</b>	<b>Probability H/M/L</b>	<b>Impact H/M/L</b>	<b>Management/ Control of Risks</b>	<b>Review/ Assess/ Revise</b>
25.	Members Interests	Conflict of interest Register of Members interests	L	M	Councillors have a duty to declare any interests at the start of the meeting.	Existing procedure adequate. Members to

**BROAD HINTON AND WINTERBOURNE BASSETT PARISH COUNCIL**

					Register of Members Interest forms to be reviewed regularly by Councillors.	take responsibility to update their Register.
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Seen and agreed 5 January 2021

This Risk Assessment must be reviewed on or before 4 January 2024