

Blunsdon Parish Council Financial & Procedural Risk Register

Risk management is the process whereby local councils methodically address the risks associated with what they do and the services which they provide. The Parish Council should identify potential risks, then take all practical and necessary steps to reduce or eliminate the risks associated with working conditions, workplace activities and environmental factors, as far as is practically possible. This document should enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

Assessment Scoring: 1 = low; 2 = low/medium; 3 = medium/high; 5 = high

Activity	Risk	Cause	Effect	Likelihood	Actions
1. Finances	Sudden large expenditure required or excessive under budgeting	Unforeseen problem / Poor budgeting	Service not provided. Lack of confidence in council. Inability to carry out functions. Insufficient funds for contingencies	2 – Low/medium	Ensure the Council has a good amount in reserves, generally 50% of precept. Insurance in place to cover major risks. Careful budget planning
2. Finances	Adequacy of Precept	Precept not submitted to CDC. Precept not received by Parish Council	No income for parish council to continue its work	1 – LOW	RFO to prepare budget, taking into account expenditure + projects, Full review of proposed budget by Council in November. Regular review of expenditure vs. proposed budget. RFO to submit precept figure before deadline. RFO to advise council of receipt of precept at next available meeting.

Activity	Risk	Cause	Effect	Likelihood	Actions
3.Finances	Fraud	Inadequate controls/ record	Loss of funds Financial irregularities	1- Low	Financial Regulations reviewed annually to ensure they are adequate. Annual internal & external audit. Bank balances reported at every finance meeting with bank reconciliations. Bank balance and expenditure audited by councillor twice a year. Cheques + cheque stubs signed by 2 councillors upon sight of original invoice Fidelity Insurance cover
4.Finance – VAT	VAT not re-claimed within time limit	Poor accounting	Loss of funds Financial irregularities	2- Low/Med	All VAT receipts to be recorded. Separate column to show VAT PAYMENTS on Accounts system. RFO to produce refund analysis and make claim to HMRC for recovery of amounts as per financial regulations. All documentation for this process to be maintained in council records
5. Assets	Damage, theft	Vandalism, accident, storms	High cost of repair or replacement. Loss of Assets. Disruption. Damage to public property or person	2	Maintain up to-date register of assets. Regular maintenance for physical assets and register of inspections. Monthly inspection of defibrillators and assets in the village. Annual review of risk and adequacy of insurance cover. High security locks used on storage sheds/containers. Playground equipment inspected weekly by staff and checked annually by ROSPA. To carry out weekly inspections for the play areas .

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6. Contractors	Contractors not supplying services	Unavailable due to illness, poor weather	Poor Services	1 - Low	Contracts are defined. Contracts are informally monitored by Clerk & Councillors. Corrective action taken as required. To ensure receipts of RAMS & PLI cover is current with contractors.
7. Insurance	Inadequate Insurance cover for the Council, its employees and assets	Failure to renew insurance policy. Cover on policy inadequate/	Council is uninsured and liable to insurance claim.	2/3	An annual review is undertaken of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement. Officials' Indemnity also in place.
8. Parish Council records and archives	Loss of Parish Council records	Fire, Flood, theft		1	Lodge archived records with Wiltshire County Council's Archives Office. Any risk to these records is unlikely. Ensure current archives are GDPR safe in a locked cabinet at the Village Hall.
9. Electronic Records	Loss of documents on staff computers	Computer crash, fire, theft, flood	Loss of records	2	Back-up copies onto external hard drive. Minutes kept as hard copies and copies emailed to all councillors. Minutes & policies held on parish council website Secure passwords to be used on all electronic devices + websites only known by Clerk/Assistant + Chairman Documents are to be uploaded daily to cloud storage for back up.
10. Clerk to the Parish Council	Unavailability	Resignation, illness	Work to of the Parish Council cannot be carried out	2	Laptop to be retrieved from clerk. Urgent work carried out by the Assistant Clerk,

					Chairman and other Councillors. Contact WALC about availability of temporary cover or contact local Clerks
Activity	Risk	Cause	Effect	Likelihood	Actions
11.PC Meetings	Accommodation unavailable for meetings	Damage to Meeting room or Village Hall. VH already booked	Meeting room unavailable	1	Use nearby village hall or similar amenity such as office building. It is noted the use of Public Houses are restricted.
12. Membership of the Parish Council	Vacancies on council	Resignation, retirement, insufficient nominations at elections	Meetings cannot be held due to not being quorate	2	Identify on unofficial basis local residents who might be interested in becoming councillors. Advertise vacant seats.
13. Members Interest	Member has not disclosed a Declaration of Interest relating to an agenda item	Conflict of Interest by Member	Resolutions cannot be met due to insufficient number of Cllrs	2	Standard agenda item for members to declare any personal or prejudicial interests they have + need to disclose of matters to be discussed. Clerk to keep log of any Dol's, agenda item + date. Defer item to next agenda if not quorate.
14. Safety of Cllrs + Clerk	Physical safety of Cllrs + clerk on site meetings	Inadequate precautions. Accidents due to unsafe ground or buildings	Injury to person and/or compensation claimed from council	2	At site meetings, all councillors to adhere to any safety requests from site managers. PPE to be worn if required on building sites. Adequate insurance in place to cover accidents.

Activity	Risk	Cause	Effect	Likelihood	Actions
15. Moving and handling	Moving objects, reaching, bending and twisting. Stooping, top-heavy bending (bending from the waist using the back), can lead to pulled muscles, general backache.	Lack of training or knowledge of self-preservation or M&H procedures	Volunteers may suffer strains, back pain, etc	2	Lift and move items using your legs to bend, not your back. Do not handle large items. Assess items before you move them for hazards - eg sharp edges. Wear appropriate footwear that has suitable tread and ankle support, so that you are less likely to slip whilst carrying out the activity Provide appropriate training.
16. Environmental	Slips, trips during work/delivering	uneven ground surfaces, slippery or seasonal	Sprains/collisions/broken bones or equipment	2	Be aware of surfaces walked on, wear appropriate footwear, appropriate signage Accidental insurance cover.
17. Vehicle movement	Car parking during meetings	Ineffective lighting during evening meetings outside the hall, ineffective vehicle controls	Serious injury if struck by a moving vehicle	1 - low	Drivers to agree to observe speed limits and the Highway Code and pedestrians to be self-aware and of moving vehicles
18. Hazardous debris	Needles, broken glass, animal faeces	Items left discarded without proper disposal	Serious infection - Toxocariasis, cuts/stick injuries/lacerations due to sharp instrument	2	All to do a visual sweep of the area prior to approaching the property. Volunteers agree to wear disposable gloves (provided for their use) and wash hands thoroughly upon completion of task

19. Food hygiene	Food poisoning	Incorrect handling of food items or out of date food, incorrect labelling	Sickness	2	When packing the shopping, cooked food to be kept separate from raw products. If shopping not being delivered immediately after shop, ensure chilled/frozen produce remain cool. Ideally pack in a freezer bag. To wash hands thoroughly after delivering / receiving goods. Food hygiene training
20. Infection control as in pandemic	Delivering goods has the potential to spread of infection	Not following cleaning, disinfecting & physical contact regimes	Illness / deterioration of health	2-3	Volunteers advised not enter the help-requester's home; leave the supplies on the doorstep; ring the doorbell and move away immediately. If possible, advised to telephone ahead to communicate time of arrival. Not to take cash payment. Not to approach property if any person is within 2 metres. Not to approach property if downstairs windows are open.
21. Reporting of hazards	Re occurring incidents	Unreported and no action being taken	Injury due to hazard still in situ or near miss remaining unreported - physical and reputational	2	System in place for reporting of hazards. All participants briefed in the system in place for the reporting of hazards
22. Up to date with events	Not up-to-date with latest guidelines. Information slows to be fed back from volunteers.	Insufficient processes/controls	Volunteers working to out-dated guidelines. Potential infection risk to help-requesters and criminal/legal liability. Reputational damage to the Parish Council.	2	Provide regular contact & up to date information with volunteers who are regularly providing community support to help-requesters
23. Security during pandemic	Financial loss / Handling Personal Data securely	Incorrect disposal of information, inappropriate disclosure	Embarrassment Financial loss	2	Volunteers advised preferable not to accept credit/debit cards, or cash payments for goods supplied. Help-requesters advised to make payment by telephone / online / PayPal before volunteer collecting goods where possible. Volunteer / Help-Requester agreed to data sharing; the information will be circulated on a 'need-to-know' basis.

					Volunteers agreed to maintain confidentiality, provide GDPR training.
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