

## Winterbourne Parish Council Risk Register

Risk ref.	Risk Description	Baseline RAG 2019			RAG Jan 2020			RAG Jan 2021			Mitigations in place	RAG TREND	Proximity	Mitigating Actions	Likelihood	Impact	Score	Residual Risk	REVIEW STATUS	
		Likelihood	Impact	Score	RAG Status	Likelihood	Impact	Score	RAG Status	Likelihood										Impact
WPC2019-1	<p><b>Risk:</b> Delay in distribution of precept from Wiltshire Council.</p> <p><b>Cause:</b> uncertain, but may arise from political, operational or financial difficulties within Wiltshire Council, or more widely</p> <p><b>Effect:</b> WPC would have insufficient cash to meet its obligations (salaries, maintenance contracts, services and insurance premiums)</p> <p><b>Impact:</b> Inability to meet contractual and employment obligations, loss of insurance cover</p> <p><b>Note:</b> assumption that event will be up to 1 year only</p>	1	5	5	A	1	2	2	G	1	2	2	G	↔	G	1	2	2	G	Reviewed July 2020 Cash reserve confirmed at June WPC meeting
WPC2019-2	<p><b>Risk:</b> Accident or injury to volunteer or public during community day activities.</p> <p><b>Cause:</b> operation of machinery or use of tools, traffic accident from working close to highways</p> <p><b>Effect:</b> damage to property or equipment, personal injury</p> <p><b>Impact:</b> injury (potential for fatal injury), financial loss, personal liability, reputational impact for WPC</p>	3	5	15	R	2	3	6	A	2	3	6	A	↔	A	2	3	6	A	Reviewed April 2020.
WPC2019-3	<p><b>Risk:</b> Accident or injury from use of amenity field and play equipment.</p> <p><b>Cause:</b> Falling, collapse of equipment, drowning</p> <p><b>Effect:</b> personal injury, damage to equipment</p> <p><b>Impact:</b> injury (potential for fatal injury), financial loss, Council liability, reputational impact for WPC</p>	3	5	15	R	2	3	6	A	2	3	6	A	↔	A	2	3	6	A	Reviewed April 2020. Noted field closed March 2020 to comply with coronavirus regulations. Notice provided and gates locked. WPC reviewed/inspected all equipment before re-opening field to the public. <b>As at Jan 13 2021 playground permitted to remain open under coronavirus regulations.</b>
WPC2019-4	<p><b>Risk:</b> Accident or injury to tenant or public on allotment site.</p> <p><b>Cause:</b> Use of tools or machinery. Injury from poorly placed structures or waste (fences, buildings, glass etc.). Poisoning. Uncontrolled bonfire. Vehicle accident.</p> <p><b>Effect:</b> damage to property or equipment, personal injury</p> <p><b>Impact:</b> injury (potential for fatal injury), financial loss, personal &amp; Council liability, reputational impact for WPC</p>	3	5	15	R	3	4	12	A/R	3	4	12	A/R	↔	A	2	3	6	A	Reviewed Jan 2021. Action on improving vehicle entrance complete. <b>Pedestrian access not currently possible, as SE corner plot let.</b>
WPC2019-5	<p><b>Risk:</b> Parish Council unable to form quorum.</p> <p><b>Cause:</b> resignation of councillors or absence from meeting(s)</p> <p><b>Effect:</b> Parish Council unable to make decisions</p> <p><b>Impact:</b> Inability to authorise expenditure or other approvals</p>	1	4	4	A	1	2	2	G	2	3	6	A	↑	R	1	2	2	G	Reviewed Jan 2021. <b>Review intentions of current councillors ahead of May election. Community engagement to encourage new nominations.</b>

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WPC2019-6	<p><b>Risk:</b> Uninsured loss or liability.</p> <p><b>Cause:</b> Event excluded from WPC insurance policy, other unknown event(s)</p> <p><b>Effect:</b> WPC has to meet costs, Councillor(s) incur personal liability and loss</p> <p><b>Impact:</b> Financial loss (Council, or Councillor(s))</p>	2	3	6	A	1	2	2	G	1	2	2	G	↔	G	1	2	2	G	Reviewed May 2020. Insurance renewal required full review of all documentation by all councillors.		
WPC2019-7	<p><b>Risk:</b> Clerk unavailable.</p> <p><b>Cause:</b> Illness, accident, resignation</p> <p><b>Effect:</b> Routine and statutory functions of Clerk not undertaken, payments and receipts not managed, records (including financial) not maintained. Loss of access to communications, records, bank account.</p> <p><b>Impact:</b> Parish Council ceases to function effectively. Breach of statutory provisions, including financial. Cost (temporary employment to cover)</p>	3	5	15	R	3	5	15	R	3	5	15	R	↔	G	3	2	6	A/G	<p><b>Jan 2021</b>  <b>Reviewed in particular in context of rapidly spreading coronavirus. Increase bank signatories to 4. Designated councillors have "admin" access to WPC email accounts.</b>  <b>With this acute impact reduced, but medium term impact still high.</b></p>		
WPC2019-8	<p><b>Risk:</b> Loss of community support or interest in Parish Council.</p> <p><b>Cause:</b> Failure to engage with community, volunteer fatigue</p> <p><b>Effect:</b> Loss of resource (volunteers), insufficient new councillors</p> <p><b>Impact:</b> PC seen as irrelevant, may cease to exist if long term loss of interest (too few councillors, Unitary Council takes over). Higher cost for contracted services</p>	4	4	16	R	4	4	16	R	4	4	16	R	↔	A	2	3	6	A	<p><b>Reviewed January 2021</b>  <b>Coronavirus guidance and regulations has restricted many opportunities for community engagement.</b></p>		
WPC2019-9	<p><b>Risk:</b> Financial Fraud or mismanagement.</p> <p><b>Cause:</b> Errors, omissions in finances, bank error, inadequate budget planning, fraudulent acts (councillors, clerk, third party)</p> <p><b>Effect:</b> loss of money</p> <p><b>Impact:</b> inability to discharge functions, honour contracts including subscriptions, insurance, employment, tax. May result in uninsured losses, councillor(s) liability</p>	3	5	15	R	1	3	3	A/G	1	3	3	A/G	↔	A	1	3	3	A/G	<p>Reviewed June 2020  Regulations and risk assessment were reviewed in February 2020  Internal auditor appointment confirmed March 2020, end of year accounts and governance statement inc int auditor assurance presented to WPC meeting June 2020.  Monthly statements to WPC now include copy bank statement  Policy financial reserves in place, annual statement presented to WPC meeting June 2020</p>		
WPC2019-10	<p><b>Risk:</b> Loss of portfolio lead councillor.</p> <p><b>Cause:</b> Resignation, illness, not elected</p> <p><b>Effect:</b> Discontinuity of knowledge, records, contacts and activity</p> <p><b>Impact:</b> Inability to manage portfolio task, impact depends on the task.</p>	3	4	12	A/R	3	4	12	A/R	3	4	12	A/R	↔	A	3	1	3	G	<p>Jan 2021.  In progress. Covid restriction have been barrier to development of new working practices</p>		

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WPC2019-11	<p><b>Risk:</b> Major incident or emergency within Parish or impacting Parish residents, infrastructure.</p> <p><b>Cause:</b> Weather, flooding, accident, prolonged power cut, terrorism, other</p> <p><b>Effect:</b> Depends on nature of incident but may involve (partial) evacuation from homes, closure of transport routes, need for special support to vulnerable individuals</p> <p><b>Impact:</b> Disruption to services, movement, supplies. Possible major impact on some residents/households</p>	2	5	10	A/R	2	4	8	A	2	4	8	A	<p><b>Mitigating actions</b></p> <p>1. Develop and maintain community resilience plan - in progress</p> <p>2. Maintain communication/relationship with CBRN training centre, relevant focal points in emergency services, Wiltshire Council - in progress</p>	↔	A	<p><b>Mitigating actions</b></p> <p>1. Develop and maintain community resilience plan</p> <p>2. Maintain communication/relationship with CBRN training centre, relevant focal points in emergency services, Wiltshire Council</p>	2	2	4	A/G	<p>Jan 2021.</p> <p><b>This risk does not take into account Covid-19. See separate risk at 2020-2</b></p> <p><b>Community resilience plan to be updated in 2021</b></p>
WPC2019-12	<p><b>Risk:</b> Loss of Parish records.</p> <p><b>Cause:</b> IT failure, fire, theft, failure to record/archive, accident (including accidental deletion)</p> <p><b>Effect:</b> Breach of statutory provision (esp. finance, tax), vulnerability over contract compliance and negotiation, loss of knowledge essential to functioning of Parish Council</p> <p><b>Impact:</b> Potential for legal liability or financial loss. Reputational damage.</p>	4	4	16	R	4	4	16	R	4	4	16	R	↔	R	<p><b>Mitigating Actions</b></p> <p>1. Develop and implement Parish Council policy for record keeping, archive and publication. Policy to include adequate provision for record security (reduce likelihood), and backup/copy (reduce impact).</p> <p>2. Audit, annually, Parish Council records and archives.</p>	1	2	2	G	<p>Reviewed Sept 2020. Mitigating action not yet complete, risk remains high.</p>	
WPC2019-13	<p><b>Risk:</b> Legal action against councillor(s) or council.</p> <p><b>Cause:</b> Failure to act in accordance with statutory provisions, regulations or law. Failure to observe contractual obligations (contracts, leases, insurance policies, other). Act(s) of libel or slander by councillor(s) or Council.</p> <p><b>Effect:</b> Possible sanctions (including fines), compromised agreements, legal costs, civil or criminal proceedings</p> <p><b>Impact:</b> Financial, reputational, personal impact.</p>	2	5	10	A/R	1	4	4	A	1	4	4	A	↔	A	<p><b>Mitigating Actions</b></p> <p>2. Annual review of insurance policies, financial regulations, risk register</p> <p>3. Internal and external audit provision</p> <p>4. Personal development/training programme for councillors and clerk to ensure up to date knowledge</p>	1	3	3	A/G	<p>Jan 2021.</p> <p><b>To note intention not to renew lease for one allotment tenant, due to insufficient cultivation and use of site for storage. Risk mitigated by prior warning, clear evidence of insufficient use, and rules and procedures set out in allotment rules.</b></p>	
WPC2019-14	<p><b>Risk:</b> Breach of statutory provisions, regulations or law.</p> <p><b>Cause:</b> Oversight, ignorance of legal requirements, regulations, statutes etc.</p> <p><b>Effect:</b> possible sanctions, including financial penalty</p> <p><b>Impact:</b> Financial, reputational, possible councillor liability</p>	2	3	6	A	1	3	3	A/G	1	3	3	A/G	↔	A	<p><b>Mitigating actions</b></p> <p>1. Maintain subscription to WALC so as to access advice (including legal) when desirable or necessary</p> <p>2. Periodic training for councillors (especially when newly appointed/elected)</p> <p>3. Responsibility on Clerk to maintain knowledge and advice Parish Council, supported by training/PD as required</p>	1	3	3	A/G	<p>Reviewed May 2020</p> <p>Clerk developing a training/PD plan for presentation to Sept 20 meeting of WPC</p> <p>Reviewed Dec 2020.</p> <p>To note new DEFRA regulations controlling keeping of birds (poultry) wef 14 Dec 2020. All allotment tenants have been advised of the need to house/contain poultry. To follow up with individual tenants as required.</p>	
WPC2019-15	<p><b>Risk:</b> Loss of major parish (public) amenity (playground, allotments, cricket pitch, footpaths, "green spaces").</p> <p><b>Cause:</b> Failure to manage relationship(s) with landowner(s), or to maintain the amenity so that it loses utility or becomes unsafe; green spaces lost through development</p> <p><b>Effect:</b> Amenity cannot be used to full effect</p> <p><b>Impact:</b> Diminished quality of life in the community, cost of restoration/repairation</p>	2	5	10	A/R	1	5	5	A	1	5	5	A	↔	A	<p><b>Mitigating Actions:</b></p> <p>1. PC budget and portfolio plans provide for sufficient maintenance for relevant amenities (amenity field, allotment site, footpaths, other green spaces)</p> <p>2. Safety inspections undertaken annually for playground and allotments site, and recommendations arising therefrom implemented</p> <p>3. Annual footpath inspection undertaken as a community event, and any findings addressed</p> <p>4. Green spaces identified in Neighbourhood Plan as areas to be protected from</p>	1	5	5	A	<p>Jan 2021. Proximity increased to Amber, to take into account break clause in Glebe Field lease which comes into effect 2024.</p>	

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WPC2019-16	<p><b>Risk:</b> Glebe Hall has insufficient income to maintain viability.</p> <p><b>Cause:</b> Management failure, loss of income through extended period of closure, unexpected exceptional costs</p> <p><b>Effect:</b> Parish Council has to underwrite Glebe Hall costs</p> <p><b>Impact:</b> Substantial extra costs incurred by Parish Council to prevent closure of Glebe Hall</p>	3	5	15	R	2	3	6	A	2	3	6	A	↔	A	2	3	6	A	Reviewed Nov 2020. Feedback from Mgt Cttee chairman that sufficient reserves to cover costs for 2021, but if Covid restrictions continue into 2022 with consequent extended loss of income, then reserves may be insufficient Risk and proximity increased accordingly.		
WPC2019-17	<p><b>Risk:</b> Loss of major parish (private) amenity.</p> <p><b>Cause:</b> Closure of pub or post office store, termination of bus services</p> <p><b>Effect:</b></p> <p><b>Impact:</b></p>	3	5	15	R	5	4	20	R	3	3	9	A	↓	G	3	3	9	A	Jan 2021. Risk scores reduced as previous year addressed certainty of PO/store closure. Likelihood and impact of remaining amenities & services considered to be lower.		
WPC2019-18	<p><b>Risk:</b> Breakdown in relationship with Wiltshire Council (Councillor, officers, Parish Steward).</p> <p><b>Cause:</b> Poor or inappropriate communication, disagreement on work needs or priorities, poor performance.</p> <p><b>Effect:</b> Winterbournes do not receive sufficient service, maintenance or response to needs</p> <p><b>Impact:</b> Deterioration in infrastructure and/or services. Cost burden transfers to Parish Council as a result</p>	3	4	12	A/R	3	4	12	A/R	4	4	16	R	↑	A	2	3	6	A	Jan 2021. Needs constant attention. Change of focal point for Parish Steward working. <b>Need to address changes in relationships post election, with new unitary cllr and new area board. Risk increased in consequence.</b>		
WPC2019-19	<p><b>Risk:</b> Loss of lease agreement with BVNS.</p> <p><b>Cause:</b> Closure or relocation of Nursery School. BVNS no longer needs parking space</p> <p><b>Effect:</b> Loss of income to support car park maintenance. Reduced use of car park</p> <p><b>Impact:</b> PC has to cover greater proportion of cost of car park maintenance and repair</p>	3	4	12	A/R	3	3	9	A	2	3	6	A	↓	G	2	3	6	A	Jan 2021. Likelihood reduced as new ownership established and lease updated.		
WPC2019-20	<p><b>Risk:</b> Reduction in council tax base.</p> <p><b>Cause:</b> increase in council tax exemptions/reductions, reduced occupancy of MoD quarters CBRN Centre</p> <p><b>Effect:</b> potential loss of precept</p> <p><b>Impact:</b> reduced ability to provide maintenance and services noting that high proportion of outgoings are fixed costs, or perception of high % rise in parish precept as shared by fewer payers.</p>	4	4	16	R	4	3	12	A/R	2	3	6	A	↓	A	2	3	6	A	Jan 2021. Tax base for next year increased. New houses approved/being built will further increase tax base.		

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WPC2020-1	<p><b>Risk:</b> Accident or injury from use of car parks (Glebe Hall and amenity field).</p> <p><b>Cause:</b> Traffic accident, misuse of area</p> <p><b>Effect:</b> personal injury, damage to property</p> <p><b>Impact:</b> injury (potential for fatal injury), financial loss, Council liability, reputational impact for WPC</p>	3	5	15	R	2	3	6	A	2	3	6	A	<p><b>Mitigating Actions</b></p> <ol style="list-style-type: none"> <li>WPC public liability insurance, liability addressed in BVNS lease agreement</li> <li>Glebe Hall car park monitored through CCTV</li> <li>Display appropriate safety notices</li> <li>Barrier in place to protect Glebe Hall</li> </ol>	↔	A	<p><b>Mitigating Actions</b></p> <ol style="list-style-type: none"> <li>Review/clarify liability accepted by Glebe Hall hirees, Church</li> <li>Remove unauthorised play equipment</li> <li>Policy being developed for use of Glebe Field.</li> </ol>	2	3	6	A	Reviewed April 2020
WPC2020-2 (COVID-19)	<p><b>Risk:</b> Structure, condition and maintenance of WPC controlled facilities may prevent users from observing govt Covid-19 guidance including social distancing, sanitation &amp; hygiene</p> <p><b>Cause:</b> Failure to secure premises that should not be used. Lack of adequate space for activities, overcrowding, contractors not observing guidance. <b>Note</b> that WPC responsible for ensuring that its facilities/activities provide a potentially safe environment, but not responsible for public compliance with COVID guidance/regulations</p> <p><b>Effect:</b> increased risk of coronavirus transmission. Users inhibited through concerns for personal safety.</p> <p><b>Impact:</b> Increase in local coronavirus transmission leading to Covid-19 cases. Reputational impact for WPC.</p>												<p><b>Mitigating Actions in place</b></p> <p>For each facility/activity:</p> <ol style="list-style-type: none"> <li>Glebe Hall car park - no actions required</li> <li>QEII Field - open following risk assessment. Weekly cleaning of playground equipment in place.</li> <li>Footpaths - keep ground vegetation clear to maximum available width. Annual inspection undertaken Sept 2020</li> <li>Other open spaces - no actions required</li> <li>Allotments - annual risk/site review undertaken in July 2020.</li> <li><b>Community Days - currently suspended</b></li> </ol>	↔		<p><b>Mitigating Actions required</b></p> <p>For each facility/activity:</p> <ol style="list-style-type: none"> <li>Glebe Field - need to develop policy and guidance for use, in particular to address large groups and organised activities</li> <li>Footpaths - keep ground vegetation clear to maximum available width.</li> </ol>					Reviewed Jan 2021	