

Winterbourne Parish Council Risk Management Register

Risk ref.	Risk Description	Portfolio	BASELINE RAG				RAG Jan 2020			RAG Jan 2021			RAG Jan 2022			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	Score	RAG Status	Likelihood										Impact	Score
WPC2019-1	<p>Risk: Delay in distribution of precept or other money due from Wiltshire Council.</p> <p>Cause: uncertain, but may arise from political, operational or financial difficulties within Wiltshire Council, or more widely</p> <p>Effect: WPC would have insufficient cash to meet its obligations (salaries, maintenance contracts, services and insurance premiums)</p> <p>Impact: Inability to meet contractual and employment obligations, loss of insurance cover</p>	Governance and Finance	1	5	5	A	1	2	2	G	1	2	2	G	3	3	9	A	<p>Mitigating Actions</p> <p>1. Maintain a cash reserve sufficient to cover 12 months' commitments.</p> <p>2. Approve and document (as part of financial regulations) a policy on cash reserve.</p> <p>3. WPC to maintain own record of relevant building development and liaise with WC CIL team as and when appropriate</p>	↑	R	1	2	2	G	Reviewed Nov 2021 to incorporate risk of failure to collect and pass on CIL
WPC2019-2	<p>Risk: Accident or injury to volunteer or public during community day activities.</p> <p>Cause: operation of machinery or use of tools, traffic accident from working close to highways</p> <p>Effect: damage to property or equipment, personal injury</p> <p>Impact: injury (potential for fatal injury), financial loss, personal liability, reputational impact for WPC</p>	Maintenance	3	5	15	R	2	3	6	A	2	3	6	A	2	3	6	A	<p>Mitigating Actions</p> <p>1. Maintain a risk assessment for community days, reviewed annually</p> <p>2. Ensure all participants read risk assessment at the start of each community day</p> <p>3. Ensure parents (or other authorised adults) take responsibility for supervision of children when participating in community days</p> <p>4. Ensure all activities covered by WPC insurance policy</p>	↔	A	2	3	6	A	Reviewed April 2020.
WPC2019-3	<p>Risk: Accident or injury from use of amenity field and play equipment.</p> <p>Cause: Falling, collapse of equipment, drowning</p> <p>Effect: personal injury, damage to equipment</p> <p>Impact: injury (potential for fatal injury), financial loss, Council liability, reputational impact for WPC</p>	Amenities	3	5	15	R	2	3	6	A	2	3	6	A	2	3	6	A	<p>Mitigating Actions</p> <p>1. Conduct annual safety inspection of play equipment, and of field (hazardous waste, security of gates, trees, etc.)</p> <p>2. Implement recommendations arising from safety inspection(s)</p> <p>3. Display appropriate safety notices.</p> <p>4. Ensure all activities covered by WPC insurance policy</p> <p>3. Display appropriate safety notices, including warning signs by river when levels high</p>	↔	A	2	3	6	A	
WPC2019-4	<p>Risk: Accident or injury to tenant or public on allotment site.</p> <p>Cause: Use of tools or machinery. Injury from poorly placed structures or waste (fences, buildings, glass etc.). Poisoning. Uncontrolled bonfire. Vehicle accident.</p> <p>Effect: damage to property or equipment, personal injury</p> <p>Impact: injury (potential for fatal injury), financial loss, personal & Council liability, reputational impact for WPC</p>	Allotments	3	5	15	R	3	4	12	A/R	3	4	12	A/R	3	4	12	A/R	<p>Mitigating Actions</p> <p>1. Conduct annual safety inspection on site.</p> <p>2. Maintain and enforce allotment rules and guidance, taking into account results of safety inspection.</p> <p>3. Vehicle entrance improved 1Q2020</p> <p>4. Ensure all activities covered by WPC insurance policy</p> <p>Project to upgrade site vehicle entrance and assess traffic type, speed and volume underway through Wilts Council Southern CATG</p>	↔	A	2	2	4	A/G	Reviewed Jan 2021. Pedestrian access not currently possible, as SE corner plot let.
WPC2019-5	<p>Risk: Parish Council unable to form quorum.</p> <p>Cause: resignation of councillors or absence from meeting(s)</p> <p>Effect: Parish Council unable to make decisions</p> <p>Impact: Inability to authorise expenditure or other approvals</p>	Governance and Finance	1	4	4	A	1	2	2	G	2	3	6	A	1	3	3	AVG	<p>Mitigating Actions</p> <p>1. Quorum requires 3 of 9 councillors, so likelihood of event occurring is low.</p> <p>2. Reduce risk of high level of absence through early notification of absence by councillors so that meetings can be rescheduled if required.</p> <p>3. Reduce impact (period of higher risk) through rapid co-option of new councillors in the event of resignation(s)</p> <p>Procedure for vacancy advertising and co-option has been written into new (draft standing orders). When adopted/implemented, this will minimise delay in filling council vacancies.</p>	↓	G	1	2	2	G	Jan 2022: council has full (9) membership
WPC2019-6	<p>Risk: Uninsured loss or liability.</p> <p>Cause: Event excluded from WPC insurance policy, other unknown event(s)</p> <p>Effect: WPC has to meet costs, Councillor(s) incur personal liability and loss</p> <p>Impact: Financial loss (Council, or Councillor(s))</p>	Governance and Finance	2	3	6	A	1	2	2	G	1	2	2	G	1	2	2	G	<p>Mitigating Actions</p> <p>1. Policy schedule reviewed annually by Parish Council</p> <p>2. Councillors have copy of policy schedule and are reminded annually of exclusions and personal liabilities (if any)</p> <p>3. New comprehensive register of fixed and portable assets, including all land in which WPC has interest, has been adopted and is currently being extended/added to</p>	↔	G	1	2	2	G	Reviewed Mar 2021. Arising from insurance renewal notice, there is a need to substantially strengthen WPC asset register, to properly document all assets, including land, that WPC owns or has responsibility for.

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WPC2019-7	<p>Risk: Clerk unavailable.</p> <p>Cause: Illness, accident, resignation</p> <p>Effect: 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>Impact: Parish Council ceases to function effectively. Breach of statutory provisions, including financial. Cost (temporary employment to cover)</p>	General	3	5	15	R	3	5	15	R	3	5	15	R	3	5	15	R	1. Access secured to email accounts. Online bank access secured with 4 councillors as authorised signatories. 5. Adoption of good employment practices in progress	↔	G	<p>Mitigating Actions</p> <ol style="list-style-type: none"> 1. Policy on records backup/access in development. 2. Series of SOPs developed for key functions. 3. Recruitment plan "on the shelf" comprising up to date job description, person specification, advertising plan. 4. Contingency plan in place for securing temporary Clerk 5. Adopt good employment practices to reduce risk of employee dissatisfaction 	3	2	6	A/G	<p>Jan 2021</p> <p>Reviewed in particular in context of rapidly spreading coronavirus. Increase bank signatories to 4. Designated councillors have "admin" access to WPC email accounts. With this acute impact reduced, but medium term impact still high.</p>
WPC2019-8	<p>Risk: Loss of community support or interest in Parish Council.</p> <p>Cause: Failure to engage with community, volunteer fatigue</p> <p>Effect: Loss of resource (volunteers), insufficient new councillors</p> <p>Impact: 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>	Governance and Finance	4	4	16	R	4	4	16	R	4	4	16	R	2	4	8	A	New portfolio task agreed and assigned. New noticeboards in place, though not yet used widely	↓	A	<p>Mitigating Actions</p> <ol style="list-style-type: none"> 1. Develop and implement plan for proactive community engagement, including effective use of Annual Parish Meeting, Church Fete, other. 2. Increase publicity on work of Parish Council and benefits of community participation (community days, speedwatch etc.) through posters, Village Link, website. 3. Develop websites (with listserve mailing) to improve communication. Plan and budget for additional contracted services to reduce dependence on volunteers where appropriate. 4. Actively campaign/promote for new nominations prior to Parish Council elections. 	2	3	6	A	<p>Reviewed Sept 2021</p> <p>VL published on schedule, with good inclusion of restart dates for activities. Successful afternoon tea sessions in Glebe Hall.</p> <p>Last vacancy on Council expected to be filled at Sept WPC meeting. Website development underway. Plans for autumn parish meeting. Risk likelihood reduced accordingly, risk now amber.</p>
WPC2019-9	<p>Risk: Financial Fraud or mismanagement.</p> <p>Cause: Errors, omissions in finances, bank error, inadequate budget planning, fraudulent acts (councillors, clerk, third party)</p> <p>Effect: loss of money</p> <p>Impact: inability to discharge functions, honour contracts including subscriptions, insurance, employment, tax. May result in uninsured losses, councillor(s) liability</p>	Governance and Finance	3	5	15	R	1	3	3	A/G	1	3	3	A/G	1	3	3	A/G	<p>Mitigating Actions</p> <ol style="list-style-type: none"> 1. Maintain and implement Financial Regulations and a Financial Risk Assessment, each to be reviewed annually by Parish Council. 2. Appoint an internal auditor to review financial accounts and transactions, and to provide necessary assurances to Parish Council through approval of annual accounts. 3. Clear financial information presented to each meeting of the Parish Council, reconciled with bank balance 	↔	A	<p>Mitigating Actions</p> <p>Adoption on new standing orders (in progress) and develop of an overarching policy for budget and finance will provide clarity on regulations and procedures which will further minimise risk</p>	1	2	2	G	
WPC2019-10	<p>Risk: Loss of portfolio lead councillor.</p> <p>Cause: Resignation, illness, not elected</p> <p>Effect: Discontinuity of knowledge, records, contacts and activity</p> <p>Impact: Inability to manage portfolio task, impact depends on the task.</p>	General	3	4	12	A/R	3	4	12	A/R	3	4	12	A/R	3	4	12	A/R	<p>Mitigating Actions</p> <ol style="list-style-type: none"> 1. Ensure all portfolio tasks covered by at least 2 councillors (lead plus second) 	↔	A	<p>Mitigating Actions</p> <ol style="list-style-type: none"> 2. Parish records to include portfolio "folders" comprising statutory and critical documents (e.g.leases, contracts, others in accordance with WPC policies), lists of contacts, annual work plan or equivalent (if applicable) 	3	1	3	G	<p>Jan 2022: council is still highly dependent on some individual councillors for their specific skills & knowledge</p>
WPC2019-11	<p>Risk: Major incident or emergency within Parish or impacting Parish residents, infrastructure.</p> <p>Cause: Weather, flooding, accident, prolonged power cut, terrorism, other</p> <p>Effect: 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>Impact: Disruption to services, movement, supplies. Possible major impact on some residents/households</p>	Community resilience	2	5	10	A/R	2	4	8	A	2	4	8	A	2	4	8	A	<p>Mitigating actions</p> <ol style="list-style-type: none"> 1. Develop and maintain community resilience plan - in progress 2. Maintain communication/relationship with CBRN training centre, relevant focal points in emergency services, Wiltshire Council - in progress 	↔	A	<p>Mitigating actions</p> <ol style="list-style-type: none"> 1. Develop and maintain community resilience plan 2. Maintain communication/relationship with CBRN training centre, relevant focal points in emergency services, Wiltshire Council 	2	2	4	A/G	<p>Jan 2021.</p> <p>This risk dos not take into account Covid-19. See separate risk at 2020-2</p> <p>Community resilience plan to be updated in 2021</p>

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WPC2019-12	<p>Risk: Loss of Parish records.</p> <p>Cause: IT failure, fire, theft, failure to record/archive, accident (including accidental deletion)</p> <p>Effect: Breach of statutory provision (esp. finance, tax), vulnerability over contract compliance and negotiation, loss of knowledge essential to functioning of Parish Council</p> <p>Impact: Potential for legal liability or financial loss. Reputational damage.</p>	Records, archive, publication	4	4	16	R	4	4	16	R	4	4	16	R	4	4	16	R	↔	R	<p>Mitigating Actions</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 Jun 21. Mitigating actions now in progress, but risk remains high.</p> <p>Draft policy in place IT resources and replacement filing cabinet procured Target date for first audit is March 2022</p>	
WPC2019-13	<p>Risk: Legal action against councillor(s) or council.</p> <p>Cause: 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>Effect: Possible sanctions (including fines), compromised agreements, legal costs, civil or criminal proceedings</p> <p>Impact: Financial, reputational, personal impact.</p>	Governance and Finance	2	5	10	A/R	1	4	4	A	1	4	4	A	1	4	4	A	↔	A	<p>Mitigating Actions</p> <p>1. Clear allocation of councillor responsibility for contracts (e.g. allotments, Glebe leases, etc.)</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		
WPC2019-14	<p>Risk: Breach of statutory provisions, regulations or law.</p> <p>Cause: Oversight, ignorance of legal requirements, regulations, statutes etc.</p> <p>Effect: possible sanctions, including financial penalty</p> <p>Impact: Financial, reputational, possible councillor liability</p>	Governance and Finance	2	3	6	A	1	3	3	A/G	1	3	3	A/G	1	3	3	A/G	↔	A	<p>Mitigating actions</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 advise Parish Council, supported by training/PD as required.</p> <p>4. Adoption on new standing orders (in progress) and develop of an overarching policy for budget and finance will provide clarity on regulations and procedures which will further minimise risk</p>	1	3	3	A/G		
WPC2019-15	<p>Risk: Loss of major parish (public) amenity (playground, allotments, cricket pitch, footpaths, "green spaces").</p> <p>Cause: 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>Effect: Amenity cannot be used to full effect</p> <p>Impact: Diminished quality of life in the community, cost of restoration/repairation</p>	Multiple	2	5	10	A/R	1	5	5	A	1	5	5	A	1	5	5	A	↔	A	<p>Mitigating Actions:</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</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>	
WPC2019-16	<p>Risk: Glebe Hall has insufficient income to maintain viability.</p> <p>Cause: Management failure, loss of income through extended period of closure, unexpected exceptional costs</p> <p>Effect: Parish Council has to underwrite Glebe Hall costs</p> <p>Impact: Substantial extra costs incurred by Parish Council to prevent closure of Glebe Hall</p>	Glebe Hall	3	5	15	R	2	3	6	A	2	3	6	A	2	3	6	A	↔	A	<p>Mitigating Actions:</p> <p>1. Glebe Hall managed by committee of trustees of which Parish Council is one</p> <p>2. Glebe Hall management committee operated to high accreditation standard (Hallmark Scheme)</p> <p>3. PC nominee(s) attend Glebe Hall management committee meetings and receive and review all reports, accounts etc. on behalf of PC</p> <p>4. Financial risk additionally mitigated by Glebe Hall policy of maintaining cash reserve equivalent to 1 year of operating costs, and PC also has policy of maintaining a cash reserve.</p>	2	3	6	A	<p>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.</p> <p>Review July 2021. See risk 19-8. Risk of slow restart to activities which will also affect Glebe Hall income. Wider concern regarding succession planning and business continuity.</p>	

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WPC2019-17	<p>Risk: Loss of major parish (private) amenity.</p> <p>Cause: Closure of pub or post office store, termination of bus services</p> <p>Effect:</p> <p>Impact:</p>	General	3	5	15	R	5	4	20	R	3	3	9	A	3	3	9	A	↔	G	<p>Mitigating Actions</p> <p>1. Support as appropriate operation of Bourne Valley Link Scheme, so that vulnerable individuals have access to transport and other support in the event of closure of commercial bus services or of local facilities.</p> <p>Otherwise tolerate. Parish Council does not have the resources or powers to manage this risk.</p>	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>Risk: Breakdown in relationship with Wiltshire Council (Councillor, officers, Parish Steward).</p> <p>Cause: Poor or inappropriate communication, disagreement on work needs or priorities, poor performance.</p> <p>Effect: Winterbournes do not receive sufficient service, maintenance or response to needs</p> <p>Impact: Deterioration in infrastructure and/or services. Cost burden transfers to Parish Council as a result</p>	General	3	4	12	A/R	3	4	12	A/R	4	4	16	R	3	3	9	A	↓	A	<p>Mitigating Actions</p> <p>1. WPC to be represented at all CATG, Area Board meetings, and other relevant fora. (ongoing)</p> <p>3. Ensure at least one meeting per year with each of the key Wilts Council officers (to include highways, housing)</p>	2	3	6	A	Jan 2022: new WC officers, structures now in place and lines of communication clearer. Likelihood reduced as consequence
WPC2019-19	<p>Risk: Loss of lease agreement with BVNS.</p> <p>Cause: Closure or relocation of Nursery School. BVNS no longer needs parking space</p> <p>Effect: Loss of income to support car park maintenance. Reduced use of car park</p> <p>Impact: PC has to cover greater proportion of cost of car park maintenance and repair</p>	Glebe Hall	3	4	12	A/R	3	3	9	A	2	3	6	A	2	3	6	A	↔	G	<p>Mitigating Actions</p> <p>1. Maintain communication with BVNS</p> <p>2. Maintain car park in good condition, manage use so that BVNS can derive full benefit from lease agreement</p> <p>3. Reduce impact of income loss by maintaining appropriate financial reserves.</p> <p>Aspects of risk to be tolerated as outside control or influence of Parish Council.</p>	2	3	6	A	Jan 2021. Likelihood reduced as new ownership established and lease updated.
WPC2019-20	<p>Risk: Reduction in council tax base.</p> <p>Cause: increase in council tax exemptions/reductions, reduced occupancy of MoD quarters CBRN Centre</p> <p>Effect: potential loss of precept</p> <p>Impact: 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>	Governance and Finance	4	4	16	R	4	3	12	A/R	2	3	6	A	2	3	6	A	↔	A	<p>Mitigating Actions</p> <p>1. Precept requirement determined by total amount (not % household increase)</p> <p>2. Clear documentation and communication of basis for precept determination, and of changes in tax base</p>	2	3	6	A	Jan 2021. Tax base for next year increased. New houses approved/being built will further increase tax base.
WPC2020-1	<p>Risk: Accident or injury from use of car parks (Glebe Hall and amenity field).</p> <p>Cause: Traffic accident, misuse of area</p> <p>Effect: personal injury, damage to property</p> <p>Impact: injury (potential for fatal injury), financial loss, Council liability, reputational impact for WPC</p>	Glebe Hall	3	5	15	R	2	3	6	A	2	3	6	A	2	3	6	A	↔	A	<p>Mitigating Actions</p> <p>1. WPC public liability insurance, liability addressed in BVNS lease agreement</p> <p>2. Glebe Hall car park monitored through CCTV</p> <p>3. Display appropriate safety notices</p> <p>4. Barrier in place to protect Glebe Hall</p> <p>5. Unauthorised play equipment promptly removed</p>	2	3	6	A	Reviewed April 2020

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WPC2020-2 (COVID-19)	<p>Risk: Structure, condition and maintenance of WPC controlled facilities may prevent users from observing govt Covid-19 guidance including social distancing, sanitation & hygiene</p> <p>Cause: Failure to secure premises that should not be used. Lack of adequate space for activities, overcrowding, contractors not observing guidance. Note 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>Effect: increased risk of coronavirus transmission. Users inhibited through concerns for personal safety.</p> <p>Impact: Increase in local coronavirus transmission leading to Covid-19 cases. Reputational impact for WPC.</p>	General													↔		<p>Mitigating Actions required For each facility/activity:</p> <p>5. Footpaths - keep ground vegetation clear to maximum available width.</p>					<p>Reviewed Sept 2021 Substantially reduced regulations and guidance, with consequent reduced risk that WPC controlled facilities & activities may not be compliant. Need to update all applicable risk assessments being those for WPC meetings (Clerk), QEII field equipment (NP), community days (MA).</p>	