

BIDFORD-ON-AVON P.C.
RISK MANAGEMENT

Bidford-on-Avon Parish Council - Risk Assessment				
Policy Reviewed at				
Risk: L = Low, M = Medium, H = High			Severity: L = Low, M = Medium, H = High	
RISK	IMPACT	LIKELIHOOD	SEVERITY	CONTROL ACTIONS
Budget deviations 1	lack of planning duty of care into question	L	H	Prioritise expenses, review quarterly; monitor reserve al Budget Virement policy
Financial shortfall 2	inability to finance emergency events inability to finance service charges and wages mis-management	L	H	Proper Budget setting Accurate Precept request Adequate reserves Monitor Reserve allocation Expense monitoring
Inadequacy of precept 3	Services not provided Inability to carry out functions No funds for contingencies	L	H	Monitor progress with budget. Ensure sufficient reserves for contingencies Forward planning Monitor public concerns of facilities
Failure to use grants for intended purpose 4	Lack of sufficient funds for project	L	M	Clear minutes/procedures Funds to be ring fenced
Keeping proper financial records 5	Inadequate financial control	L	H	Regular scrutiny of records Proper expense process Clear Standing Orders signatures on cheques and stubbs checked Quarterly review of monthly accounts

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Poor quality Council Reporting 6	Poor decision making Councillors ill informed	L	H	Agenda to cllrs in time to allow information gathering or so that they can make a considered decision Councillors agree on requirements
RISK	IMPACT	LIKELIHOOD	SEVERITY	CONTROL ACTIONS
Loss of Key staff 7	Failure of budgetary controls. Correspondence backlog. Reduced provision of services	M	H	Succession Plan Clear office procedures Clear budgetary process Up to date job descriptions Appraisal system When Clerk away due to sickness - locum to be supplied by WALC/SLCC Clerk to prepare a "User's Manual" to assist the locum
Failure to respond to electors' wish to right of inspection 8	Loss of confidence Loss of respect Possible action against councillors	L	L	Clear standing orders Documented procedures to deal with enquiries from the Minutes available to public - published online
Poor document control 9	Information not passed on in a timely manner Deadlines missed Lack of achievement	M	M	Clear Standing orders Clear Job descriptions maintain up to date to do list
Compliance with law	Fines & Penalties	L	H	Clear Policies and procedures
Health & Safety	Action for negligence	L	H	Regular review of current laws
Equal Opportunities	Action for grievance	L	H	Appropriate insurance when available

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Data Protection	Loss of reputation	L	H			
Human Rights		L	H			
Disability/Discrimination		L	H			
Employment		L	H			
10						
Provision of services	Loss of reputation	L	M	Statement of management for service		
11	Poor public image			Regular scrutiny		
Ensure all business is within legal powers	Illegal expenditure or actions	L	H	Expenditure decision to be recorded in Minutes		
12				General Power of Competence		
RISK	IMPACT	LIKELIHOOD	SEVERITY	CONTROL ACTIONS		
Proper, timely, accurate reporting of council business	Confusion, misunderstandings, actions not reflecting councils intentions	L	M	Approval by council		
13				Minutes properly numbered		
				Master kept in safe place		
Meeting deadlines/ timetables	Reputation	L	L	Documented procedures to deal with requests		
14	Ineffectual involvement					
Lack of relevant skills and commitment	Fail to achieve purpose	L	H	Training		
15	Council's decision making by-passed			Monitor attendance and Cllr activity on PC business		
	Poor value for money			Adopt Training Policy		
Council dominated by individual	Conflict of interest	M	H	Clear standing orders for conduct of meetings		
16	Decisions outside council			Each councillor to respond to agenda items		
	Lack of democratic process					
	Opportunity for all councillor					

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	to air views lost.			Business conducted within council		
Councillors personally benefiting 17	Reputation Councillor may be reported	L	M	Clear standing orders/Code of Conduct Open system of payment Interests to be declared		
Failure to register interests 18	Reputation Personal benefit	L	M	Procedures in place Interest book available		
Lack of maintenance of council property 19	High cost of eventual repair 3rd party injury Damage to 3rd party property	M	H	Regularly survey Regular maintenance Insurance cover		
RISK	IMPACT	LIKELIHOOD	SEVERITY	CONTROL ACTIONS		
Damage to council prop by 3rd party or act of god 20	Legal liability as owner High repair cost Loss of asset Disruption Damage to person or other property	L	H	Insurance cover Alarm systems Maintain asset register and review regularly adequacy of insurance		
Damage to services 21	Claim against council	L	L	Public Liability Insurance		
Loss of cash	No Cash held					

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22					
Loans	No loans in existence				
23					
Embezzlement	insufficient funds for	L	H	Adherence to financial controls.	
24	commitments			Council to to satisfy itself of the appropriatness of the ex	
Computer failure	High cost of replacing	M	H	Hosted by Microshade so all systems are automatically	
25	data			and backed up and updated regularly	
Play equipment	Badly maintained	M	H	All play areas weekly.	
26	or damaged equipment			All play areas have an annual inspection	
	may result in injuries			All new play equipment is independently inspected befo	
				Council takes over responsibility.	
RISK	IMPACT	LIKELIHOOD	SEVERITY	CONTROL ACTIONS	
Council decisions	Decisions made by	L	H	There is No Other Business item on the Agenda	
27	Council for items not on			Clerk reminds Council that it can only make decisions o	
	the Agenda rendering			on the the Agenda.	
	councillors ill informed				
	regarding their true				
	nature				
27 a	Decisions made by Council	L	H	Council approved an updated Training Policy in August	
	could be compromised if			which requires Councillors and the Clerk to attend regul	
	councillors have insufficent			training/workshops	
	training				

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27 b	Awarding of Grants misuse of public funds	L	L	Council to minute that it has considered the financial viability when awarding the grant. In the event of the fur being used for specific event/ report and/or invoices to b requested
Internal Financial Control 28	Lack of control can result in incorrect spending and deviance from Budget	L	H	Internal Financial Control Accounts Quarterly Review carry out regular audit trail RFO to present the following documents every month se Council before the meeting. Cheque list Bank Reconciliation Bank movements Nominal Activity Unreconciled payments All invoices All deposits All cheques All bank statements Council to review the above & approve them at the PCn Approved payment schedules to be posted online The Minutes to mention the total of these payment sche to reduce the risk of error or omission.
Internal control 29	Can result in lack of accountability and trans parency	L	M	Budget monitoring: RFO required to present quarterly which allow Council to monitor income/expenditure v bu Grants: Council has delegated the power of assessing g applications to the Amenities WG, which meets regularly makes recommendations to Council for the final decisio

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RISK	IMPACT	LIKELIHOOD	SEVERITY	CONTROL ACTIONS
Child Protection Policy 30	May result in serious damage to the reputation of the Parish Council	L	H	Policy in place for all employees of the Parish Council The PC will normally delegate the supervision of children to sports of youth associations that have the approved accreditation in place
Vulnerable Adult Policy 31	As above	L	H	As above Clerk to attend briefings relating to this issue to ensure Council is up to date
Code of Conduct 32	With the advent of social media and YouTube, councillors behaviour risks bringing the Parish Council into disrepute.	M	H	Having the Nolan Principles as an addendum to the Code of Conduct should remind them of the high expectancy of the behaviour as elected public persons Council has adopted Social Media policies
Complaints 33	Open and transparency may encourage complaints.	L	M	Having a procedure in place that is publicised should help the Council and any complainant reach a solution.
Meetings 34	Filming and Recording of Council and Committee meetings may distort the performance of Council and Committees by editing the film	M	H	There is a procedure in place that requests interested parties to advise Council they intend to film. PC will endeavour to assist those members of the public as well as protect those attending that do not wish to be part of the recording or Council may also choose to record the meetings to ensure a true record of the meeting exists.

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	and/or recording.						
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Allotment rents 35	Delay in collecting rent from Bidford Allotment Association	M	L	Cllrs to regularly attend the Allotment Ass. meetings Clerk to regularly check the membership			
Burials 36	Errors in the keeping of records	M	H	Members of the Burials WG shall meet once every 6 months or after 15 transactions, whichever falls first, and carry out an audit trail. Garden of Remembrance plots to be marked with laminat sheet to be enclosed with the urn			
Meetings 37	Disruption from members of the public as a consequence of the ability to film, record etc. Possible violation of human rights of those members of the public that do not wish to be filmed, as well as vulnerable members.	L	H	Approved Protocols are in place to minimise risk Notice of Announcement to be read by the Chairman at start of any meeting detailing the procedures Standing Order will apply			
Meetings 38	Dealings with the Media	L	H	Media Policy has been approved			
Social Media 39	Bringing the Council into disrepute.	M	H	Social Media Policy has been approved			

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	Abusive language			Social Media managed by		
	Risk of councillors using it			the Parish Clerk thus mini-		
	on a personal basis and not			misusing the risk of misuse		
	as the Council			by councillors		
	Risk of councillors using it					
	to promote their own agenda					
	and ideas and not the					
	Council's					
Big Meadow POS 40	Risk to cars when ground is	H	H	Big Meadow to close to		
	flooded or too wet and to			vehicles and pedestrians		
	pedestrians walking close			to be advised of possible		
	to the river			danger by signage placed		
				at entrance		
	Flood	H	H	Close the Big Meadow and		
				place sign stating ground		
				flooded at entrance		
	Fish pegs	H	H	Council to ensure angling		
				club maintains pegs		
	Signage	H	L	Council to liaise with ANT		
	Exit ramp - risk to vehicle	L	M	Ramp checked at the start		
	tyres if they are not driven			of every season.		
	straight			Council approved purchase		
				and installation of new exit		
				ramp and signage		
				end 2019 for installation		
				in time for the 2020 season		

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Trees 41	Failure to manage can result in damage to people and/or property	L	H	Council has adopted a Tree Management Protocol		
COVID 19 - Payments 42	Due to meetings being held virtually, no cheques can be raised and payments are As it is a temporary measure, it still only requires the Clerk to give instructions	L	L	Accounts are prepared by outsourced company DCK Solutions minimising the risk of the Clerk making unlawful BACS transfers. as these would show on the bank statements sent weekly to DCK. Clerk sends copy of the payments and the Bank Statement sheet showing the payments made, to Council immediately after payments have been made.		
COVID 19 - POS 43	All play areas, outdoor gym equipment and trim trails, closed following Government legislation. Re opened once Govt. guidelines allowed. Due to its duty of care to staff and contractors, it was agreed to waive the car park charges this year.	L	M	Prior to reopening POS took advice from Director of Play Inspection Co. following advice from the insurance company. Risk Assessment carried out - available separately. Play areas disinfected prior to opening Signage installed on all areas Guidelines on website and published verbally and in writing, on social media.		

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COVID 19 - Meetings 44	Face to Face meetings cancelled as per Government guidelines.	H	H	Once legislation was passed Virtual meetings by Zoom have been held with public being able to access the meetings which are published online and links published on social media.			
COVID 19 - Office/Clerk 45	Clerk working from home Visits the office once a week to check on things and use the scanner to send account documents to DCK	M	M	Parish Council has provided Clerk with a lap top and tablet which has enabled her to work from home. Internet connection has improved over the period.			

