

## UPPER DEVERILLS PARISH COUNCIL 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. The Council is aware that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic and focuses approach to managing risk, which:

- Identifies the subject
- Identifies what the risk may be
- Identifies the level of risk
- Evaluates the management and control of the risk and records findings
- Reviews, assesses and revises procedures if required.

Subject/ Asset	Risk identified	Who might be at risk	Risk rating (H/M/L)	Management/ Control of Risk	Review/ assess/ revise (November 2023)
<b>Management and internal workings/procedures</b>					
Inqurate council	Failure to attract sufficient candidates for Member vacancies or elections, resulting in reduced representation of neighbourhood, lack of resource	Members  The public	L	Actively publish Council activities.  Seek candidates amongst friends and colleagues  Publicise elections and vacancies on notice boards, Parish Newsletter, website, local newspapers	Existing procedure adequate
Inqurate council	Failure to achieve quorum at meetings, resulting in business not transected/ decisions not made	Members  The public	L	Issue annual meeting calendar to Members  Issue meeting agenda promptly  Record attendance  Contact Members who fail to attend meetings	Existing procedure adequate
UDPC- duties	Lack of defined objectives or strategy, resulting in poor performance and ineffective use of resources	The public	L	Regular review of objectives in Upper Deverills Parish Plan to assess progress  Consider need to update Upper Deverills Parish Plan.	Existing procedure adequate  To be actioned
UDPC- duties	Loss of services of Parish Clerk, resulting in interruption to effective administration	Members	L	Councillors trained to undertake a wide range of financial and administrative tasks  Ensure Members have all passwords / can secure access to the laptop, emails, and all online systems	To be actioned  To be actioned

Subject/ Asset	Risk identified	Who might be at risk	Risk rating (H/M/L)	Management/ Control of Risk	Review/ assess/ revise (November 2023)
				<p>Ensure Chairman has permission to request mail addressed to Clerk, Upper Deverills Parish Council from Mrs Laura Napper, 38, Stockton, Nr Warmminster, Wiltshire, BA12 0SQ</p> <p>Locum Panel of experienced Parish and Town Clerks provided by the Society of Local Council Clerks able to assist in an emergency</p>	To be actioned
UDPC- duties	Absence of Standing Orders and required Policies	Members The Clerk	L	<p>Ensure that Standing Orders are produced, understood by councillors, and reviewed at least once per year</p>	Existing procedure adequate
UDPC- duties	Lack of public consultation by the Council, and/ or lack of public participation at meetings/ on parish issues, resulting in failure to correctly identify local needs/ wishes, disenfranchisement of electors and poor unevidenced decisions	Members The public	L	<p>Ensure decisions on new budget items are based on adequate consultation</p> <p>Use questionnaires (including online questionnaires) to identify local wishes and invite comments on plans/ proposals</p> <p>Ensure meetings are publicised on noticeboards and the website (including agendas and minutes)</p> <p>Use articles in the parish newsletter to raise the profile of UDPC and to consult</p> <p>Prepare and distribute UDPC annual newsletter</p> <p>Review local press, especially correspondence sections, to identify local concerns</p>	Existing procedure adequate

Subject/ Asset	Risk identified	Who might be at risk	Risk rating (H/M/L)	Management/ Control of Risk	Review/ assess/ revise (November 2023)
				<p>Include public participation on all agendas</p> <p>Ensure seating is available at meetings for members of the public</p> <p>Provide advice to members of the public attending meetings on when to speak and meeting rules/ regulations</p>	
Councillors and Clerk - duties	Lack of knowledge of legislation, regulations and codes resulting in non-compliance with the law and invalid indemnities	Members  The Clerk	L	<p>Ensure that all Councillors have copies of relative Acts, Code of Conduct, and Standing Orders.</p> <p>Obtain and read Good Councillor Guide</p> <p>Attend relevant training course</p> <p>Regular reference to appropriate regulations in agenda items</p>	Existing procedure adequate
Councillors - duties	Members acting alone outside meetings or making decisions outside meetings resulting in non-compliance with the law and invalid indemnities	Members  The Clerk	L	<p>Ensure that all Councillors have copies of relative Acts, Code of Conduct, and Standing Orders.</p> <p>Obtain and read Good Councillor Guide</p> <p>Avoid making comments 'on behalf of the council'</p>	
Councillors - duties	Failure to recognise, declare and address conflict of interest, resulting in lack of probity and	The public  Members	L	<p>Ensure Members undertake regular review of Standing Orders</p> <p>Attend relevant training course</p>	Existing procedure adequate

Subject/ Asset	Risk identified	Who might be at risk	Risk rating (H/M/L)	Management/ Control of Risk	Review/ assess/ revise (November 2023)
	transparency, exposure to complaints and non-compliance				
Councillors and Clerk - duties	Lack of effective lines of communication with other organisations, resulting in potential duplication, ineffective action or lack of any action at all	The public	L	Note all communication lines which are essential or beneficial and make information available to all councillors  Establish contacts by name and where possible face-to-face.	Existing procedure adequate
Councillors and Clerk - duties	Failure to respond to electors wishing to exercise right of inspection, resulting in complaints, lack of transparency and non-compliance	The public Members The Clerk	L	Ensure proper advertisement of right and facility for inspection  Clerk to ensure prompt response to requests	Existing procedure adequate
Councillors and Clerk - duties	Council decisions not implemented, resulting in loss of confidence in the Council and loss of reputation	The public Members	L	Clerk to produce marked draft unapproved minutes to Members promptly to enable progression of actions	Existing procedure adequate
Councillors and Clerk - duties	Non-compliance with data protection requirements, including GDPR, resulting in potential litigation and poor reputation	The public Members The Clerk	L	Council to prepare, implement and regularly review Data Protection Policy (General Privacy Notice)  Clerk to monitor legislative requirements and best practice models prepared by NALC/WALC	Existing procedure adequate
Councillors and Clerk - duties	Failure to maintain fixed asset register, resulting in non-	Members	L	Council to keep under regular review	Existing procedure adequate

Subject/ Asset	Risk identified	Who might be at risk	Risk rating (H/M/L)	Management/ Control of Risk	Review/ assess/ revise (November 2023)
	compliance and invalid insurance	The Clerk		Annual review by Internal Auditor	
Councillors and Clerk - duties	Inadequate or inaccurate valuation of the council's assets, resulting in invalid insurance	Members The Clerk	L	Arrange for periodic review of valuations and arrange for professional valuation where necessary.	Existing procedure adequate
Councillors and Clerk	Bad publicity, including allegations of libel or slander, resulting in reduced reputation, costs for investigation and possible litigation	Members The Clerk	L	Ensure adequate insurance cover Review all press releases and newsletter articles before release Clerk to intervene at meetings if necessary	Existing procedure adequate
Clerk - duties	Inadequate document control, resulting in poor evidence and support to Members	Members	L	Clerk to maintain robust filing system and enforce document version control Clerk to ensure regular backup of UDPC laptop	Existing procedure adequate
Clerk - duties	Loss of data on laptop due to system fault/ laptop damage/ failure, resulting in interruption to effective administration	Clerk Members	L	Undertake monthly backup to external hard drive Consider need for cloud storage backup	Actioned To be actioned
<b>Equipment/ assets</b>					
3 notice boards, handrail and step at Kingston Deverill	Damage (e.g. through vandalism, fire or weather), resulting in harm to individuals, possible litigation, costs of	Public e.g. pedestrians	L	Inclusion on Asset Register Councillors to undertake regular visual inspections	Existing procedure adequate

Subject/ Asset	Risk Identified	Who might be at risk	Risk rating (H/M/L)	Management/ Control of Risk	Review/ assess/ revise (November 2023)
	repair and loss of service until repaired			<p>Ensure noticeboards are covered by insurance, including public liability</p> <p>Make contingency provision for any repairs required in Parish Council Reserves</p> <p>Keep health and safety risk assessment under review</p>	
3 noticeboards	Accident to individuals when posting items on/ undertaking repair or maintenance to noticeboards e.g. through slip/trip or impact from vehicle	The public Members The Clerk	L	<p>All noticeboards located adjacent to quiet infrequently trafficked roads</p> <p>Step installed in bank to enable better access to the Monkton Deverill noticeboard; and to ensure that people are located off the highway when posting notices</p>	Existing procedure adequate
Bus shelter	Damage (e.g. through vehicle impact, vandalism, fire or weather) resulting in harm to individuals, possible litigation, costs of repair and loss of service until repaired	Public e.g. pedestrians	L	<p>Inclusion on Asset Register</p> <p>Councillors to undertake regular visual inspections</p> <p>Ensure bus shelter is covered by insurance, including public liability</p> <p>Make contingency provision for any repairs required in Parish Council Reserves</p> <p>Keep health and safety risk assessment under review</p>	Existing procedure adequate
Log seat	Damage (e.g. through vandalism, fire or weather) resulting in harm to individuals,	Public e.g. pedestrians	L	Inclusion on Asset Register	Existing procedure adequate

Subject/ Asset	Risk identified	Who might be at risk	Risk rating (H/M/L)	Management/ Control of Risk	Review/ assess/ revise (November 2023)
	possible litigation, costs of repair and loss of service until repaired			Councillors to undertake regular visual inspections Ensure log seat is covered by insurance, including public liability Make contingency provision for any repairs required in Parish Council Reserves Keep health and safety risk assessment under review	
Speed Indicator Device	See separate risk assessment prepared for SID installation and activation (dated 12 <sup>th</sup> July 2017)				
<b>Council events</b>					
Council events	Harm to individuals arising at an event organised by UDPC	The public Members Clerk	L	Prepare, implement and review a Safeguarding Policy  Separate risk assessment to be prepared for each event. To include adequate measures for safeguarding individuals (particularly children, young people and vulnerable adults)	To be actioned
Litter pick	See separate risk assessment prepared for litter pick (approved at the meeting on 9 <sup>th</sup> September 2019)				
<b>Financial</b>					
Councillors and Clerk - duties	Lack of knowledge of, or failure to comply with, relevant legislation covering the Council's financial business, resulting in legal non-	Clerk Members	L	Maintain membership of WALC/ NALC and SLCC Clerk and Members to maintain training	Existing procedure adequate

Subject/ Asset	Risk identified	Who might be at risk	Risk rating (H/M/L)	Management/ Control of Risk	Review/ assess/ revise (November 2023)
	compliance, litigation, costs and reputation damage			Liaise with Internal and External Auditors	
Councillors and Clerk - duties	Holding excessive or inadequate financial reserves, resulting in inability to meet commitments, non-compliance and non-compliant Internal Audit report	The public Members Clerk	L	Council to set, implement and regularly review Reserves Policy Clerk to review Reserves and provide information to Members as part of the budgeting procedure Members to regularly review size of Reserves	Existing procedure adequate
Councillors and Clerk - duties	Income: requirements under custom and excise regulations (including HMRC) are not met, resulting in non-compliance with legislation	The public Members Clerk	L	Ensure Council understands, and complies with, current VAT legislation Clerk to liaise with HMRC as necessary	Existing procedure adequate
Councillors and Clerk - duties	Failure to complete/ submit Accounts and Annual Return on time, resulting in poor Auditor's report and loss of public confidence	Members The Clerk	L	Clerk to maintain diary Clerk to ensure early cognisance of dates set by External Auditor; and ensure Council meetings are scheduled to enable timely decision making to meet deadlines Clerk to liaise with Internal and External Auditors	Existing procedure adequate
Councillors and Clerk - duties	Inadequate annual precept and unsound budget, resulting in inadequate resources to meet commitments	The public Members Clerk	L	Clerk and Members to build sound budget, using risk register/ assessment and known commitments.	Existing procedure adequate

Subject/ Asset	Risk identified	Who might be at risk	Risk rating (H/M/L)	Management/ Control of Risk	Review/ assess/ revise (November 2023)
				Budget to be prepared in accordance with Reserves Policy and Financial Regulations	
Councillors and Clerk - duties	Failure to calculate / submit precept request on time, resulting in inadequate resources to meet commitments and costs of re-billing	The public Members Clerk	L	Clerk to ensure early cognisance of dates set by Wiltshire Council; and ensure Council meetings are scheduled with appropriate Agenda items to enable timely decision making to meet deadlines	Existing procedure adequate
Councillors and Clerk - duties	Failure to stay within agreed budgets, resulting in non-compliance and potential for wasted resources	The public Members Clerk	L	Prepare, implement and review Policy for Internal Controls, Audit and Review RFO to produce financial reports at all meetings. Internal audit reports to be made available to all councillors and any recommendations to be acted upon promptly. Council to set, implement and regularly review Reserves Policy Clerk to keep budget under review with regular reporting to Members Annual check by Internal Auditor	To be actioned  Existing procedure adequate
Councillors and Clerk - duties	Improper contracting procedures for work, goods and services (including monitoring work against standards),	The public Members	L	Adopt, implement, and regularly review NALC model Financial Regulations	Existing procedure adequate

Subject/ Asset	Risk Identified	Who might be at risk	Risk rating (H/M/L)	Management/ Control of Risk	Review/ assess/ revise (November 2023)
	resulting in poor service standards and possible increased costs	Clerk		Performance reviewed at Internal Audit Ensure contractors hold appropriate insurance	
Councillors and Clerk - duties	Fraud by Clerk or Members, resulting in loss of funds, litigation and reputation costs	The public Members Clerk	L	Prepare, implement and review Policy for Internal Controls, Audit and Review Regular reporting by Clerk to Members Ensure all payments are approved in Council meetings and recorded in minutes. Keep cash payments to a minimum, and avoid if possible Adequate Internal Audit	To be actioned  Existing procedure adequate
Councillors and Clerk - duties	Inadequate insurance cover, resulting in balance of cash to be found for claims	The public Members Clerk	L	Council to review annually or if circumstances change	Existing procedure adequate
Councillors and Clerk - duties	Inappropriate rate of pay to employees and/or PAYE/ NI not in accordance with regulations, resulting in shortfall in funding and unsound budget	Clerk Members	L	Ensure employee regulations are available and regularly reviewed and understood by Clerk (including any update to NALC salary scales) Checks through Internal Audit	Existing procedure adequate
Clerk - duties	Failure to maintain proper financial records, resulting in potential for wasted resources,	Members Clerk	L	Method and template for financial reporting reviewed annually by Internal Auditor	Existing procedure adequate

Subject/ Asset	Risk Identified	Who might be at risk	Risk rating (H/M/L)	Management/ Control of Risk	Review/ assess/ revise (November 2019)
Clerk - duties	Failure to maintain proper financial records, resulting in potential for wasted resources, litigation, reputation costs, poor Internal Audit Report	Members Clerk	L	Method and template for financial reporting reviewed annually by Internal Auditor	Existing procedure adequate
Clerk - duties	Failure to account for and recover VAT, resulting in wasted resources	The public Members	L	Clerk to keep under regular review Annual check by Internal Auditor	Existing procedure adequate

The information given above was agreed at the Parish Council meeting held on 13<sup>th</sup> September 2023 and will be updated annually.

Signed:   
Chairman Dated 13 September 2023

Clerk  Dated 13/09/23.