

# BRATTON PARISH COUNCIL

## RISK ASSESSMENTS – Index of Risks

Reviewed and adopted 10 September 2019 and reviewed  
annually thereafter  
Minute reference 2019/40

- 01 Organisation & Management - BPC procedures
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# BRATTON PARISH COUNCIL

RISK ASSESSMENT: 01

Organisation / Management: TPC procedures

		Risk		
<u>POTENTIAL RISKS IDENTIFIED:</u>		high	medium	low
a.	Councillors unfamiliar with roles and responsibilities		•	
b.	Councillors not disclosing interests of a material or pecuniary nature			•
c.	Need for urgent communication during an emergency		*	
d.	Need for Councillors to plan ahead and organise their attendance at meetings			•
e.	Lack of delegated responsibilities – need to take shared duties and responsibilities			•
f.	Unclear register of committees and their duties and responsibilities			•
g.	Councillors responding to requests from members of the public		•	
h.	Council responding to issues raised by Councillors			•

PERSONS AT RISK:           Councillors  
                                       Council Tax payers  
                                       Wiltshire Council

ACTION REQUIRED:		ACTION?
<u>Induction</u>	All Councillors are given an induction pack outlining duties and responsibilities; together with an understanding of how Councils function, includes copies of Standing Orders and Financial Regulations.	Pack requires updating
<u>Declaration of Interests</u>	All Councillors are reminded of their responsibilities and declare any relevant interests before and/or during every Council meeting	Routine action
<u>Contact List</u>	The Parish Clerk maintains an up to date contact list of all current Parish and County Councillors (serving Bratton). Each Councillor has the responsibility to notify any changes.	Routine action
<u>Register of Meetings</u>	The Parish Clerk prepares a forward list of all meetings for the year to allow Councillors to plan ahead; details include times, dates and location.	Routine action
<u>Register of Office Opening Times for the General Public</u>	Members of the public may contact the Clerk to request access to Parish records at any reasonable time, by prior arrangement. Contact details are on every Parish notice-board.	New notices available as required
<u>Feed Back Loop</u>	Establish feedback loop in responding to issues raised, what was done, by whom, when and why. Report action to person that raised the issue, be it Councillor or member of the public.	Clerk reports back to Council at meetings and actions are recorded in the minutes.

# BRATTON PARISH COUNCIL

## RISK ASSESSMENT: 02

Organisation / Management: Public Safety

		Risk		
<u>HAZARDS IDENTIFIED:</u>		high	medium	low
a.	Record and quantify assets			√
b.	Understand current legislation		√	
c.	Unreported accidents	√		
d.	Failure to take action	√		

PERSONS AT RISK: Councillors – a, b, c, d.  
General public – c.

ACTION REQUIRED:		ACTION?
<u>Asset Register</u>	Maintain asset register, including all public areas owned by the Parish Council.	Asset register is up to date
<u>Annual inspections</u>	Organise regular safety inspections of all children's play equipment, reporting findings to the Parish Council and taking action to remedy any issues highlighted.	Annual Independent report commissioned. Regular visual inspections are carried out.
<u>Monthly inspections</u>	Maintain inspection register of all children's play equipment and recreation area, reporting to parish council meetings monthly.	Weekly inspections are carried out and records are kept accordingly
<u>Accident book</u>	Record any accident or incident reported to Councillors by the public, to include location, nature of incident and extent of injuries or damage to persons or property. Report at monthly parish council meeting.	Accident reports will be completed if needed. All known incidents are reported at Council meetings.
<u>Actions of Parish Council</u>	Record actions of Parish Councillors / Council / Clerk in response to any incidents.	Noted / accident log will be completed if accident occurs.

# BRATTON PARISH COUNCIL

## RISK ASSESSMENT: 03

Organisation / Management: Office safety and management Procedures

		Risk		
<u>HAZARDS IDENTIFIED:</u>		high	medium	low
a.	Open & transparent management system			✓
b.	Keeping Councillors and public informed			✓
c.	Maintaining public access			✓
d.	Post minutes of parish meetings for public viewing			✓
e.	Keep accounts and manage funds		✓	
f.	Organise annual audits			✓
g.	Organise annual safety inspections of council equipment		✓	

PERSONS AT RISK:           Councillors – a, b, e and g.  
                                   General public – c, d and g.  
                                   Council Tax payers – f.

ACTION REQUIRED:		ACTION?
<u>Maintain index of filing system</u>	Maintain a file register	Filing system in order
<u>Computer procedures</u>	Establish back up routine.	Daily back ups implemented
<u>Minutes of meetings</u>	Post minutes of all meetings once approved.	Minutes are displayed on noticeboard and website
<u>Accounts</u>	Establish accounting routine for all transactions.	All expenditure is approved by Council in advance
<u>Health and Safety issues</u>	Maintain record of any health and safety issues that are not accidents / incidents; reporting at monthly meetings.	To be recorded in minutes

# BRATTON PARISH COUNCIL

## RISK ASSESSMENT: 04

### Organisation / Management: Selection and Appointment of Sub-Contractors

		Risk		
<u>HAZARDS IDENTIFIED:</u>		high	medium	low
a.	Competence / workmanship		√	
b.	Safety record		√	
c.	Working in public areas		√	
d.	Working alongside traffic		√	
e.	Known dangers / risk to the Parish Council			√
f.	Financial loss to Parish Council	√		
g.	Unclear duties / responsibilities / specification		√	

PERSONS AT RISK:           Sub-contractors – a, b, d, e and g.  
                                       General Public – b, c and d.  
                                       Parish Council – e, f and g.  
                                       Council Tax payers – f and g.

ACTION REQUIRED:		ACTION?
<u>Contractors</u>	Seek advice and recommendation when compiling list of sub-contractors.	Actioned as necessary
	Select a list of 3 sub-contractors.	Actioned as necessary
<u>Enquiry document</u>	Be clear and concise.	noted
	State what is to be done; where, when, how and by whom. When appropriate, document to include a sketch map giving locations and a list of duties and responsibilities.	Noted
	Parish Council to require sub-contractor to indemnify the parish council regarding risks and responsibilities to be carried by the sub-contractor, including a clear statement on public liability insurance.	Clerk writes to sub-contractor to advise requirement for PL insurance
<u>Quotations</u>	Verify that all sub-contractors have quoted on the same terms.	Noted
	Tabulate rates and prices for discussion (by sub-committee if appropriate) for recommendations to full parish Council meeting.	noted
<u>Selection</u>	Parish Councillors to select.	Noted
<u>Appointment</u>	Parish Clerk to appoint.	Noted

# BRATTON PARISH COUNCIL

## RISK ASSESSMENT: 05

### Organisation / Management: Management of Sub-Contractors

		Risk		
<b>HAZARDS IDENTIFIED:</b>		high	medium	low
a.	Competent Supervisor		✓	
b.	Competent Operative		✓	
c.	Working in public areas	✓		
d.	Working alongside traffic		✓	
e.	Known dangers / risk to the Parish Council			✓
f.	Financial loss to Parish Council	✓		
g.	Unclear duties / responsibilities / specification		✓	

#### PERSONS AT RISK:

Sub-contractors – a, b, d, e and g.  
 General Public – c and d.  
 Parish Council – e, f and g.  
 Council Tax payers – f and g.

<b>ACTION REQUIRED:</b>		<b>ACTION?</b>
<u>Necessity for sub-contractor appointment</u>	Consultants or external advisers will only be appointed where there is a need to have specialist advice and direction not available within any available Councillors' competencies. Such consultants or advisers will have terms and conditions defined in a similar manner to those of sub-contractors. In addition, there will be clearly defined responsibilities and reporting duties coinciding with full monthly meetings of the Parish Council.	Noted
<u>Parish Council and Committee reporting</u>	Parish Council to appoint a single Councillor with known competencies and qualities (and under the guidance of the Chairman or Vice Chairman) to take control and overall responsibility for any given project or sub-contractor. This Councillor will be supported by two or more fellow Councillors.	Noted
	The appointed Councillors (Committee) will make their recommendations with respect to selection and appointment of sub-contractors to the Parish Council.	Noted
	The Committee will deal with all issues of performance, quality, Health and Safety or complaints arising from the public or with the sub-contractor.	Noted
	The Committee will report monthly to the Parish Council at a full meeting.	Noted
<u>Parish Council and sub-contractor liaison</u>	As required, meetings will be set up and attended by the sub-contractor at the outset and as necessary subsequently, including a final wash up meeting.	Noted
	At no time must the Parish Council allow a contractor or consultant to assume control of a scheme. The Parish Council must remain responsible at all times for the work undertaken.	Noted

<u>Monitoring and Review</u>	A full meeting agenda slot must be allocated to any projects in progress.	Noted
<u>Information to be provided to the Sub-Contractor</u>	Full disclosure of any known dangers and risks associated with the specific projects and/or any local information which could reasonably be expected to be helpful.	Noted
	Notify the sub-contractor of any key dates or special events within the village.	Noted
	Start and finish dates and frequency of inspections.	Noted
	Invoicing and payment procedures.	Noted
	Procedure for reporting accidents or incidents to the Parish Council.	Noted
	Parish Council contact details for regular or emergency reporting.	Noted
<u>Information to be provided by the Sub-Contractor</u>	As appropriate to the contract – any or all of the following: A Statement of the competency of the personnel being used. A copy of their safety policy. A copy of their C.O.S.H.H. assessment for the work being carried out. A copy of their noise assessment. A copy of their Employers Liability insurance. A copy of their Public Liability insurance. A copy of their risk assessments and method statements.	Noted

# BRATTON PARISH COUNCIL

RISK ASSESSMENT: 06

Work Place / Activity: Grass mowing with sit on / ride on mower / strimming

		Risk		
<b>HAZARDS IDENTIFIED:</b>		high	medium	low
a.	Personal hygiene			√
b.	Working in public areas	•		
c.	Working alongside traffic		•	
d.	Flying debris		•	

**PERSONS AT RISK:** General Public – b.  
Self – a, c and d.

<b>ACTION REQUIRED:</b>	<b>ACTION?</b>
When the work is outsourced, the contractor needs to satisfy the Parish Council that he is fully competent to work with machinery and that he has Public Liability insurance.	Clerk to ensure copies of relevant documents including method statement are held on file – this to be established as part of the annual tender process



# BRATTON PARISH COUNCIL

RISK ASSESSMENT: 07

Organisation / Management: Finance

		Risk		
<b>HAZARDS IDENTIFIED:</b>		high	medium	low
a.	Budget setting - Inadequate funding or surplus monies			√
b.	Budget monitoring – under or over expenditure		√	
c.	Lack of procedural knowledge – VAT, precept application, payroll		•	
d.	Fraud and theft – cheque signing, income collection and petty cash		√	
e.	Inadequate systems		√	
f.	Procedural queries			√
g.	Clerk / RFO integrity		√	

**PERSONS AT RISK:**

Councillors  
Council Tax Payers

<b>ACTION REQUIRED:</b>		<b>ACTION?</b>
<u>Budget setting</u>	Consideration by Full council meeting	routine
<u>Budget monitoring</u>	Council ensures expenditure is within budget	routine
<u>Lack of procedural knowledge</u>	Clerk to make full use of training/advice offered by WALC, SDC and HMRC.	Noted
<u>Fraud and theft</u>	Minimum of 2 councillors to sign each cheque.	routine
	On line banking system suspended	
<u>Inadequate systems</u>	Annually appoint competent Internal Auditor.	actioned
<u>Procedural queries</u>	Consult WALC for indemnified advice.	Noted
<u>Clerk / RFO integrity</u>	Collection of written references. Fidelity insurance.	Noted

# BRATTON PARISH COUNCIL

RISK ASSESSMENT: 09

Organisation / Management: Children's Play areas

		Risk		
		high	medium	low
	<b>HAZARDS IDENTIFIED:</b>			
a.	Play area surface condition		•	
b.	Height of equipment / fall height			•
c.	Fence around play area			•
d.	Obstructions / exposed foundations			•
e.	Entrapment – gates and equipment	•		
f.	Animal access / dog fouling	•		
g.	Sharp edges / bolts on equipment		•	
h.	Equipment condition		•	
i.	Signage			•
j.	Access and road crossings			•
k.	Unsocial behaviour (broken glass)	•		

**PERSONS AT RISK:** children

<b>ACTION REQUIRED:</b>		<b>ACTION?</b>
<u>Inspections</u>	Appoint a single Councillor responsible for Children's play areas, taking full responsibility for the actions necessary resulting from the annual inspection.	All actions to be reviewed by working group
	Appoint a Councillor responsible for weekly inspections of play areas and maintaining an auditable check list, to be presented at full Council meetings for recommendation and action.	
	Provide a clear, comprehensive check list against which monthly inspections can be made, .	
	Provide relevant and continuing training for those Councillors responsible for play areas.	
<u>Maintenance actions</u>	Establish a register of stockists and maintenance trades people for principal items needing attention or replacement.	
	Appoint a Councillor responsible for immediate maintenance as required.	
	Allocate a minor maintenance budget for play areas under the control of the Councillor responsible for immediate maintenance.	
<u>Reporting</u>	All checks, recommendations, actions and funding issues resulting from monthly and annual inspections to be reported monthly at full Council meetings.	

# BRATTON PARISH COUNCIL

RISK ASSESSMENT: 10

Work Place / activities: Working in the Parish Office

The clerk works in her own office or at home