

CALNE WITHOUT PARISH COUNCIL
RISK MANAGEMENT SCHEDULE

Definition of Risk Management

Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its plans and implement its strategies.

Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements.

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 focused approach to managing risk, which:

- Identifies the key risks facing the council
- 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.

MANAGEMENT					
Subject	Risk(s) Identified	Probability H/M/L	Management/Control of Risk	Review/Assess/Revise	Impact H/M/L
Business Continuity/Loss of Clerk	Council not being able to continue its business due to an unexpected circumstance	L	All files and records are kept at the Clerks home. The Clerk makes a monthly back up of all files. Vice Chairman holds copies of historic electronic files. Standing Orders	Ensure <i>Standing Orders and established procedures are complied with.</i> Standing Orders	L

			identify the necessary procedures to be followed by the council for its effective operation in the absence of the clerk.	<i>reviewed at least annually. Procedures subject to an annual review by the council and adherence to procedures and Standing Orders subject to annual external audit.</i>	
<i>Business continuity/ Inability to conduct meetings</i>	<i>If due to national or local restrictions gatherings of people are not allowed or impose an unacceptable risk to those involved.</i> <i>Management of virtual meetings involving discussion of sensitive or confidential matters</i>	<i>H</i>	<i>In extremis, and for a limited period, the council has identified an approach to delegated decision making and executive action for urgent business. The Council has demonstrated the ability to meet virtually in numbers in excess of the required quorate (5 members); reliable broadband connectivity has limited some participation. Council business is on the most part public and security in terms of personal data is kept to a minimum. Conduct of confidential business will rely on the Clerk and all Councillors ensuring that matters cannot be overheard or recorded in their home setting and public</i>	<i>Standing Orders to be revised to reflect conduct of business when restrictions in place that prevent gatherings.</i> <i>Procedures adopted to take due account of public accessibility but also the need to maintain security of personal data and, where appropriate, any discussion of confidential issues.</i> <i>The Council should continue to review the use of virtual software and the capability to</i>	<i>L</i>

			<i>access to the discussion is restricted.</i>	<i>manage participation. All users should make updates when prompted by the supplier.</i>	
Meeting Location	<i>Adequacy and community access.</i>	M	Main Council meetings are held in Lansdowne Hall, Derry Hill. Other venues are used for Committees and working groups and other meetings/ events organised by the Council, these are checked for suitability regarding access, capacity and facilities.	Review yearly to ensure facilities meet council and community access requirements. <i>The Council will need to reassess the hall and other venues capability to provide a safe meeting place for public meetings in light of any emerging government guidance for the conduct of public meetings.</i>	M
Meeting Location	Health and Safety	L	Premises and facilities used for the main Council meetings are maintained by Lansdowne Hall. <i>Other meeting venues used for Committees, Extraordinary meetings or other meetings organised by the Council are selected to be of appropriate size</i>	<i>Room, venue hired for each meeting with the requirements for that meeting assessed at time of hire. The Council will need to reassess the capability of any chosen venue to provide a safe meeting place for public</i>	M

			<i>and have public and disabled access.</i>	<i>meetings in light of any emerging government guidance for the conduct of public meetings.</i>	
Council Records	Loss through theft, fire, damage	L	Only legal imposed documents are stored in the Clerk house. All documents since 1996 are also stored electronically. Documents older than 6 years are stored in the Wiltshire Council archives.	Damage or theft is unlikely as storage is in storage boxes within the Clerks property.	L
Council Records Electronic	Loss through damage, fire, corruption of computer	M	The Parish Council electronic records are stored on the Clerks computer. Regular backups are taken, checked <i>and stored separately</i> . Adequate anti-virus protection is in place.	Back up copy of all documents stored on a remote hard drive, <i>stored separately</i> . Copies of transparency documents and Minutes are also on the website, <i>maintained on a separate server</i> .	L

FINANCE					
Subject	Risk(s) Identified	Probability H/M/L	Management/Control of Risk	Review/Assess/Revise	Impact H/M/L
Precept	Adequacy of Precept	M	Sound budgeting to underlie annual precept. Parish Council receives budget updates at each council	Existing procedures set out in the Council's Financial Regulations	H

			meeting. The Precept is an agenda item for the October meeting	are adequate. Financial strategy adopted by Council seeks to hold a reserve equal to one years operational spend.	
	Imposition through legislation of a cap on precept increases in any one year	M	The Council budgets for a reserve of at least one year's expenditure based on historical trends when establishing the budget and precept for the succeeding year. Reviewed annually.	Review annually as part of the precept setting process.	M
Insurance	Adequacy	L	Annual review of policy undertaken prior to renewal	Review annually	M
	Compliance	L	Ensure compliance process in place	Review annually	L
Banking	Adequacy checks	L	Council financial regulations define requirements for banking and cheque reconciliation. Financial regulations updated to take into account the Council's move to the use of internet banking.	Existing procedures set out in the Council's Financial Regulations are adequate	L
<i>Banking</i>	<i>Ability to continue with loss of bank signatories</i>	<i>M</i>	<i>The Council has 3 Councillors with the ability to confirm internet banking payments and check balances. Any changes to this are made by bank mandate which requires 'wet' signatures of all 4 signatories. Loss of more than one</i>	<i>Council to review all its bank mandates and add additional signatories as advised by the bank to ensure continued operation.</i>	<i>M</i>

			<i>signatory at a time of restricted meeting could disrupt the council's ability to make payments</i>		
Financial Controls and Records	Adequate checks	L	Monthly reconciliations, two Councillor signatures on cheques with invoice signed to validate amount being incurred. Payments made <i>by BACS</i> still require authority from 2 Councillors.	Existing procedures set out in the Council's Financial Regulations have been reviewed and the level at which contracts must be are adequate.	L
Freedom of Information	Policy provision	L	There have been no requests to date, but council is aware this is an entitlement. Table of charges is in place	Monitor any requests ensure adequate process in place	L
Data Protection Noncompliance with GDPR	Breach of data protection rules	L	The Parish Council only collects information required to carry out its business. Clerk holds sensitive information securely. New email accounts have been implemented to secure information held by Councillors. <i>Virtual meetings will require Councillors to assess the suitability of the space within which they discuss any matters that are data protected.</i>	Review through IT Strategy. <i>Council email protocol in place and Councillors reminded regularly of the need to remove records once business has been completed.</i>	L
Election Costs	Risk of Election (Election Year)	M	Risk is higher in election years. No factors to mitigate this risk A large number of Councillor vacancies at election time could	<i>Provision exists in budget for one election per year; council could consider extending this</i>	M

			leave the Council with a number of unfilled vacancies.	<i>for an election year in case the Council has to hold further elections for unfilled vacancies. The Council has reviewed it's Standing Orders regarding co-option to maintain transparency and make the process flexible to seek to ensure that any suitable voluntary candidates can be adopted without undue delay.</i>	
	(outside election year)	M	All costs of an election have to be met by the Parish Council outside an election year, so the Council's reserve includes specific provision for no more than one election per year and this is reviewed annually when the precept is established.	<i>Review as part of the precept setting procedure. The Council has reviewed it's Standing Orders regarding co-option to maintain transparency and make the process more flexible to seek to ensure that any suitable voluntary candidates can be adopted without undue delay.</i>	M

VAT	Reclaiming	L	Council has procedure for claiming VAT charged to council	<i>The Council has followed advice from the auditor and will review the need to reclaim VAT quarterly and at a minimum make a claim in January each year.</i>	L
Annual Return	Not submitted within time limits	M	Very tight time frame for annual return completion, internal and external audit completion and council agreement and signature	Existing procedure is very tight due to timescales imposed by external auditors, but no way of improving process. The Council will hold an extraordinary meeting to approve the necessary paperwork if required.	M

ASSETS					
Subject	Risk(s) Identified	Probability H/M/L	Management/Control of Risk	Review/Assess/Revise	Impact H/M/L

Well House	Damage, Vandalism	M	Old historic well house, no known value.	Existing procedures set out in the Council's Financial Regulations are adequate. Regular inspection	L
Goal Posts Litter Bins Phone Boxes	Loss or Damage	L	Parish Council has goal posts in Derry Hill Petty Acre. Derry Hill, Lower Compton, Cherhill View, Stockley installation. Derry Hill, Stockley installation	Existing procedures set out in the Council's Financial Regulations are adequate. Regular inspection	M
Office Equipment	Loss or Damage	L	Clerk own property	Existing procedures for the Clerk to have adequate insurance are required as part of the contract of employment and are adequate.	L

LIABILITY					
Subject	Risk(s) Identified	Probability H/M/L	Management/Control of Risk	Review/Assess/Revise	Impact H/M/L
Minutes / Agenda / Statutory Documents	Accuracy and legality	L	Minutes and agenda are produced in the prescribed manner and adhere to legal requirements. Minutes and agenda with other statutory documents are displayed on the council website.	Existing procedures set out in the Council's Standing Orders are adequate.	L

Public Liability	Risk to third party property or individuals	M	Insurance is in place; risk assessment of any individual event is taken	Existing procedures set out in the Council's Financial Regulations are adequate.	L
Legal Liability	Legality of activities	M	Clerk clarifies position on proposals and will seek further advice if necessary	Existing procedures set out in the Council's Standing Orders and Financial Regulations are adequate.	L

Definitions:

Probability

High: The probability of this risk occurring within 12 months is considered to be greater than 75%.

Medium: The probability of the risk occurring within 12 months is considered to be greater than 25% but less than 75%.

Low: The probability of the risk occurring within 12 months is considered to be less than 25%.

Impact

High: An un-budgeted risk that will impact the finances of the council resulting in a need to utilise more than 50% of reserves or that will prevent the council operating effectively in accordance with its standing orders/constitution or have a detrimental impact on the council's reputation.

Medium: A risk that will impact the budgeted finance of the council and require the utilisation of reserves or which could have a short-term impact on the council's effective operation. A manageable impact on the council's reputation.

Low: A risk for which there is a funded mitigation strategy in place and which is being managed effectively which, if it occurs, will have little or no impact on the operation of the Council or its reputation.

	IMPACT			
PROBABILITY		Minor	Moderate	Major
	Frequent	MODERATE	HIGH	HIGH
	Moderate	LOW	MODERATE	HIGH
	Remote		LOW	MODERATE

Draft for approval by Calne Without Parish Council 8th June 2020.