

Calne Without Parish Council  
12<sup>th</sup> April 2021  
Agenda Item 12  
Risk Management Schedule

### **Introduction**

The Council's full Risk Management Schedule is appended to this report.  
The following items are pulled out for specific consideration, but Councillors should review the full schedule and raise any other concerns.

### **Business Continuity Loss of Clerk: Resignation of the Clerk**

The Clerk has advised Councillors of her intention to resign and will be leaving the Council on 21<sup>st</sup> May 2021. The Clerk will have used her best endeavours to have completed her responsibilities as the RFO for the Year End and will hope to have the internal audit report ready for consideration by the new Council on 17<sup>th</sup> May 2021. The Clerk will also see the new Councillors in place and the Annual Parish Council Meeting at which the Chairman will be appointed, and all the new Committee's formed completed on 17<sup>th</sup> May before leaving. A meeting of the Human Resources Committee will take place on 14<sup>th</sup> April to set in motion the recruitment of a new Clerk/RFO.

Councillors are asked to consider approving the interim measure of the appointment of a locum clerk for the Council until such time as the new Council is able to recruit a replacement. This is suggested to assist the Council through the requirements for external audit (June to September) and to guide the Council which is likely to consist of a number of Councillors new to the role until the replacement is in post. The cost of a Locum Clerk is in the region of £25 an hour, the Clerk is currently contracted for 13 hours per week, a 3-month period would cost £4225 at the same number of hours. The Council may wish to ask the HR committee to consider the number of hours required before appointing. The budget for the Clerk for 2021/22 is £12,000.

### **Election Costs**

Wiltshire Council has advised that it may be recharging Parish Council for costs of the elections taking place in May 2021. Parish Council's will be given time to pay so that they can precept to cover the costs. The Parish Council has £2500 in its budget for 2021/22 to cover the cost of any midterm elections or co-options if required. The amount to be charged by Wiltshire Council is as yet unknown and as it could cover the cost of elections in all 5 Wards could be higher than the budget therefore the Council will need to consider this in the 2022/23 budget setting process.

### **Banking: Ability to Continue with loss of signatories**

The Clerk's resignation will require the Council's address to be changed on all bank accounts and the business credit card currently in the Clerk's name to be cancelled. The Clerk also administers all accounts. The Council must review the number of signatories on all accounts when the Councillors standing for re-election is known and put in place appropriate measures for all the Council bank and savings accounts to ensure that it can operate. The Council will need to consider if it wishes the address of the new Chairman of the Council to become the Council's official address until such time as a new Clerk is appointed.

Meeting Location: Return to face-to-face meetings

The Council will be aware that the Government has decided not to extend the legislation that allows the Council to carry out its meetings virtually and that after 6<sup>th</sup> May 2021 the Council will return to face to face meetings. The Clerk has booked the main hall at the Lansdowne Hall for the Council meetings on 17<sup>th</sup> May 2021 and 14<sup>th</sup> June 2021. It is hoped that the additional space will allow the Council to meet safely socially distanced and with appropriate measures in place e.g., windows open. Council meetings are open to the public and the use of the main hall would allow at least 20 to attend safely. As the Council rarely gets more than 5 members of the public attend its meetings this is considered reasonable, but the Council must consider whether it wishes to consider the purchase or hire of equipment and expertise to allow the meeting to be streamed so that any additional members of the public wishing to attend could do so virtually. A budget for this and a method of approving costs operation in line with the Council Financial Regulations would be required.

**Recommendation:**

- 1. That the Council approve the consideration by Human Resources of the appointment of a Locum Clerk to cover the Clerk's position is required or considered appropriate for a period of up to 3 months and the associated costs.**
- 2. That the Council recognises that Wiltshire Council may charge a proportion of election costs to the Parish Council and that it will draft the precept for 2022/23 to account for the costs.**
- 3. That the Council approves the use of the address of the Chairman elected on May 17<sup>th</sup>, 2021 to be used as the Council's official address until a new Clerk is appointed.**
- 4. That the Council approve the use and booking of the main hall at the Lansdowne Hall for the return to face-to-face meetings and accepts that the space for the public will be limited to meet the Government guidelines and the risk assessment.**
- 5. That the Council considers any other measures it considers necessary to mitigate against risk to ensure the ongoing operation of the Council following the election.**

**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.

<b>MANAGEMENT</b>					
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>Probability H/M/L</b>	<b>Management/C ontrol of Risk</b>	<b>Review/Assess/ Revise</b>	<b>Impact H/M /L</b>
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 identify the necessary procedures to be followed by the council for its effective operation in the absence of the clerk.	Ensure Standing Orders and established procedures are complied with. Standing Orders 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.	L
<i>Business continuity/ Inability to conduct meetings</i>	<i>If due to national or local restrictions gatherings of people are not</i>	<i>H</i>	<i>In extremis, and for a limited period, the council has identified an approach to delegated decision making and executive</i>	<i>Standing Orders to be revised to reflect conduct of business when restrictions in place that prevent</i>	<i>L</i>

	<p><i>allowed or impose an unacceptable risk to those involved.</i></p> <p><i>Management of virtual meetings involving discussion of sensitive or confidential matters</i></p>		<p>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 access to the discussion is restricted.</p>	<p>gatherings.</p> <p>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.</p> <p>The Council should continue to review the use of virtual software and the capability to manage participation. All users should make updates when prompted by the supplier. Council to invest in IT support for Councillors and Clerk to ensure meetings are quorate and business continuity is not affected by IT failures.</p>	
Meeting Location	Adequacy and community access.	M	Main Council meetings are held in Lansdowne Hall, Derry Hill. Other venues are used for Committees	Review yearly to ensure facilities meet council and community access requirements. The Council will	M

			and working groups and other meetings/ events organised by the Council, these are checked for suitability regarding access, capacity and facilities.	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.	
Meeting Location	Health and Safety	L	<p>Premises and facilities used for the main Council meetings are maintained by Lansdowne Hall.</p> <p>Other meeting venues used for Committees, Extraordinary meetings or other meetings organised by the Council are selected to be of appropriate size and have public and disabled access.</p>	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 meetings in light of any emerging government guidance for the conduct of public meetings.	M
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	Damage or theft is unlikely as storage is in storage boxes within the Clerks property.	L

			in the Wiltshire Council archives.		
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 and stored separately. Adequate anti-virus protection is in place.	Back up copy of all documents stored on a remote hard drive, stored separately. Copies of transparency documents and Minutes are also on the website, maintained on a separate server.	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 meeting. The Precept is an agenda item for the October meeting	Existing procedures set out in the Council's Financial Regulations are adequate.  Financial strategy adopted by Council seeks to hold a reserve equal to one years operational spend.	H
	Imposition through legislation of a cap on	M	The Council budgets for a reserve of at least one year's expenditure based on	Review annually as part of the precept setting process.	M

	precept increases in any one year		historical trends when establishing the budget and precept for the succeeding year. Reviewed annually.		
Insurance	Adequacy  Compliance	L  L	Annual review of policy undertaken prior to renewal Ensure compliance process in place	Review annually  Review annually	M  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>	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 signatory at a time of	Council to review all its bank mandates and add additional signatories as advised by the bank to ensure continued operation.	<i>M</i>

			restricted meeting could disrupt the council's ability to make payments		
Financial Controls and Records	Adequate checks	L	Monthly reconciliations, two Councillor signatures on cheques with invoice signed to validate amount being incurred. Payments made by BACS 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. Virtual meetings will require Councillors to	Review through IT Strategy. Council email protocol in place and Councillors reminded regularly of the need to remove records once business has been completed.	L



			assess the suitability of the space within which they discuss any matters that are data protected.		
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 leave the Council with a number of unfilled vacancies.	Provision exists in budget for one election per year; council could consider extending this 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.	M
	(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	Review as part of the precept setting procedure. The Council has reviewed it's Standing Orders regarding co-option to maintain	M

			more than one election per year and this is reviewed annually when the precept is established.	transparency and make the process more flexible to seek to ensure that any suitable voluntary candidates can be adopted without undue delay.	
VAT	Reclaiming	L	Council has procedure for claiming VAT charged to council	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.	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

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

<b>LIABILITY</b>					
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>Probability H/M/L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/Revise</b>	<b>Impact H/M/L</b>
Minutes / Agenda /	Accuracy and legality	L	Minutes and agenda are produced in the prescribed	Existing procedures set out in the Council's	L

Statutory Documents			manner and adhere to legal requirements. Minutes and agenda with other statutory documents are displayed on the council website.	Standing Orders are adequate.	
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			
		Minor	Moderate	Major
PROBABILITY	Frequent	MODERATE	HIGH	HIGH
	Moderate	LOW	MODERATE	HIGH
	Remote		LOW	MODERATE

Draft for approval by Calne Without Parish Council 8<sup>th</sup> June 2020.