

# Westbury Parish Council - Risk Management Schedule 2018/19

Adopted at the meeting of 11<sup>th</sup> July 2018

## 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 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 focuses 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

## Democratic Process and Public Engagement

Hazard/Risk	Impact	Controls
Risk of Election costs	M	<ul style="list-style-type: none"><li>• Risk is higher in election year. There are no measures which can be adopted to minimise the risk of having a contested election. Reserves would be used to meet the costs</li></ul>
Breach of Freedom of Information and data protection requirements	M	<ul style="list-style-type: none"><li>• Council adopted the model scheme (Dec 08)</li><li>• Clerk understands requirements (training)</li><li>• Clerk and councillors attend training</li><li>• Council has necessary advice via BALC/SLCC</li><li>• Council is registered with the ICO and complies with GDPR policies adopted in May 2018</li></ul>
Liability to public	H	<ul style="list-style-type: none"><li>• Adequate public liability insurance in place</li></ul>
Failure to consult/inform community	M	<ul style="list-style-type: none"><li>• Link information</li><li>• Parish notice board</li><li>• Website</li><li>• Village Mailing list</li><li>• Facebook</li></ul>

## Decision Making

Hazard/Risk	Impact	Controls
Proper and timely reporting of minutes, and posting of statutory notices	M	<ul style="list-style-type: none"> <li>Minutes displayed as draft and then approved &amp; signed at next meeting</li> <li>Notices displayed on notice board &amp; website</li> <li>Councillors 'summoned' to meetings</li> </ul>
Ensuring decisions are within legal powers	H	<ul style="list-style-type: none"> <li>Clerk to clarify legal position on any new proposal</li> <li>Legal advice via membership of BALC and SLCC to be sought where necessary</li> <li>Code of Conduct training for councillors and clerk</li> <li>Adoption of the latest standing orders</li> <li>Members interests are declared at the start of meetings</li> </ul>
Decisions unclear	H	<ul style="list-style-type: none"> <li>Clerk attends minute taking training (ongoing)</li> <li>Chair to attend chairing training (ongoing)</li> </ul>
Lack of focus/priorities	M	<ul style="list-style-type: none"> <li>Consider the results of village plan</li> <li>Matrix of annual actions plan</li> </ul>
Slow to react to outside influence (park closure, Village Hall, street lighting)	M	<ul style="list-style-type: none"> <li>Keep contact numbers and email addresses on notice board</li> <li>Consider urgent delegation to Clerk as part of standing orders</li> </ul>
Register of Interests	H	<ul style="list-style-type: none"> <li>Registers of Interests to be completed annually</li> </ul>

## Asset Management

Hazard/Risk	Impact	Controls
Protection of physical assets	M	<ul style="list-style-type: none"> <li>List of assets updated annually</li> <li>Training Clerk in audit requirements (ongoing)</li> <li>Village Hall, playground equipment, streetlights, historical panels and paintings and community defibrillator insured</li> </ul>
Health & Safety	H	<ul style="list-style-type: none"> <li>Annual inspection of Village Hall with WVHA &amp; Shop and planned maintenance programme</li> </ul>

		<ul style="list-style-type: none"> <li>• System of informal monitoring of Village Hall etc</li> <li>• Annual electrical testing, arranged by WVHA</li> <li>• Annual fire inspection carried out by competent person, arranged by WVHA</li> <li>• Monthly visual inspection of playground</li> <li>• Annual H&amp;S inspection of playground carried out</li> <li>• Trees to be identified and investigated when damage reported</li> </ul>
Liability to public	H	<ul style="list-style-type: none"> <li>• Insurance in place. Risk assessment of any individual event undertaken</li> </ul>
Inadequate reserves (for all assets)	M	<ul style="list-style-type: none"> <li>• Consider building in depreciation for risk areas</li> <li>• Quarterly report on accounts to build awareness of reserves</li> </ul>

## Employment & Management

Hazard/Risk	Impact	Controls
Business Continuity	L	All files & recent records are kept at the clerk's home on an external memory stick. The clerk makes a monthly back up of files onto a hard disc. A list of all passwords is kept by the clerk.
Meeting location	L	Meetings are held at Westbury village hall
Council records	L	Older records are stored at Westbury village hall in a locked filing cabinet and in the loft of the hall. Papers less than 6 years old are stored in the clerk's home.
Council records – electronic	M	Electronic records are stored on the clerk's laptop & memory sticks. Back-ups of the files are taken at monthly intervals. Adequate antivirus protection is in place.
Comply with employment law	M	<ul style="list-style-type: none"> <li>• Policies including grievance and disciplinary in place</li> <li>• Apply national benchmarking for career salary scale</li> <li>• Up-to-date contract of employment in place</li> <li>• Annual appraisals carried out with Chairman &amp; Vice Chairman</li> <li>• Pension opt in/out scheme</li> </ul>
Claim for constructive dismissal	M	<ul style="list-style-type: none"> <li>• Insurance and/or reserve fund</li> <li>• Bespoke employment advice from BALC and SLCC</li> <li>• Annual staff reviews</li> </ul>
Clerk sickness or leaves	M	<ul style="list-style-type: none"> <li>• Up-to-date contract of employment in place</li> <li>• Contingency for X months' additional pay</li> <li>• Recruitment system in place</li> <li>• BALC advice via membership</li> </ul>
Health & Safety	M	<ul style="list-style-type: none"> <li>• Working at Village Hall – take mobile, lock self in and be aware of personal safety</li> </ul>

## Contracts for services and supplies

Hazard/Risk	Impact	Controls
Inadequate records	M	<ul style="list-style-type: none"> <li>• Clerk to understand what 'adequate' is (training)</li> <li>• Chairman made aware of record system</li> </ul>
Contractor defaults and/or low quality work	M	<ul style="list-style-type: none"> <li>• Ensure complete audit trail from decision and signed contract through to payment</li> <li>• Ensure contract is watertight re work required and actions taken in event of default</li> </ul>
Public injury	H	<ul style="list-style-type: none"> <li>• Ensure contract is subject to risk assessments and public liability cover</li> <li>• Inspect contractor's risk assessments</li> <li>• Inspect contractor's liability insurance</li> </ul>
Unauthorised direction to contractor	M	<ul style="list-style-type: none"> <li>• Letter of instruction to be on headed paper from Clerk</li> <li>• In contract letter ensure delegation of a councillor or the clerk as first line of direction</li> </ul>

## Finance

Hazard/Risk	Impact	Controls
Inadequate records of accounts	M	<ul style="list-style-type: none"> <li>• Council understands its role</li> <li>• Council understands RFO role</li> <li>• Appointment of competent RFO with appropriate skills</li> <li>• Set up clerk's finance support group</li> <li>• RFO and council attend training</li> </ul>
Additional external audit work	M	<ul style="list-style-type: none"> <li>• Plan for audit in Nov/Dec to ensure keeping cost down</li> </ul>
Inadequate internal audit	M	<ul style="list-style-type: none"> <li>• Appointment of independent and competent professional person for IA</li> <li>• Review and appoint annually</li> <li>• IA's report considered by council</li> </ul>

		<ul style="list-style-type: none"> <li>• Annual review of effectiveness</li> </ul>
Financial control and records	M	<ul style="list-style-type: none"> <li>• Quarterly reconciliations prepared by clerk and reported to council</li> <li>• All invoices approved at monthly meeting</li> <li>• Two signatories required on cheques/invoices</li> <li>• Internal and external audit</li> <li>• Adopt financial regulations</li> </ul>
Inadequate precept, reserves, balances	H	<ul style="list-style-type: none"> <li>• Sound budgeting to underlie annual precept</li> <li>• The precept is an agenda item at the January meeting</li> <li>• Looking two years ahead and at past records</li> <li>• Annual review Nov each year</li> </ul>
Comply with Customs and Excise regulations	H	<ul style="list-style-type: none"> <li>• VAT payments and claims calculated half-yearly by clerk</li> </ul>
Sound budgeting to underlie annual precept	M	<ul style="list-style-type: none"> <li>• Chairman, one councillor and clerk meet in Nov/Dec to form a detailed budget and report at Dec meeting</li> <li>• Precept derived directly from budget</li> <li>• Expenditure against budget reported to council monthly</li> </ul>