

Ref	Activity	Risk/Hazard Description	Who is at risk /Risk Category	Risk Score				EXISTING CONTROLS Key points	FURTHER ACTIONS if required – key points	Risk Owner	Review	
				Impact	Likelihood	Risk Rating	Red / Amber / Green				last	Next
4.2 1	Staffing & Employment	Inadequate staffing resources	Council Delivery & quality of service	3	2	6	RED	<p>Employment contracts with notice period.</p> <p>Ensure vacancies advertised and filled as soon as possible.</p> <p>Monitor sickness absence and perform regular staff appraisals.</p> <p>Knowledge with the Administrative Officer to support business continuity.</p> <p>Current staffing capacity is adequate to deal with workload.</p>	<p>Consider further opportunities for succession planning and business continuity and develop and adopt a formal business continuity plan.</p> <p>Secure additional capacity or release current work prior to accepting new work.</p> <p>Implement Staffing Committee Terms of Reference with diarised monthly meeting of Sub Committee or identified representative to 'manage, supervise and appraise the Clerk' to ensure that Council decisions requiring action by the Clerk can be achieved or prioritised whilst ensuring that the</p>	Parish Clerk Staffing Cmttee		

									Clerk is not 'micro-managed'. Locum Clerk in January 2021 suggested the Clerk identifies monthly or weekly set of objectives and reviews achievements with an identified member of the Staffing Committee to support time management,			
1.4. 2	Staffing & Employment	Failure to comply with employment law	Council Financial, Compliance & Legal, Reputation	3	2	6	Red	<p>All applicants for employment are issued with an application pack.</p> <p>Contracts of employment based on SLCC/NALC guidance in place for all staff.</p> <p>HR policies approved by Council are available to all staff.</p> <p>Professional HR consultancy service available via South West Councils</p> <p>Legal expenses insurance cover with the council's insurance providers. Cover should include Legal Expenses, Limit of indemnity Employment disputes and compensation awards</p> <p><i>Employee procedures including</i></p>	<p>Training, employee handbook and appropriate management procedures for staff to be in place.</p> <p>Employment Law contract with South West Councils that includes insurance cover for any tribunal claims, including compensation awards.</p> <p>Check sufficient cover available from council's insurance cover.</p> <p>Training for all councillors in understanding code of Conduct</p> <p>Training for councillors in specialist roles eg Chairs / Staffing Ctee members</p>	Parish Clerk		

								<i>grievance and disciplinary procedures have been reviewed and approved using the South West Councils, NALC or other model templates.</i>	<u>required.</u>			
1.4 3	Loss of key staff Lack of availability of Clerk	Sickness, incapacity, early retirement, retirement, resignation, or death causing loss of 30 hours of paid employment time	Council Delivery & Quality of Service Parish residents, Suppliers, Other employees Reputation of the Council	3	2	6	Red	<p>Employment contracts with notice periods.</p> <p>All staff have job descriptions & work lists.</p> <p>Sickness absence procedure is in place.</p> <p>CILCA qualified Locum Clerk can be appointed to provide necessary hours work per week on a rolling basis contract to be reviewed prior to each month end during period of absence.</p> <p>Separate risk assessment carried out for the Locum cover. <u>Key activities for the Locum clerk are to cover core clerk tasks</u> as the need arises during clerk absence.</p> <p>Administrative officer employed for 10 hours a week to cover urgent financial agreement in the absence of the Clerk/RFO once delegated powers/change to financial regulations approved.</p> <p>Powers exercised to be recorded in a delegation</p>	<p>Procedure to be developed for dealing with leavers that ensures that assets are recovered, and knowledge is harnessed so that, any one time, whereabouts of equipment is known and available.</p> <p>Officer appraisal and supervision to take place on regular basis to include setting and monitoring objectives so that, at any time, work planned and in process is known.</p> <p>Exit interview format to be developed to identify outstanding objectives and tasks prior to planned unavailability of Clerk.</p>	Parish Clerk Staffing cmttee		May 2021

								<p>register. A separate risk assessment has been carried out for the Admin Officer exercising RFO powers on emergency expenditure. Councillor can be appointed to act as a Clerk on an unpaid basis in accordance with the LGA 1972 s.112(5) in the absence or unavailability of the Admin Officer, subject to full council approval. SLCC offer locum staff in response to sudden departure/incapacity of staff members and an approach to recruiting a Locum Clerk / RFO was agreed on 25.1.21.</p>				
1.4.7	Staffing & Employment	Inadequate training.	Council Financial, Legal & Compliance, Delivery & Quality of Service	2	2	4	Amber	<p>Staff appraisal identifies training needs. Council sets annual training budget. Staff offered local and national courses and conferences. <i>Highly qualified Clerk in post</i> CILCA qualified Locum Clerk to be in post if Clerk unavailable. Administrative Officer has received sufficient professional and on-the-job training to ensure they can fulfil their role. The officer has six years' experience as a Parish Clerk for</p>	Administrative Officer to be given training as required by WALC on financial procedures and council business. Administrative Officer to undertake the ILCA 'Introduction to Local Council Administration' if not already held to enable possible progression to the CILCA qualification required for Clerks if considered appropriate for the role.	Parish Clerk		

								a previous employer.				
	Staffing and Employment	Incomplete or inaccurate understanding of financial records held by others than the Clerk	Council Financial, Legal & Compliance, Delivery	2	2	4	Amber	Administrative Officer has the experience to fulfil role. Expenditure scrutinised by Full Council <u>every month along with quarterly Budget to Actual Reports.-</u> (Two signatures required for all cheque payments. Bank access given to authorised signatories only – not needed here as covered under 1.2.2)	Rialtas finance system to be populated from beginning of April 2021, and understanding/ training given to Admin. Officer and ‘finance manager’ role as identified in the Corporate risk assessment register. 1.2.6 – 1.2.8)	Parish Clerk		
	Staffing and Employment	Lack of understanding of Data to others than the Clerk	Council Delivery & Quality of Service	2	2	4	Amber	All work documents available on shared drive. System backed up daily on a hard drive. Accounts system is backed up and stored securely Council documents in order and secured in office. <i>Password List is compiled of all usernames, password and accounts held on behalf of the council and to be stored in a confidential secure place in case of an emergency.</i>	Passwords to be changed every three months and shared as identified in the column to the left All computer held documentation to be automatically stored on ‘One Drive’ or other appropriate shared system and accessible by both the Clerk and the Admin Officer (with appropriate safeguards). Council paper documents not in regular use to be stored in secure storage away from Clerk’s home base and this to be reviewed yearly with access being available to	Parish Clerk		

									at the Chair and Vice-Chair of the Council.			
	Staffing and Employment	Payroll not sufficiently understood by others than the Clerk leading to failure to make payments	Council Delivery & Quality of Service Council employees Reputation of the Council	3	2	6	Red	The council has carried out a specific risk assessment for the management of payroll. Once implemented the further actions taken on payroll reduce the risk rating to a tolerable level. Payroll reports are reviewed by Councillors before payment are made to staff via bank transfer.	Commission an external payroll service	Parish Clerk Staffing cmttee		