

Between the Clerk and Cllr Brentor the following has changes have been made:

1. Risks re scored using the councils 3x3 matrix
2. Risks re-laid out using the Council's Risk Register columns
3. Contents of existing risks in the Corporate Risk Register incorporated into the new risks where relevant
4. Note that for risks with a Green rating the additional controls are optional.

Members are to review the 'Controls in Place' to ensure they exist, they relate to and mitigate the Risk Identified [Step 3 from the Risk Management Policy]

In line with the Risk Management Policy [Step 4: Decide on Any Further Action to be Taken] for risks rated as Red or Amber the Members will need to decide, for each one, which one of the four main control options apply:

- Terminate the risk – take a decision to discontinue the activity.
- Transfer the risk – the risk is 'passed' on e.g. to an insurer.
- Treat the risk – put in place additional effective controls to reduce the impact or likelihood.
- Tolerate the risk – accept the risk but continue to monitor and evaluate.

The chosen control option should be listed in the 'Additional Controls Required' together with any additional controls that are required.

Note that any Additional Controls Required will need to be scoped, resources (time, effort, funds) required identified and agreed by Council Resolution.

Once these risk assessments have been agreed they will be incorporated into the main Corporate Risk Register.

Ref	Activity	Risk/Hazard Description	Who is at risk /Risk Category	Risk Score				EXISTING CONTROLS	FURTHER CONTROLS / ACTIONS	Risk Owner	Review	
				IMP	LIKE	RISK	RATE	Key points	If required – key points		last	Next
1.4.1	Staffing & Employment	Inadequate staffing Resources – steady state	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 timesheets.</p> <p>Current staffing capacity is adequate to deal with workload.</p> <p>Regular review of Task List to ensure workload is achievable</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 Clerk is not ‘micro-managed’.</p> <p>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,</p>	Parish Clerk Staffing Ctee		
1.4.3 ?	Staffing & Employment	Sudden Temporary Loss of Staff –impacting both amount available resources and knowledge and skills	Council Delivery & quality of service	3	2	6		<p>Knowledge with the Administrative Officer to support business continuity. Admin Officer or Councillor can provide agenda /minute writing role.</p> <p>Admin Officer is able to authorise emergency expenditure as per the Financial Regulations.</p> <p>SLCC offer locum staff in response to sudden departure/incapacity of staff members</p>	<p>Consider further opportunities for succession planning and business continuity and develop and adopt a formal business continuity plan.</p> <p>Chair & Staffing Ctee aware of current ‘work in progress’ through regular meetings that review Task List / Objectives of Clerk.</p>			

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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. <i>Employee procedures including grievance and disciplinary procedures have been reviewed and approved using the South West Councils, NALC or other model templates.</i></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>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. Check sufficient cover available from council's insurance cover.</p> <p><u>Training for all councillors</u> in understanding role and function of council, committees, members (inc code of conduct), officers.</p> <p>Training for all councillors in specialist topics eg procurement, finance, planning etc.</p> <p><u>Training for councillors in specialist roles eg Chairs / Staffing Ctee members.</u></p>	Parish Clerk		

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1.4.4	Staffing & Employment	<p>Long term loss of staff impacting both amount available resources and knowledge and skills</p> <p>Possible causes include long term sickness, incapacity, retirement, resignation, or death causing loss of 30 hours of paid employment time</p> <p>Loss of key staff Lack of availability of Clerk</p>	<p>Council Delivery & Quality of Service Parish residents, Suppliers, Other employees Reputation of the Council</p>	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.</p> <p><u>Key activities for the Locum clerk are to cover core clerk tasks</u> (eg prepare agendas, clerk meetings and produce minutes) as the need arises during employee absence.</p> <p>Approach to recruiting a Locum Clerk / RFO was agreed on 25.1.21 under resolution xxx.21</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 employees.</p>	<p>Parish Clerk</p> <p>Staffing Ctee</p>		May 2021

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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.</p> <p>Council sets annual training budget.</p> <p>Staff offered local and national courses and conferences.</p> <p><i>Highly qualified Clerk in post</i></p> <p>CILCA qualified Locum Clerk to be in post if Clerk unavailable.</p> <p>Administrative Officer has received sufficient professional and on-the-job training to ensure they can fulfil their role.</p> <p>The officer has six years' experience as a Parish Clerk for a previous employer.</p>	<p>Administrative Officer to be given training as required by WALC on financial procedures and council business.</p> <p>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.</p>	Parish Clerk		
1.2.x NEW ?	Financial Management	Incomplete or inaccurate understanding of financial records held by others than the Clerk	Council Financial, Legal & Compliance, Delivery	2	2	4	Amber	<p>Administrative Officer has the experience to fulfil role.</p> <p>Expenditure scrutinised by Full Council <u>every month along with quarterly Budget to Actual Reports.-</u></p> <p>(Two signatures required for all cheque payments. Bank access given to authorised signatories only – not needed here as covered under 1.2.2)</p>	<p>Council to clearly define what financial reports and records they require.</p> <p>Rialtas finance system to be populated from beginning of April 2021, and understanding/ training given to Admin Officer and 'nominated Councillor role as identified in the Corporate risk assessment register.</p>	Parish Clerk		

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1.5.X NEW ?	Information, Website & Social Media	Lack of understanding of Data to others than the Clerk LOSS OF DATA is 1.5.3	Council Delivery & Quality of Service	2	2	4	Amber	<p>These all relate to 'LOSS OF DATA' risk not the proposed new 'Lack of Understanding of Data'</p> <p>All work documents available on shared drive. System backed up daily on a hard drive.</p> <p>Accounts system is backed up and stored securely</p> <p>Council documents in order and secured in office.</p> <p><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></p> <p>All computer held documentation to be automatically stored on suitable cloud based shared system and accessible by both the Clerk and the Admin Officer (with appropriate safeguards).</p>	<p>These all relate to 'LOSS OF DATA' risk not the proposed new 'Lack of Understanding of Data'</p> <p>Passwords to be changed every three months and shared as identified in the column to the left</p> <p>Council paper documents not in regular use to be stored in secure storage (at least 3 filing cabinets required) away from Clerk's home and this to be reviewed yearly with access being available to at the Chair and Vice-Chair of the Council.</p> <p>Council documents to be archived using Wiltshire Council's archive facility.</p>	Parish Clerk		

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1.2.X new	Financial Management	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	<p>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.</p> <p>Payroll reports are reviewed by Councillors before payment are made to staff via bank transfer.</p> <p>– how would this happen with a Payroll Service? How would Councillors understand the reports well enough to confirm they are correct?</p>	<p>Commission an external payroll service – this basically ‘Transfers’ out the risk. It is still there.</p> <p>If the third party payroll provider fails what will the Council then do?</p> <p>New risk to be created by staffing Ctee as part of setup of new payroll service.</p>	Parish Clerk Staffing Ctee		