

DERRY HILL & STUDLEY 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. All files are backed up daily to onedrive.	Ensure Standing Orders and established procedures are complied with. Standing Orders reviewed at least annually.	M

(AMEND WITH REF TO STANDING ORDERS)				Procedures subject to an annual review by the council and adherence to procedures and Standing Orders subject to annual external audit.	
<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>	L	The Council has demonstrated the ability to meet virtually in numbers in excess of the required quorate (4 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.	Standing Orders to be revised to reflect conduct of business when restrictions in place that prevent gatherings. 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. Council to continue to invest in IT support for Councillors and Clerk to ensure business continuity is not affected by IT failures.	L
Meeting Location	Adequacy and community access.	L	Main Council meetings and committees are held in Lansdowne Hall, Derry Hill. Other venues are	Review yearly to ensure facilities meet council and	M

			used for working groups and other meetings/ events organised by the Council, these are checked for suitability regarding access, capacity and facilities.	community access requirements.	
Meeting Location	Health and Safety	L	Premises and facilities used for the main Council meetings and committees are maintained by Lansdowne Hall. 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.	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 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. All documents are saved to onedrive, checked and stored	Back up copy of all documents stored one drive, stored separately. Copies of transparency documents and Minutes	L

			separately. Adequate anti-virus protection is in place.	are also on the website, maintained on a separate server.	
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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 9 - 12 months operational spend. .	H
	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	Existing procedures set out in the Council's Financial Regulations are adequate	L

			account the Council's move to the use of internet banking.		
<i>Banking</i>	<i>Ability to continue with loss of bank signatories</i>	<i>M</i>	The Council has 4 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 restricted meeting could disrupt the council's ability to make payments	Council to review all its bank mandates and add additional signatories as advised by the bank to ensure continued operation.	<i>M</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 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. Official council email accounts are used to secure information held by Councillors.	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

			Virtual meetings will require Councillors to assess the suitability of the space within which they discuss any matters that are data protected. Ensure that councillors are training in data protection/GDPR training.		
Election Costs	Risk of Election (Election Year)	M	Risk is higher in election years. Council is maintaining an Election reserve equivalent to £3000 to cover the potential cost of elections during election years. A large number of Councillor vacancies at election time could leave the Council with a number of unfilled vacancies.	Reserve value to be reviewed annually based on latest guidance on potential costs from Wiltshire Council. Review as part of budget setting to restore or increase the election reserve through the precept as appropriate. The Council has reviewed its 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	Council is maintaining an Election reserve equivalent to £3000 to cover the potential costs of	The costs of any by elections arising from casual vacancies to be	M

			elections and by elections outside of election years.	drawn from the election reserve and replenished in the following year through the budget setting process and precept.	
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
External Audit	Major failings identified by External Audit	M	Maintain strong financial controls in accordance with Financial Regulations and under oversight by Finance Committee; take accounts through Internal Audit process prior to submission.	Existing processes are working well. No issues were raised in recent years.	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
Petty Acre Play equipment and Goal Posts Litter Bins Phone Box Noticeboards Benches	Loss or Damage	L	Parish Council has play equipment and goal posts in Derry Hill Petty Acre. Derry Hill (4), Studley Gardens (1), Studley (2) Derry Hill, installations. Derry Hill, Studley and Sandy Lane Tile Court (2)	Specific Risk assessment and operational guidelines for play equipment maintenance. Existing procedures set out in the Council's Financial Regulations are adequate. Regular inspection	M
Office Equipment	Loss or Damage	L	Stored at Parish Clerk's residence.	Existing procedures for the Clerk to have adequate insurance are required as part of the contract of employment and are adequate. All equipment is	L

				listed on an equipment register.	
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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

INSPIRE MAGAZINE

Subject	Risk(s) Identified	Probability H/M/L	Management/Control of Risk	Review/Assess/Revise	Impact H/M/L
Financial	Marketing Volunteer resigns	L	Activities of marketing volunteer are understood. Advertisers	Contingency held in budget for Clerk overtime to maintain marketing role.	L

			arrangements and details are held centrally by the editor.		
	Advertisers reduce	L	Review processes for finding advertisers. Hold a list of potential advertisers for both seasonal and annual potential.	Contingency held in budget. Reduce size of publication and reduce costs.	L
Reputational	Printed content offends	L	Editorial review of all proposed content prior to publication.	Editorial policy to guide editorial review.	L
Personnel	Volunteer Accident	L	Hold a schedule of volunteers and their contact details against delivery rounds. Request notification of delivery activities to the clerk.	Safety reminder.	L
Production	An element in the production and delivery process fails.	L	Document production process identifying contributors, inter relationships and production timeline.	Develop alternative backups for each element.	L
			Maintain distribution lists for physical and email distribution.	Provide web links through Parish Council website for digital edition.	

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