

BARNBY IN THE WILLOWS PARISH COUNCIL

RISK MANAGEMENT

Reviewed 11.5.18

1. LEGAL REQUIREMENTS AND STATUTORY DUTIES

RISKS	MEASURES TO MINIMISE RISKS
Actions by PC outside its powers laid down by Pt.	All Cllrs have access to relative acts or an effective summary. Clerk has knowledge of and access to detailed legislation, and receives updates through NALC membership; keeps Members informed of changes to legislation. Regular references to appropriate Acts in agenda and minutes.
Lack of knowledge or commitment to regulations, procedures and codes. Inappropriate representation by Cllrs.	Standing orders reviewed annually . All Cllrs have copies of standing orders and Code of Conduct. Training /mentoring for new Cllrs. Access to publications e.g. 'The Good Councillors' Guide' .
Lack of transparency and accountability.	Agenda for meetings published on notice boards and on the web site, inviting public and press. Agenda and minutes of meetings on the web site. Opportunities for public contributions at all PC meetings. Internal audit report and accounts on web site. Public meetings, leafleting and consultation on major issues. Open forum at the Annual Parish Meeting. Register of Members' interests published.
Ineffective representation of the Parish.	Good lines of communication with District and County Cllrs. Established contacts at District and County Councils. Participation in area consultations, and sound knowledge of planning criteria. Attendance at local government conferences and briefings. Information/internet links provided to Members in advance of meetings to enable full participation in decision making. Delegation of fact finding and shared use of Members' appropriate expertise. County and District Cllrs attend meetings
Breach of data protection rules.	The Clerk has attended NALC training on GDPR. Legislation and information is passed on through NALC. Members have in place a Data Protection Policy, Subject Access Procedure, Data Breach Policy and Records Retention Policy. The Parish Council has a dedicated Parish email address. Parish Council records are stored electronically on the Parish Council's own lap top which is password-protected. Councillors have completed the GDPR Security Compliance Checklist. The Council is registered with the ICO.

2. FINANCIAL CONTROLS

RISKS	MEASURES TO MINIMISE RISKS
Financial mismanagement / fraud.	Quarterly reconciliation of accounts and bank statements. Approved finance regulations in place, reviewed annually. Compliance with recommendations of independent auditor. Two signatories for every transaction. All expenditure listed for approval and fully minuted.
Inadequate accounting records.	Appointment of experienced/qualified Responsible Finance Officer. Further training opportunities accessed. Records available for inspection at any time. Full audit trail and compliance with audit requirements in place. Prompt processing of payments and receipts.
Council left without a Clerk / RFO.	Comprehensive up to date records of income and expenditure and adequate filing systems maintained.
Inappropriate use of council funds; lack of best value.	All Cllrs participate in planning and regular reviews of the budget. Contracts regularly reviewed; alternative suppliers investigated. Quotations obtained in accordance with financial regulations.
Sources of income not fully accessed.	RFO has adequate knowledge of VAT, grants and other sources of income.

3. SAFEGUARDING PEOPLE AND PROPERTY.

RISKS	MEASURES TO MINIMISE RISKS
Inadequate insurance cover.	Annual review of risk assessment and insurance requirements. Policy covers public liability, employer's liability, Members in line of duty, volunteers, damage to property.
Misappropriation of assets / inaccurate valuations.	Asset register reviewed and approved by Council annually. Full inventory of equipment maintained and periodic checks on condition of all Council owned property. Appropriate insurance valuations.
Non-compliance with employment laws.	Agreed contracts of employment in place in accordance with employment laws. Clerk has adequate knowledge of/access to employment and taxation legislation and understanding of PAYE requirements.
Accusations of discrimination, slander or libel.	All Cllrs aware of appropriate Govt. legislation on equality. Cover against libel/slander included in insurance. Statements/responses on behalf of the Council to be agreed in advance by full Council or delegation, or at least in consultation with Chmn.
Public health and safety.	Insurance cover for property owned /maintained by the Council. Awareness of responsibilities. Regular inspections of property – all Cllrs report observations. Liaison with Safer Neighbourhood Group and PCSOs. Use of on-line reporting to District and County Councils. Current legislation and advice held by Clerk.