

CODDINGTON PARISH COUNCIL

RISK MANAGEMENT

Reviewed May 2023

1. LEGAL REQUIREMENTS AND STATUTORY DUTIES

RISKS	MEASURES TO MINIMISE RISKS	
Actions by the Parish Council which fall outside its powers as laid down by Parliament.	<ul style="list-style-type: none"> • All Cllrs have access to the relative Acts or an effective summary. • The Clerk has knowledge of and access to detailed legislation, receives updates through NALC membership and keeps Members informed of changes to legislation. • Regular references made to appropriate Acts in the agenda and minutes. 	
Lack of knowledge or commitment to regulations, procedures and codes. Inappropriate representation by Cllrs.	<ul style="list-style-type: none"> • Standing orders are reviewed annually . • All Cllrs have copies of Standing Orders and the Code of Conduct. • Training and mentoring is provided for new Cllrs. • Access to publications e.g. 'The Good Councillors' Guide' . 	
Lack of transparency and accountability.	<ul style="list-style-type: none"> • Agenda for meetings are published on notice boards and on the web site, inviting the public and press. • Minutes of meetings are on the web site. • Opportunities for public contributions at all PC meetings. • Internal audit report and accounts on the web site and newsletter. • Public meetings and consultation on major issues. • Open forum at the Annual Parish Meeting. • Register of Members' interests published. 	
Ineffective representation of the Parish.	<ul style="list-style-type: none"> • Good lines of communication with District and County Cllrs. • Established contacts at District and County Councils. • Participation in area consultations, and 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. 	
Breach of data protection rules.	<ul style="list-style-type: none"> • The Clerk has attended NALC training on GDPR. • Legislation and information is passed on through NALC. • The Council has in place a Data Protection Policy, Subject Access Procedure, Data Breach Policy and Records Retention Policy. • The Parish Council and all Councillors have 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. • A Data Audit Map and privacy notices have been drawn up. 	

2. FINANCIAL CONTROLS

RISKS	MEASURES TO MINIMISE RISKS	
Financial mismanagement / fraud.	<ul style="list-style-type: none"> • Reconciliation of accounts and bank statements at every meeting. • Approved finance regulations in place and regularly reviewed. • Compliance with recommendations of independent auditor. • Two signatories for every transaction. • All expenditure listed for approval and fully minuted. • Bank statements regularly monitored by delegated Member. 	
Inadequate accounting records.	<ul style="list-style-type: none"> • 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.	<ul style="list-style-type: none"> • Back up by a member of the PC with previous experience of parish finance and access to on-line banking. • Comprehensive up to date records of income and expenditure and adequate filing systems maintained. • Chmn and Vice Chmn have access to electronically stored files. 	
Inappropriate use of council funds; lack of best value.	<ul style="list-style-type: none"> • All Cllrs participate in financial planning and regular budget reviews. • Public consultations on major spending plans. • Contracts regularly reviewed; alternative suppliers investigated. • Quotations for work and goods obtained in accordance with the financial regulations. 	
Sources of income not fully accessed.	<ul style="list-style-type: none"> • RFO has adequate knowledge of VAT, grants and other sources of income. • Procedures in place for pursuing debtors. 	

3. SAFEGUARDING PEOPLE AND PROPERTY.

RISKS	MEASURES TO MINIMISE RISKS	
Inadequate insurance cover.	<ul style="list-style-type: none"> • Annual review of risk assessment and insurance requirements. • Insurance policy covers public liability, employer’s liability, Members in line of duty, volunteers, damage to buildings and property. 	
Misappropriation of assets / inaccurate valuations.	<ul style="list-style-type: none"> • Asset register reviewed and approved by the 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.	<ul style="list-style-type: none"> • 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.	<ul style="list-style-type: none"> • All Cllrs made aware of appropriate Govt. legislation on equality. • Cover against libel/slander included in insurance. • Statements/responses on behalf of the Council agreed in advance by full Council or delegation, or at least in consultation with the Chairman. 	
Public health and safety.	<ul style="list-style-type: none"> • 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. • Annual village ‘walkabout’ by delegated Members. 	
Employees’ safety.	<ul style="list-style-type: none"> • The Clerk works from home and is responsible for personal health and safety, and the suitability of the working environment. Contact with the emergency services is available at all times. • The Handyman works in daylight hours only, wearing hi-vis jacket and protective clothing supplied by the Council. • Staff activities are reviewed annually and full details supplied to the Insurers. • At times of health emergencies, Cllrs who may be contagious will inform the Clerk. 	