

FARRINGTON GURNEY PARISH COUNCIL

Risk Management Scheme

Issue and Risk Identified	Risk Rating	Those at Risk	Current Controls	Possible Further Action
FINANCE				
Financial Prudence and Probity - Potential damage to Council reputation	High	Parish Council/ Employees/ Parishioners	<p>Monthly budget monitoring statements reporting year to date spend.</p> <p>Regular scrutiny of financial records by the appointed internal auditor.</p> <p>Proper arrangements for the approval of expenditure.</p> <p>Comply with VAT regulations. VAT payments and claims calculated by Clerk and internal auditor to provide double check.</p> <p>Internal Audit Assurance.</p> <p>These controls are supported in more detail in the Financial Regulations of the Parish Council.</p>	
Financial Loss/ Fraudulent Activity	High	Parish Council/ Parishioners	<p>Monthly Councillor audit to check invoices against appropriate cheque stubs. Two Councillors to sign each cheque.</p> <p>Invoices to be checked before signing cheques and cheque stubs and invoices to be initialled.</p> <p>Council to ratify and authorise all payments at ordinary meetings.</p> <p>All financial obligations to be resolved and documented in the minutes before any commitment unless emergency spend by the Clerk in conjunction with the Chairman as set out in Financial Regulations.</p> <p>Direct debits / Standing Orders only approved on the bank account on instruction of the full Council.</p> <p>Internal Auditor to check VAT entries on invoices against VAT to be claimed from Custom & Excise and amount recorded in the cashbook.</p> <p>Monthly bank reconciliations should be undertaken as soon as practicable following receipt of bank statements in order to maintain effective control.</p> <p>Back-up of all financial information held. (Realtime cloud based – OneDrive).</p> <p>All cash/cheques to be banked as soon as possible.</p> <p>Allotment rent reminder to offer payment by BACS.</p>	Parish Council may need to consider additional storage requirements.
Propriety of Parish Councillors	Med	Parish Council Reputation	Members must tell the Monitoring Officer at BANES Council in writing within 28 days of taking office, or within 28 days of any change to the member's register of interests.	Include as an agenda item at the Annual Meeting of the Parish Council.

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			<p>A councillor shall withdraw from a meeting when it is considering a matter in which they have a disclosable pecuniary interest.</p> <p>If a member has a non-pecuniary interest he shall declare such interest as soon as it becomes apparent, the member may speak on the matter and not vote.</p> <p>Remind Councillors at each meeting of the need to consider each agenda item and decide whether to declare an interest.</p> <p>Remind Councillors that they need to review their Register of Interests at least annually.</p> <p>To provide details of receiving any gift or hospitality on the Register of Interests in line with the code of conduct.</p> <p>Cllrs may request a dispensation and must complete a dispensation request form – approval of such is considered by the full Parish Council in line with Standing Orders.</p>	
Adequacy of Precept	Med	Parish Council/ Parishioners	<p>Ensure adequacy of annual precept through sound budgetary arrangements. Monthly budget updates reporting year to date spend with detailed budgets agreed by the full council annually.</p> <p>Draft budget prepared in November/December and approved no later than January.</p> <p>Precept derived from budget exercise and to be considered at the December PC agenda and approved no later than January.</p>	
Insurance – Adequate for PC Risks including assets	Med	Parish Council/ Parishioners	<p>Annual Review of the Council's insurance requirements to ensure it is at an appropriate level for all liabilities/assets.</p> <p>Annual review of asset register.</p> <p>Regular checks made on play equipment.</p> <p>Asset register to be kept up to date and revised after any asset is purchased or disposed of. Insurance to be updated after any additional asset purchase.</p>	Annual review to take place at the May meeting.
Financial Regulations	Med	Parish Council/ Parishioners	Annually Review of the adequacy of the Regulations at the Annual Meeting of the Parish Council.	
Reserves	Med	Parish Council/ Parishioners	Ensure that an adequate level of reserves are maintained through the budget setting process.	

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ASSETS				
Protection of the Council's physical assets	Low	Parish Council/ Parishioners	This includes: <ul style="list-style-type: none"> • Playground equipment • Laptop • Noticeboards Street furniture insured. Office equipment insured. <ul style="list-style-type: none"> • Street lighting maintained by Parish Council. 	Keep adequacy of insurance cover under review annually.
Maintenance of buildings	Low	Parish Council/ Parishioners	The Parish Council own no physical building. The Memorial Hall is owned by The Duchy of Cornwall and leased to the Hall Cttee via the Parish Council.	
Memorial Hall				
Allotment site	None	Parish Council/ Parishioners	The Parish lease the allotments from The Duchy of Cornwall.	Seek advice from the Allotment Society Committee.
LIABILITY				
Legal liability as consequence of asset ownership	Low	Parish Council/ Parishioners	Play equipment, gates, fencing and surfaces are insured. Regular checks of play equipment/BMX site are carried out in accordance with Playground Risk Management Policy. Annual independent checks made on condition/safety of all play equipment by specialists. Maintenance tasks identified are carried out. Member volunteers appointed to conduct and document checks of BMX track and playground to meet insurance requirements. Additional Risk Assessment for Covid-19 has been undertaken. Advisory signage installed.	Review government guidance regularly – Covid-19.
Playground and BMX track including risks to users				
Risks to third parties from Council assets	Low	Parish Council/ Parishioners	Public liability insurance in place. Action taken on ad hoc basis to repair/ replace assets as required. Public Footpaths are walked and maintained regularly. Trees investigated when damage reported.	Implement annual inspection of telephone box, parish noticeboards, bus shelter. Risk assessment before public events.

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			Risk assessments of individual events / activities carried out as necessary including any volunteering work.	
Use of Volunteers	Med	Parish Council/Members of the council	Public liability provided by Parish Council to cover activities by volunteers. Any work undertaken by volunteers must be adequately risk assessed. A register of volunteers must be taken and retained by the Parish Council. A briefing must be given before any volunteer work is undertaken to detail the scope of the activity and any risks identified. Insurance company to be informed of any volunteer activity. Appropriate PPE will be arranged as appropriate.	Ensure all members are aware that a Risk Assessment must be carried out before any volunteer activity and an appropriate leader is identified during a briefing. Leader to obtain a list of volunteers as a record.
EMPLOYER LIABILITY				
Employer liability/ Compliance with employment law	Med	Parish Council/ Parishioners	Insurance in place. Membership of ALCA/NALC. Clerk is member of SLCC.	
Safety of Staff	Med	Parish Council/ Parishioners	Clerk works from home and has a designated office space with locked filing cabinet.	
LEGAL LIABILITY				
Legality of the Council's actions	Low	Parish Council/ Parishioners	Clerk clarifies legal position on new proposal. Legal advice to be sought where necessary. Clerk is CiLCA qualified. Membership of ALCA/SLCC Professional advice when required. Appropriate training for Clerk/members.	Progress towards Foundation Award.
Proper and timely reporting via the minutes	Low	Parish Council	Council meets on a monthly basis and approves minutes of the previous meeting. Minutes are published in draft form and made available on the Parish Council website soon after the meeting. A precis of the minutes are also published in the Chew Valley Gazette. The Parish Council provide regular updates in the Parish Magazine – the Gurney Journal.	
Proper document control	Med	Parish Council	Leases / legal documents in the Clerk's possession and held in a secure cabinet.	Key documents, deeds etc to be copied and originals stored securely.

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			Other data storage to comply with the Data Protection Act and General Data Protection Regulations. The Clerk is the Data Protection Officer.	Complete general Data Protection Regulation Policy to include privacy statements. Put compliance with Freedom of Information Act on the agenda at the May meeting. Work through additional list of policies required.
OTHER				
Contracts – compliance with law/ensuring value for money	Med	Parish Council/ Parishioners	Standing Orders and Financial Regulations in place and reviewed annually at the Annual Meeting of the Parish Council.	The Parish Council to adopt a separate Procurement Policy for contracts and tenders.
Use of contractor's various injuries, etc.	Med	Parish Council/ Parishioners & Contractors	Contractor to have public liability insurance cover of £5 million. All contractors asked for Health and Safety Policy. Evidence of registration and licence is obtained. Contractors asked to produce risk assessments for the associated work activities. Work of all contractors is monitored by a nominated councillor.	
Use of contractors Incomplete / unsatisfactory workmanship	Med	Parish Council	Evidence of registration and licence is obtained. Work of all contractors is monitored by a nominated councillor.	