

**WELFORD-ON-AVON PARISH COUNCIL****RISK ASSESSMENT AND MANAGEMENT CONTROLS - MARCH 2020**

Area	Risk	Level	Control <i>(and agreed improvements, if required)</i>
<b>Assets</b>	Protection of physical assets	M	Asset register compiled July 2010 Insurance value increased annually by RPI. Assets checked regularly by councillor with responsibility for village maintenance. Repairs carried out when required.
	Maintenance of playground equipment	M	Inspection by WPC contractors in Spring and Autumn. Councillor with responsibility for playground regularly completes visual inspection.
<b>Finance</b>	Banking	M	Accounts only to be held with a high street bank/institution covered by the Financial Services Compensation Scheme (FSCS). If total funds with any one bank account exceed the FSCS limits (currently £85,000) then funds should be split and held with different banks/institutions. Statements received monthly and Online banking enabled. Accessible only by the Clerk, Chair and Councillor responsible for Finance & Controls. Bank reconciliation prepared monthly by Clerk / RFO.
	Financial controls and records	M	Quarterly management accounts prepared by the Clerk / RFO and checked by the councillor holding the Finance & Controls portfolio and reported to the monthly Council meeting. Quarterly management account, trial balance and bank reconciliation will be presented to Council by RFO. A monthly 'payments sheet' signed off and dated by two Councillors gives authority to the Clerk to pay items via internet banking. Independent auditor instructed by the Parish Council to conduct internal review and independent external audit undertaken annually AGAR.
	Comply with HMRC Regulations	L	Use help line when necessary. VAT claim made by Clerk. Councillor with Finance portfolio and independent external auditor to provide double check.
	Sound budgeting to underlie annual precept	M	Parish Council prepares detailed budgets in the early spring. Precept derived directly from this.
<b>Liability</b>	Risk to third party, property or individuals	M	Insurance in place. Parish land checked regularly by councillor(s) with responsibility for Cress Hill and Synder Meadow. Trees investigated when damage reported and inspected by Tree Warden when required. Maypole inspected by professionals on 5 yearly basis – next due [2020].
	Legal liability as consequence of asset ownership	M	Insurance in place. Written records of playground inspections to be kept by Clerk.
<b>Employer Liability</b>	Comply with Employment Law & Pensions regulations	M	Membership of WALC. Advice sought when needed.
	Comply with HMRC requirements	M	Advice taken from HMRC when necessary. Internal and external auditor carry out annual checks.

<b>Legal Liability</b>	Ensuring activities are within legal powers	H	Clerk clarifies legal position on any new proposal. Legal advice to be sought where necessary.
	Proper and timely reporting via the Minutes	M	Council meets twice a month and receives and approves Minutes of previous meeting. Actions reviewed monthly. Minutes made available to public on Parish notice board and on website.
	Proper document & data controls including GDPR	M	Legal documents kept at Parish Council's Solicitors. Other data & document storage complies with Data Protection Act & GDPR regulations.
<b>Councillor propriety</b>	Registers of Interests.	H	Register of interests completed and lodged with SDC as required.
	Councillor Conduct	H	All councillors will comply with the Welford on Avon Parish Council Code of Members Conduct.
	Planning meetings	H	Councillors applying for planning permission for themselves or a close relative within the Parish will excuse themselves from the meeting during the time the application is being considered. Any councillor with outstanding enforcement / planning non compliances will not participate in planning meetings or discussions on planning matters.
<b>Continuity of Parish Council</b>	Inability to recruit new councillors	M	Promote through village societies, organisations, school, churches and website. Website updated to encourage interest. Chair to hold a log of interested people (only if they have agreed in advance to be kept informed if a vacancy arises).
<b>General</b>	Councillor responsibilities	H	A Councillor responsibilities and active Issues document is maintained by the Chair.
	Councillor Contact names and addresses	H	A contacts list will be prepared by the Clerk and circulated to all Councillors. This document is not for public circulation.
	Overdevelopment of village	M	Neighbourhood Plan to be reviewed regularly and updated every 5 years to ensure it is current. Chair to maintain register of amendments.
	Website maintenance	L	Website maintained by webmaster and overviewed by Councillor with Website portfolio. Information updated as necessary.

### Sign off and Review:

**Annual Risk Assessment & Management Controls document approved by Welford-on-Avon Parish Council at its meeting on 3<sup>rd</sup> March 2020.**

**Document to be reviewed March 2021.**