

WAVENDON PARISH COUNCIL - RISK ASSESSMENT

Aim	Risk	Method used to Minimise Risk	Person(s) Responsible	Actions Required / Taken
1. To ensure compliance with the Acts of Parliament, Council's financial regulations and code of conduct.	1. Lack of knowledge of regulations and codes.	Ensure that all Councillors have copies of Code of Conduct and Standing Orders. Highlight essential parts and provide training where possible.	Chairman Clerk	All Documentation is available to view on the website via the following link. www.wavendonparishcouncil.co.uk
	2. Absence of standing orders	Ensure that Standing Orders are produced, understood by councillors, and reviewed at least once per year.	Chairman Clerk	The latest version of S/O's were reviewed and adopted at meeting held on the 18/09/23.
	3. Items purchased without proper tendering procedures, resulting in accusations of commercial favouritism.	Ensure that all councillors are aware of financial regulations re estimates and full tender procedures.	Chairman All councillors Clerk	Revised Template issued by NALC. Clerk to update F/R's for WPC.
	4 Payments made without prior approval and adequate control.	Introduce practice of estimates for all purchases over an agreed figure.	Clerk	Revised Template issued by NALC. Clerk to update F/R's for WPC.
	5. Lack of control of signatories to cheques.	Ensure all payments are approved in Council meetings and recorded in minutes. Keep cash payments to a minimum and avoid if possible.	Clerk	Revised Template issued by NALC. Clerk to update F/R's for WPC.
2. To identify and regularly review the Council's priorities.	1. Lack of knowledge of how to set objectives, set priorities, and identify risks to their achievement.	All councillors to be made aware of need for objectives and identification of risk. Attend training sessions if practicable.	Chairman Clerk)))))
	2. Lack of commitment by council members	Add risk assessment to agenda at least quarterly, reviewing particular items, and results against those items.	Chairman Clerk)))))
	3. No risk analysis carried out.	As at 1 above. Ensure that completion of the risk assessment is given high priority, as a requirement of the Audit Commission.	Chairman Clerk)))))
	4. No steps taken to combat identified risks	As at 2 above.	Chairman Clerk)))))

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3. To influence other council departments and Government organisations to fulfil the requirements of the Parish population.	1. Lack of effective lines of communication with other organisations.	Note all communication lines which are essential or beneficial and make information available to all councillors Establish contacts by name and where possible face-to-face.	Chairman Clerk	MKCC are contacted as required for guidance and support.
	2. Lack of effective lines of communication with parishioners.	Take every opportunity to publicise role of Parish Council. Create Parish newsletter if none exists. Effective use of Notice Boards and "fliers". Use key issues to raise profile of PC and to test parishioner's views. Add social event to occasional meeting. Create Annual PC plan and put to parishioners for comment.	Chairman	A Parish Newsletter is published 4 times per year.
	3. Lack of preparation on subjects requiring influence.	Ensure that all councillors are aware of need for careful research and are guided as to where to obtain relevant information on issues under discussion.	Chairman Vice-Chairman Clerk	This is provided by the Chairman / Vice-Chairman / Clerk.
	4. Lack of confidence by Parish Councillors.	As at 1 above. Experienced councillors to assist newcomers to establish essential contacts. Delegate responsibility for specific contacts to individual councillors	All Councillors	This has been adopted and is currently working.
4. To ensure that all councillors are aware of their responsibilities, and possible liabilities, and to provide adequate insurance cover for all possible risks.	1. Lack of knowledge of possible culpability of councillors.	Creation of standing orders and familiarisation with those where greatest risk occurs.	Clerk All Councillors	S/O's were reviewed and adopted at meeting held on the 18/09/23.
	2. Lack of education of Councillors regarding culpability.	As at 1 above. Delegate responsibility to one or two councillors to assist newcomers to understand culpability. Attend any training courses available.	Chairman / Clerk	This is provided by the Chairman / Vice-Chairman / Clerk.
	3. Inadequate insurance cover taken out – property, personal liability, employer's liability.	Review risk assessment by including on agenda of PC meetings at least quarterly. Delegate responsibility for keeping up to date with insurance requirements to an individual councillor.	Clerk	Clerk to ensure that this is covered as an agenda item when necessary.

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5. To keep appropriate books of account accurately and up to date throughout the financial year.	1. Lack of knowledge of accounting requirements	Ensure that all councillors are familiar with current financial regulations and include them in standing orders. Regularly review standing orders.	Chairman / Clerk	S/O's & FR's are available to view on the Parish Council Website. www.wavendonparishcouncil.co.uk
	2. Lack of commitment to accounting requirements.	Appoint the RFO to take overall responsibility for financial management. As at 1 above. RFO to produce financial reports at all meetings. Internal audit reports to be made available to all councillors and any recommendations to be acted upon promptly.	Clerk	Clerk has been appointed as RFO. Financial reports are reviewed at every Parish Council meeting. Internal Audit reports are reviewed annually as part of the Annual Return.
	3. Bank charges unnecessarily incurred	RFO to carry out regular inspection of books of account. Internal audit to be undertaken periodically during the current financial year.	Clerk / Chairman	These are formally reviewed at least three times per year at selected Parish Council Meetings. <u>See Budget Review documents.</u>
	4. Inaccuracies in recording amounts totals in books of account, and bank reconciliations.	RFO to ensure that books of account are formatted in such a way that internal controls are included and activated. Regular internal audits to advise on internal controls required.	Clerk / Chairman	These are formally reviewed at least three times per year at selected Parish Council Meetings. <u>See Budget Review documents.</u>
	5. Inaccuracies and interest losses caused by account transfers.	Keep number of accounts to a minimum but ensure that any large credit balances are deposited in an interest-bearing account.	Clerk	We have two accounts, and these are reviewed monthly.
	6. The most beneficial interest terms not being employed.	Ensure that favourable interest rate is obtained in deposit accounts and review against alternatives but bearing in mind the risks in changing accounts.	Clerk	We have two accounts, and these are reviewed monthly.
	7. Inadequate control of cash receipts and payments.	Avoid cash payments and receipts if possible. Where cash payments and receipts are unavoidable use a properly controlled petty cash account with a set maximum balance.	Clerk	N/A.
	8. Books of account not kept up to date/ invoices not posted promptly.	Regular checks by RFO and internal auditor. Financial reports at all PC meetings.	Clerk	Books are checked monthly by the Clerk.

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	5. VAT claims not made promptly or made incorrectly.	Ensure Clerk has appropriate and up-to-date VAT official publications. Regular checks by the RFO or, if the Clerk is the RFO, by a Councillor designated for the purpose'. Internal audit checks.	Clerk / Chairman	VAT claim to be submitted yearly or every six months if necessary.
9. To ensure that salaries paid to employees and amounts paid to contractors are paid in accordance with council regulations, and adequately monitored.	1. Inappropriate rate of pay to employees.	Ensure employee regulations are available and understood by Clerk Regular checks by the RFO or, if the Clerk is the RFO, by a Councillor designated for the purpose'. Internal audit checks	Chairman Vice-Chairman Clerk	Salaries to be paid in accordance with National published Salary Scales.
	2. Tax and NI arrangements not in accordance with regulations.	As at 1 above.	Clerk	Clerk to ensure that all rules are followed. Clerk has run a PAYE System from 01/04/11.
	3. Amounts paid to contractors not in accordance with contract and inadequately monitored.	Internal audit checks Regular checks by the RFO or, if the Clerk is the RFO, by a Councillor designated for the purpose'. Appoint councillor to monitor contract work carried out.	Clerk	This is reviewed monthly at Parish Council meetings.
10. To ensure that year end accounts are prepared on the correct accounting basis, on time, and supported by an adequate audit trail.	1. Lack of knowledge of Council regulations and procedures. 2. Late or non- submission of annual accounts. 3. Year end accounts not prepared, inaccurate, or not in accordance with Council requirements. 4. Inadequate audit trail from records to final accounts.	Include financial regulations in Standing Orders. Attend training seminars where available. Include a timetable in Standing Orders. RFO to monitor progress against timetable and report to PC meetings. Regular checks by the RFO or, if the Clerk is the RFO, by a Councillor designated for the purpose'. Internal audit checks As at 3 above.))))) Chairman Clerk)))))))))) Year end accounts are prepared by the Clerk and are reviewed at the April or May meetings. These are subject to an annual internal audit and are signed off at the June meeting and submitted as part of the Annual Return.)))

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<p>11. To identify, value, and maintain all the assets of the Parish Council, and ensure that asset and investment registers are complete, accurate and properly maintained.</p>	<p>1. Lack of knowledge of assets of Parish Council.</p> <p>2. Assets lost or misappropriated</p> <p>3. Inadequate or inaccurate valuation of the council's assets.</p> <p>4. Asset register not established or inadequately maintained.</p>	<p>Ascertain and record all assets for which Parish council is responsible. Create permanent asset register.</p> <p>Establish who is responsible for security and maintenance of each asset. Appoint councillor responsible for regular monitoring of location and use of assets.</p> <p>Arrange for periodic review of valuations and arrange for professional valuation where necessary. Internal audit checks.</p> <p>Create asset register in accordance with Audit Commission requirements.</p>	<p>Clerk</p> <p>Clerk</p> <p>Clerk</p> <p>Clerk</p>	<p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>Reviewed annually as part of the Internal Audit and Annual Return submission.</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p> <p>)</p>
<p>12. To comply with appropriate Government legislation regarding disability, racial equality, safeguarding children etc.</p>	<p>1. Lack of knowledge of applicable legislation</p> <p>2. Lack of public awareness of applicable legislation.</p> <p>3. Failure to comply with applicable legislation.</p>	<p>Clerk to have all appropriate legislation available. Review liabilities and responsibilities periodically at PC meetings.</p> <p>Include, as appropriate, in any public consultations.</p> <p>As at 1 above</p>	<p>Clerk</p> <p>Clerk</p> <p>Clerk</p>	<p>)</p> <p>)</p> <p>Clerk to ensure that he/she are up to date with current legislation and include as agenda items, when required.</p> <p>)</p> <p>)</p> <p>)</p>
<p>13. To carry out adequate safety checks on all buildings, properties, and equipment for which the council is responsible.</p>	<p>1. Lack of information on properties, buildings and equipment.</p> <p>2. Lack of knowledge of safety requirements.</p>	<p>Ensure that all current legislation and advice is held by Clerk. Include in asset register all properties for which PC responsible.</p> <p>Ensure that all current legislation and advice is held by Clerk. Place subject as item on PC meeting agenda at regular intervals.</p>	<p>Clerk</p> <p>Clerk</p>	<p>)</p> <p>The main asset are our Community Centres, and any issues are covered at the regularly held meetings of the Community Centre Executive Committee. Also, an update is provided as an agenda item at each Parish Council meeting.</p> <p><u>Following the annual asbestos inspection, the report has highlighted that there is a</u></p>

	3. Lack of commitment to carrying out safety checks.	As at 2 above. Delegate responsibility for particular properties to individual councillors.	Clerk	<u>requirement to have some removal. The Parish Council have worked with our contractor to develop an Asbestos Management Plan, and the Clerk and Caretaker attended an online training course on the 10 April 2024. There is not an immediate risk to have the asbestos removed and we have put a padlock on the loft access which has been completed. Budget removal expenditure of £7.875 in 2025/2026.</u>)
	4. Complete a review of all trees that are under the control of the Parish Council	Ensure that a safety check is conducted at least once a year.	Clerk	<u>Problem with an overhanging tree on the recreation ground and order placed to resolve this problem. Completion date to be advised.</u> <u>St Marys Green - No problems identified as of October 2024.</u>
	5. Complete a review of Bus Shelters under the ownership of the Parish Council.	Ensure that these are checked at least on a six-monthly basis.	Clerk	Newport Road – This bus shelter has been removed by MKCC. <u>A replacement bus shelter will be installed by MKCC –date TBA.</u> Walton Road – <u>Loose roof tile requires investigation.</u>
	6. Ensure that MKC carry out safety checks on the Play Equipment on the Recreation Ground.	These are inspected every six weeks by MKC, and any problems highlighted by them to the Clerk.	Clerk	<u>No problems identified as of October 2024.</u>
	7. Undertake regular safety checks to the 2 Notice Boards.	Ensure that these are checked at least on a six-monthly basis.	Clerk	<u>No problems identified as of October 2024.</u>

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	8. Complete a review of the benches under the ownership of the Parish Council.	Ensure that these are checked on a six-monthly basis.	Clerk	<u>Several benches require replacing. Budget expenditure in 2025/2026.</u> <u>Others require staining.</u>
	9. Undertake regular checks to the boundary fences on the Recreation Ground.	Ensure that these are checked on a six-monthly basis.	Clerk	<u>No problems identified as of October 2024.</u>
	10. Community Centre Car Parks.	Ensure that these are checked monthly.	Clerk	<u>No problems identified as of October 2024</u>
	11. Community Centre Paths	Ensure that these are checked monthly.	Clerk	<u>The Path at the new Community Hub from Stockwell Lane is very dangerous and slippery when temperatures are low. Order placed to install better drainage. Anticipated completion date – November 2024.</u>
	12. Defibrillators	To be checked on a regular basis.	Clerk / Parish Councillor	<p>The one installed outside the Walton Road Community Centre is checked every month. The battery requires changing every 4 years – <u>next date is December 2025.</u></p> <p>The pads require changing every two years – <u>Next date is July 2025.</u></p> <p>New Community Hub. The battery requires changing every 4 years – <u>next date is September 2026.</u></p> <p>The pads require changing every two years – <u>Next date is June 2026.</u></p>

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	13. Community Centre – Electrical Checks	To be checked every 5 years.	Clerk	<p><u>Former part of the Walton Road Community Centre – Completed September 2024. Some problems have been highlighted and order placed on our electrical contractor. Date for completion -TBA</u></p> <p>Former school due May 2025.</p> <p>New Community Hub due June 2027.</p>
	14. Pavements.	To be checked on a regular basis.	Clerk	<p>Walton Road Pavement - <u>Clerk has chased MKCC several times for an update, waiting for a response.</u></p>
	15. Rugby Post (Recreation Ground)	To be checked on a regular basis.	Clerk	<p><u>Problem identified that may require the post to be removed. Clerk looking into how to action this issue.</u></p>
	16. Highway Signs	To be checked on a regular basis.	Clerk	<p>School sign on Walton Road requires a repair or removal. <u>Clerk has reported this issue again to MKCC on the 10 January 2024 under reference FS57911705 and has chased for a completion date several times.</u></p>
	17. New development areas – Glebe Farm & Eagle Farm	To be checked on a regular basis.	Clerk	<p>Check if there are any issues that require reporting / investigation.</p>