

Bathampton Parish Council

<http://bathamptonparishcouncil.org.uk>

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Risk register and assessment

Reviewed and assessed (date): 20th April 2023 (Minute 2023/045).

Date of next Review: April 2024.

Introduction

The risk register details all identified risks, the controls in place to minimise such risks and the risk scores in view of severity and the likelihood of them happening.

Likelihood

Remote: Little or no likelihood.

Unlikely: Some likelihood.

Likely: Significant likelihood.

Very likely: Near Certainty.

Severity

Major: Total service failure, high financial losses, possible national media criticism, local media interest or possible fatalities/severe injuries.

Serious: Short-term total service failure or prolonged partial failure, possible local media interest, possible financial losses or injuries.

Significant: Short-term partial failure, no media interest, limited financial losses or disruption to service provision.

Minor: An annoyance that does not disrupt service provision or has only a localised impact contained within the council/service affected. No media or public knowledge of incident.

Severity	Minor	Significant	Serious	Major
	1	2	3	4
Likelihood				
1 Remote	LOW (1)	LOW (2)	LOW (3)	LOW (4)
2 Unlikely	LOW (2)	LOW (4)	MEDIUM (6)	MEDIUM (8)
3 Likely	LOW (3)	MEDIUM (6)	MEDIUM (9)	HIGH (12)
4 V. likely	LOW (4)	MEDIUM (8)	HIGH (12)	HIGH (16)

Area	Risk	Controls	Risk level
Physical Assets	Protection of physical assets	<p>The Village Hall is leased to a Management Committee on a full repairing lease. They are responsible for the general operation of the hall, insurance, security and maintenance.</p> <p>The Garage store is covered under Insurance policy.</p>	Low - 2
	Consequential loss	Insurance policy covers damage to and loss of play area equipment.	Low - 3
Finance	Banking	<p>All transactions are approved by the Council and subsequently confirmed as completed.</p> <p>The Council's money is invested in a high street bank and covered by the FCS. The usual total holding is less than three year's income from the precept.</p>	Low - 3
	Loss of cash through theft or dishonesty.	<p>All payments are made by cheque or electronic banking and counter-authorised by at least one approved signatory after approval at a council meeting or as part of an ongoing contract.</p> <p>Allotment rents are only paid by Cheque and Electronic transfer. Financial Regulations have been altered so that Clerk does not hold more than £100.</p>	Low - 1
	Loss of revenue	Not a significant risk	-
	Financial controls and records	<p>A monthly reconciliation is prepared by the Clerk and presented to the Council at each meeting along with a detailed financial report.</p> <p>The accounts operate with a complex mandate; a minimum of two authorisations are required for any transaction.</p> <p>The financial regulations are reviewed regularly and additionally when any changes in procedure policy or practice are made.</p> <p>Estimates and tenders are obtained and processed in line with the council's financial regulations.</p> <p>The Clerk ensures expenditure is within council's legal powers.</p> <p>Internal and external auditors provide external checks.</p>	Low - 1

Bathampton Parish Council

	Compliance with HMRC and other statutory regulations and requirements.	<p>VAT is recorded separately by the Clerk & reclaimed annually.</p> <p>PAYE is calculated and managed through the HMRC Basic Pay Tools software.</p> <p>The Clerk ensures compliance with requirements for return of accounts for audit and other financial and governance returns.</p> <p>Internal and external auditors provide external checks.</p>	Low - 3
	Sound budgeting underlies the setting of the annual precept.	<p>The Policy & Finance Group put budget proposals to the Council in January following input from individual groups. The precept is derived directly from this.</p> <p>Expenditure against budget is reported to the Council at each monthly meeting with an explanation of variances.</p>	Low - 1
Liability	Risk to third party, employees, property, or individuals.	<p>Insurance in place.</p> <p>The Playground is inspected weekly and quarterly. Unsafe equipment is taken out of service until it's repaired or replaced.</p>	Low - 4
Management of trees	Tree Failure risk that leads to the injury of people or damage to property.	<p>The Parish Council is responsible for trees in the hedgerow of the allotments and the playing fields.</p> <p>An inspection and report have been completed for the playing field trees. This identifies any trees in need of management, or which may need attention in the future. Depending upon the nature of any management needed, this will be completed by the handyman, Cotswold wardens or a qualified tree surgeon.</p> <p>The Parish Councillor responsible for the allotments and Clerk make a visual check of the site annually and will respond to any concerns expressed by tenants. Where any of the hedgerow or trees give cause for concern, a professional contractor is used to manage any work.</p>	Low - 2

Bathampton Parish Council

		The Handyman additionally inspects the trees on Parish Council owned land (the Playing fields) on a weekly basis.		
Footpaths	Risk to Footpath Volunteers, equipment and the footpaths.	Injury of a volunteer	Details of sessions are distributed to a predefined list of volunteers. New volunteers are given an induction when they start, and further support is available upon request. All volunteers are required to wear gloves when sharpening the scythe blade.	Med - 6
		Injury to a member of the public	Volunteers put down their tools when anyone else walks past them. There is not sufficient throughput, to justify closing the footpath, for the duration of the session.	Med - 6
		Unintended damage to footpath vegetation	The footpath network is fixed so volunteers are aware of the paths that landowners wish to be left for them to manage.	Low - 2
		Theft of equipment	Scythes are kept at Dry Arch Growers who have their own insurance.	Low - 3
		Insufficient volunteers	The Parish Council receives a grant and could choose to use it to pay contractors to do the work. Additionally, the Cotswold Wardens are amenable to clearing footpaths.	Low - 2
Legal liability	Ensuring that activities are within legal powers.	<p>The Clerk clarifies the position on any new proposal seeking professional advice from e.g., ALCA and the SLCC as required.</p> <p>The Clerk is required to obtain the appropriate qualifications e.g. ILCA and the Certificate in Local Council Administration.</p> <p>Legal advice is sought where necessary.</p>		Low - 2

Bathampton Parish Council

Proper and timely reporting.	<p>The Council meets monthly (except during August).</p> <p>The agenda for each meeting is posted on the notice board and the website a minimum of three clear days before each meeting.</p> <p>Each meeting receives and approves the minutes of the previous meeting.</p> <p>The agendas and unapproved minutes are made available to the public via the website. Large print versions can be provided.</p>	Low - 2
Document security.	<p>Leases and legal documents are kept by the Clerk.¹ Key documents, e.g., the cashbook and minutes can be reconstituted.</p> <p>Electronic documents are saved onto a password protected computer and are backed up to the Cloud.</p> <p>The final versions of electronically produced documents are stored in PDF or similar format. Key documents, e.g., the minutes and parts of the cashbook are also stored in hard copy.</p> <p>The office containing the computer and documents is locked and protected under Neos Smartcam technology.</p>	Low – 4
Council propriety	<p>Register of Interests & Gifts, etc in place, posted to the website and copied to B&NES or other authorities as required.</p> <p>New councillors are issued with copies of the Code of Conduct, Financial Regulations, and Standing Orders.</p> <p>New councillors are required to complete and submit a Register of Interests etc.</p> <p>All councilors are encouraged to undertake relevant training.</p> <p>The Clerk is required to obtain the appropriate qualifications e.g. ILCA and the Certificate in Local Council Administration.</p>	Low – 3

Bathampton Parish Council

	<p>The Council complies with relevant legislation and good practice guidance, e.g., GDPR, freedom of Information, etc.</p> <p>The Council works as a team and are enabled to challenge each other appropriately.</p> <p>Council decisions are taken in meetings which are open to the public and press.</p>	
Transparency and accessibility	<p>The Council endeavours to ensure compliance with relevant legislation and good practice guidance, e.g., the Web Content Accessibility Guidelines.</p> <p>The Council seeks professional advice on accessibility issues as required, e.g., when revising its website, considering its use of social media etc.</p> <p>Large print versions of council documents, e.g., agendas, can be provided.</p> <p>Council decisions are taken in meetings which are open to the public and press.</p> <p>The Council communicates with the community using multiple formats and consults with the community on significant issues, e.g., proposed major developments which may impact on the locality.</p>	Low - 4
Loss of key personnel.	<p>The Clerk seeks advice from e.g., ALCA, the SLCC and the local authority in extreme situations, e.g., all the council resign <i>en masse</i> or sufficient numbers resign to leave the council inquorate.</p> <p>Should the chair be unavailable or resign the council has a vice-chair and other councilors have undertaken the appropriate training.</p> <p>Advertise vacancies ASAP. Job descriptions for the Clerk and the Handyman are available.</p> <p>Locum Clerks can be employed through the SLCC Local Council Consultancy Locum Service. See https://www.slcc.co.uk/content/locums/739/</p>	Med-6