

Bathampton Parish Council

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Risk register and assessment

Reviewed and approved: 19th March 2026 (Minute 2026/038).

Date of next Review: April 2026.

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(s) identified	Risk Level (High, Medium, Low)	Management / Control of Risk
Assets	Risk of injury to public	L	Visually Inspect assets regularly. Engage experts to conduct surveys and assessments. The Parish Council have Public Liability insurance up to £12,000,000
Assets	Risk of theft, vandalism & damage.	L/M	Visually Inspect assets regularly. Update Asset Register regularly. The garage is insured against property damage / theft. The Village Hall is leased to a Management Committee on a 'full repairing lease.' They are responsible for general operation, insurance, security, and maintenance.
Business Continuity	Risk of Council being unable to function due to unexpected or tragic circumstances.	L	The Parish Council have Insurance against Business Interruption. 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.
Councillors	Risk of Councillor resignation(s) resulting in Council becoming inquorate and therefore unable to make legal decision.	L/M	Cultivate a council environment that encourages and promotes the retention of effective Councillors. Advertise vacancies on social media platforms, public notice boards, newsletter and through relevant third-party networks. Proactively encourage candidates to stand for election. Engage in targeted outreach to promote Councillor participation. Implement a timely co-option process upon a vacancy arising. Establish a council culture that values teamwork and where Councillors can challenge each other respectfully. Should the chair be unavailable or resigned, the council has a vice chair, and other councilors who have suitable experience.
Councillors	Risk of Councillor(s) acting illegally.	L	Provide new Councillors with 'The Good Councillor Guide.' Encourage Councillors to participate in relevant training opportunities. Direct new Councillors to NALC briefing notes, SLCC Advice Notes and other resources for updates on key changes.

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			New Councillors are required to complete and submit a Register of Interests & Gifts which will be published on the council's website and shared with BANES and other relevant authorities.
Councillors	Risk of Councillor(s) breaching code of Conduct.	L	Provide Councillors with a copy of the Code of Conduct, Financial Regulations, and Standing Orders on joining. Make the Code of Conduct available on the council's website. Regularly remind Councillors to adhere to the Code of Conduct. Consult with the NALC for help if required. Conduct all council decisions in meetings that are open to the public and press attendance.
Employees	Risk of loss of key personnel.	L	Ensure the Clerk's notice period is reasonable. Request a detailed handover, if possible. Contact the NALC and SLCC Locum service to arrange interim cover if needed. Advertise vacancies as soon as possible. Ensure Job descriptions for the Clerk and Handyman are kept up to date.
Employees	Risk of fraud or loss of funds.	L	Review financial processes and procedures regularly. Conduct annual internal and external audits of financial records and transactions. Conduct thorough background checks on employees with financial responsibilities.
Employees	Risk of compensation claim from employees for malpractice or injury.	L	Issue Contract of Employment. Review job description and conduct annual appraisals. Provide appropriate Health & Safety Policy. The Parish Council Insure against Employer's Liability up to £10 million.
Financial (Precept & Budget)	Inadequate Budget / Precept.	L	To determine the precept, the Clerk reviews current and projected year-end accounts, considering all necessary income and expenditure for the next financial year. The Clerk prepares budget proposals with input from the Policy & Finance Group and individual Councillors. A draft budget is presented to the full Council in December for discussion, input, and precept amount agreement. The public is notified via the meeting Agenda and invited to the subsequent Council meeting, where the Precept amount is finalised. The Clerk then submits the Precept form to BANES. Monthly budget reports are presented to the Council with an explanation of any variances. The Clerk/RFO regularly monitors the bank account between April-October to verify precept payments from BANES and notifies BANES if this has not been received.

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	Precept not paid by Local Authority BANES.	L	
Financial (Bank records and Banking)	Risk of Banking & Financial errors	L	<p>The Clerk prepares a monthly reconciliation and presents it to the Council at each meeting along with a detailed Financial Report outlining income and expenditure. Invoices and bank statements are provided for review.</p> <p>All income and expenditure items are cross-referenced against bank statements. A designated Councillor conducts quarterly bank reconciliations, and records are verified.</p> <p>The Council approves all income and expenditure at Parish Council meetings, with decisions recorded in the minutes.</p>
	Risk of loss through theft or dishonesty.	L	<p>All cheques require two Councillor signatures and initialed stubs. Blank cheques are never authorized. Erroneous cheques are immediately cancelled, and a line drawn through them, and the cancellations details (cheque information and reason) are documented.</p> <p>The Council maintains a Fidelity Guarantee of £250,000.</p>
Financial (Electronic Payments – BACS)	<p>Incorrect electronic payment or amount being made.</p> <p>No monitor on actual electronic entry.</p> <p>Payments made without Council approval.</p>	L	<p>BACS payments require prior Council approval. In exceptional cases requiring payment outside of scheduled meetings, approval must be obtained from the Chair in writing e.g., email, with ratification at the next full Council meeting.</p> <p>The Clerk will print and attach BACS transfer confirmations to corresponding invoices for audit purposes.</p> <p>After the Clerk initiates BACS payments, a Councillor must authorise them, verifying accuracy and payments amounts.</p> <p>The Councils financial regulations are reviewed regularly and whenever procedural, policy or good practice changes occur.</p>
Financial (investments)	Loss of funds	L	<p>All payments are made via Cheque or electronic banking and require counter-authorisation by at least one approved Councillor signatory. Authorisation follows either approval at a Parish Council meeting or is part of an on-going contract.</p> <p>The Clerk will hold no more than £100 in cash.</p> <p>Council funds are invested in Charity Bank and protected by the Financial Services Compensation Scheme (FCS) up to £85,000.</p>

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Financial (Account Records)	Inadequate Records	L	<p>The Clerk/RFO maintains a cashbook detailing all income and expenditure. All documentation related to monthly income and expenditure is stored electronically and in physical files at their home.</p> <p>These files are reviewed quarterly by the Councillor responsible for bank reconciliations. Annually, they are assessed by the Council's appointed Internal Auditor before submission for external audit.</p> <p>Estimates and tenders are obtained and processed in accordance with the Council's Financial Regulations.</p>
Financial (Best Value)	Charges made to the Parish Council are too high.	L	<p>All estimates and quotations are subject to Council agreement and approval, with decisions recorded in the minutes.</p> <p>The Clerk/RFO ensures expenditure is within the Council's legal powers.</p> <p>The Parish Council annually appoints an Internal auditor to review and authorise all financial records. The Clerk ensures compliance with audit return requirements and other financial and governance returns.</p>
Financial Reporting	Risk of insufficient Information	L	<p>Income, expenditure, and bank account balances are presented at each Parish Council meeting.</p> <p>Monthly, the Clerk/RFO circulates a financial report to the Council detailing income, and expenditure against budget. All income and expenditure is recorded in the cashbook against the appropriate department/area. Hard copies of each are maintained with minute reference noted.</p> <p>The Clerk/RFO ensures timely annual VAT returns and records them in the cashbook.</p> <p>All accounts are available for public inspection.</p>
Financial (Audits)	Annual Audit is not completed within the set deadline. Annual Audit is not advertised	L	<p>The Clerk/RFO prepares the year-end accounts and Annual Return for the internal Auditor's review. Following the return of the accounts and the implementation of any recommended actions, the Council approves them at its May meeting. All audit papers and the Annual Return are then submitted to the External Auditor.</p> <p>The Clerk ensures the annual audit notice is displayed on the Council noticeboard and website for the required public viewing period.</p>
Financial (salaries)	Salary and expenses paid incorrectly.	L	<p>The Council employs a Part Time Clerk and Handyman.</p> <p>The Clerk presents their monthly wages, expenses, and pension contributions at the Parish Council meeting, with details included in the Financial Report. The Full Council approves these figures before payment, and the approval is recorded in the minutes.</p>

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	Incorrect NI, Tax deductions and pension contributions.	L	To ensure accurate salary, tax and National Insurance payments/contributions, payroll is calculated and managed using HMRC Basic Pay Tool Software. Payroll documentation is presented at each Parish Council meeting for review before payment.
Financial (Freedom of Information)	Non-compliance with the Freedom of Information, Model Publication Scheme	L	<p>The Parish Council publishes Information and documentation on its website, in compliance with the Model Publication Scheme.</p> <p>Freedom of Information (FOI) requests are processed according to the Model Publication Scheme.</p> <p>Freedom of Information (FOI) requests are processed in accordance with the council's FOI procedures and statutory requirements.</p> <p>Establish clear procedures for handling FOI requests and provide training to relevant staff and Councillors.</p> <p>The Clerk and Chair have attended FOI training to support compliance and appropriate handling of requests.</p> <p>Councillors use official council email addresses for Parish Council business.</p> <p>Council emails and records are retained in accordance with the Parish Council's Record Retention Policy.</p> <p>The Clerk manages FOI requests and provides guidance to Councillors where required.</p>
Council Hardcopy Records	Risk of loss of hardcopy records due to fire, theft, or damage.	L	<p>Key documents such as minutes are also stored electronically.</p> <p>Leases and legal documents are securely held by the Clerk, with electronic copies made where feasible. Minutes and the Cashbook can be reconstituted if necessary.</p>
Council Electronic Records	Risk of loss of electronic records due to fire, theft, or damage.	L	<p>Electronic documents are stored in SharePoint with appropriate access controls and authentication measures and are backed up through Microsoft 365 cloud services.</p> <p>Anti-Virus software is installed and kept up to date.</p> <p>Links and attachments in unsolicited emails are not opened without verifying the sender's authenticity.</p> <p>Final versions of electronic documents are also stored in PDF or a similar format.</p> <p>Minutes and portions of the Cashbook are additionally stored in hard copy.</p>

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			The office containing the documents is secured.
Health & Safety (Management of Playground & Recreational Field)	Risk to members, employees, contractors, and members of the public.	M	<p>A qualified third-party company inspects the Playground quarterly to assess equipment operation, stability, and wear. The Council reviews Inspection reports and takes necessary remedial action. Unsafe equipment is removed from use, and appropriate notices are put up.</p> <p>Repairs beyond the Handyman’s scope are performed by leading playground suppliers.</p> <p>All Operational reports are retained for future reference.</p> <p>The Handyman conducts inspections at least twice weekly to identify obvious defects and remove hazards such as broken bottles and litter.</p> <p>All hazards are reported to the Clerk for action and record-keeping.</p> <p>An annual budget is allocated for ongoing grounds maintenance and inspections.</p> <p>The Parish Council records all accidents, complaints and inquiries relating to the play areas and facilities within them.</p> <p>The Insurance Policy covers damage to and loss of play area equipment.</p>
Health & Safety (Management of Parish Council trees/hedgerows in the allotments and on the Recreational Field)	Risk to members, employees, contractors, and members of the public.	L	<p>A tree inspection and report have been completed for the playing field, identifying trees requiring management or future attention. Necessary work will be conducted by the handyman, Cotswold wardens or a qualified tree surgeon, depending on the nature of the required management.</p> <p>The Handyman performs monthly tree inspections on Parish Council-owned land (the Playing fields) or following a severe weather event.</p> <p>Professional contractors are appointed for specialized tree management work.</p>
Health & Safety (Management of Parish Council allotments)	Risk to members, employees, contractors, and members of the public.	L	<p>The Parish Council is responsible for trees and the hedgerow of the allotments.</p> <p>The Handyman undertakes monthly inspections of the trees and hedgerows at the allotments as well as inspections following a severe weather event.</p> <p>The Parish Councillor responsible for the allotments along with the Clerk, conduct an annual visual Health & Safety site inspection and responds to any concerns raised by tenants.</p> <p>All reported issues at the allotments are dealt with in a timely manner.</p> <p>A professional contractor is engaged to manage any work relating to the hedgerows or trees that give rise to concern.</p>

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<p>Health & Safety (Management of Parish Council Footpaths)</p>	<p>Risk to members, employees, contractors, members of the public and third-party property.</p>	<p align="center">L</p>	<p>Volunteers cease work when pedestrians pass. Due to low footfall, footpath closure during sessions is not justified.</p> <p>Volunteers are aware of designated paths for management, as the network is fixed, leaving landowners to manage their own sections as requested.</p> <p>The Parish Council receives a grant and can hire contractors if volunteer numbers are insufficient. The Cotswold Wardens are also available for footpath clearance.</p>
<p>Health & Safety (Management of Parish Council Volunteers)</p>	<p>Risk to members, employees, contractors, members of the public and third-party property.</p>	<p align="center">L/M</p>	<p>Session details are distributed to a predefined list of volunteers. New volunteers receive an induction upon joining and further support is available as needed.</p> <p>Gloves are mandatory when sharpening scythe blades. Suitable clothing and protective footwear are required when operating equipment.</p> <p>All equipment undergoes regular maintenance.</p> <p>Volunteers pause work when pedestrians pass. Footpath closure is unnecessary due to low traffic.</p> <p>The Council is insured for personal accidents covering volunteers.</p>
<p>Data Protection</p>	<p>Non-compliance with Data Protection Legislation Unauthorised access or loss of personal data</p>	<p align="center">L</p>	<p>Bathampton Parish Council is registered with ICO, the UK Data Protection Agency, and governed by their rules.</p> <p>GDPR Policy in place, including privacy notices and guidance for handling personal data.</p> <p>IT Policy adopted, covering secure password use, restricted access, device security, and safe storage of data.</p> <p>Official council email addresses used for all council business; personal emails are not used.</p> <p>Council data is backed up securely to the cloud.</p> <p>The Clerk is responsible for data protection compliance and provides guidance to councillors as required.</p> <p>Staff and councillors receive appropriate training on data protection and GDPR compliance.</p> <p>Regular review of policies, procedures, and data handling practices to ensure ongoing compliance.</p>

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Legislation	The Council conduct activities outside of their legal powers.	L	<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>
Transparency & Accessibility	Reputational, legal, operational and Financial Risk arising from inadequate transparency and Accessibility.	L	<p>Minutes and agendas are published promptly on the council’s website.</p> <p>The Council ensures compliance with relevant legislation and best practice guidance, e.g., the Web Content Accessibility Guidelines, Equality Act, FOI Act.</p> <p>Conduct all council decision making in meetings open to the public and press and clearly communicate decisions through various channels.</p> <p>Communication with the public through a multi-channel approach, including floss of data, social media, notice boards, newsletters to reach diverse audiences.</p> <p>Information to be provided in accessible formats e.g., large print upon request and proactively considers accessibility needs in all communications.</p> <p>Conduct public consultations on significant decisions and actively seek feedback from residents.</p> <p>Ensure contact information for the Clerk and Councillors is readily available on the website, newsletters, and noticeboards.</p> <p>Provide regular training to Councillors and staff on transparency and accessibility best practices.</p>
Meeting Location	Personal security at meetings	L	<p>Meetings are held in the Village Hall (a public space) and never at a private individual’s residence.</p> <p>At the end of meetings, ensure multiple Council members are present to secure and lock the building.</p>