

## Claydon with Clattercote Parish Council – Risk Assessment as at 19th March 2024

Objective 1 – to conduct its affairs in an open and transparent manner in compliance with District Council regulations				
Risk Description	Risk Impact	Existing Controls	Assessment	Actions
<ul style="list-style-type: none"> <li>● Fail to establish and run a properly constituted and informed Parish Council</li> <li>● Fail to run the Parish Council in line with Government legislation</li> <li>● Fail to maintain awareness of changing District Council regulations</li> </ul>	<ul style="list-style-type: none"> <li>● Parish Council ineligible to do business</li> <li>● Increased scrutiny by the District Council</li> <li>● Parish Council not in tune with the needs of the parish</li> <li>● Parishioners complain about the use of funds</li> </ul>	<ul style="list-style-type: none"> <li>● Parish Council members (chairman and councillors) elected in accordance with regulations</li> <li>● Suitably qualified clerk in post, employed by the Parish Council, with clearly specified responsibilities</li> <li>● Clerk maintains a calendar of activities and publishes same as required</li> <li>● Clerk ensures an appropriate number of meetings are held</li> <li>● Clerk produces an agenda for and minutes of all meetings</li> <li>● Relevant training courses are brought to the attention of the Parish Council and members are encouraged to attend</li> <li>● Notices are regularly placed on Parish notice boards</li> <li>● Parishioners are encouraged to attend meetings and contribute ideas</li> <li>● Parish website under development to ensure transparency of processes and availability of documents for public scrutiny</li> </ul>	Moderate risk due to Clerk vacancy	<p>Process underway for recruitment. Chair currently responsible for processes during vacancy - to be voted on March 2024 meeting</p> <p>Website uploading to be completed by May meeting.</p>

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Objective 2 – to conduct its financial affairs diligently and professionally				
Risk Description	Risk Impact	Existing Controls	Assessment	Actions
<ul style="list-style-type: none"> <li>● Fail to safeguard Parish Council funds</li> <li>● Fail to maintain adequate financial records</li> <li>● RFO is named on bank mandate so that he is able to do transfers and reinvest bonds</li> </ul>	<ul style="list-style-type: none"> <li>● Parish council funds are misappropriated</li> <li>● Increased scrutiny by District Council or external audit</li> <li>● Bad publicity in local press</li> <li>● Parish Council Members/RFO may be dismissed from office</li> <li>● Parish Council members not re-elected</li> <li>● Parish Council sued for negligence</li> </ul>	<ul style="list-style-type: none"> <li>● Suitably qualified RFO in post, currently one of the Councilors, with clearly specified responsibilities</li> <li>● Sound system of financial control in place with close control over receipts and payments</li> <li>● Transactions processed through bank, with reconciliations produced and monitored by the Parish Council</li> <li>● Cheques require two signatories, therefore RFO is unable to pay cheques even though he is on mandate.</li> <li>● Financial accounts and procedures are audited by internal auditor on annual basis.</li> <li>● Bank balances are checked at each meeting to ensure they are correct</li> </ul>	Low risk no action required	
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Objective 3 – to set an appropriate precept				
Risk Description	Risk Impact	Existing Controls	Assessment	Actions
<ul style="list-style-type: none"> <li>● Precept results in an excessive and unreasonable surplus</li> <li>● Precept fails to reflect the needs of the parish</li> <li>● Key areas of routine spend are not competitively tendered on a regular basis</li> <li>● Key areas of project spend are not managed in a visible manner against a set budget</li> <li>● Further asset acquisition may prove too costly to maintain and not be adequately used</li> <li>●</li> </ul>	<ul style="list-style-type: none"> <li>● Parishioners question the appropriateness of the precept</li> <li>● Parishioners question whether value for money is being achieved</li> <li>● Parishioners question the level or use of grants</li> <li>● Parish Council members may be dismissed from office or not re-elected</li> <li>● Parishioners not using newly acquired items and therefore items not proving to be cost effective</li> <li>● Parishioners questioning the need for toilets/kitchen facility</li> <li>● Parish Council struggling with maintenance demands of assets</li> </ul>	<ul style="list-style-type: none"> <li>● The council sets precept on basis of revenue requirements and capital projects planned, with prior year comparisons made</li> <li>● Precept discussed in open meetings with views invited</li> <li>● Precept endorsed by the Parish Council</li> <li>● District Council review and acceptance</li> <li>● New spends are competitively tendered, as are routine maintenance e.g. mowing, where possible</li> <li>● Plans to fully project manage any new acquisitions</li> <li>● Plans in place to apply for HS2 funding</li> <li>● Running costs to be fully researched so public can be fully briefed before decisions are taken regarding any further asset investment on the Playing Field area</li> </ul>	<p>Low risk no action required</p> <p>Low risk, process underway</p>	<p>For evaluation prior to consultation, Spring 2024</p>

Objective 4 – to manage its responsibilities in a cost effective manner in compliance with District Council regulations

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Risk Description	Risk Impact	Existing Controls	Assessment	Actions
<ul style="list-style-type: none"> <li>● Fail to adequately maintain Parish Council property including:                             <ul style="list-style-type: none"> <li>- playing field, equipment</li> <li>- bus shelter</li> <li>- street furniture</li> <li>- Village green wall</li> </ul> </li> <li>● Fail to identify and report potential problems with trees</li> <li>● Fail to regularly review and update the risk management process</li> </ul>	<ul style="list-style-type: none"> <li>● Danger/injury to users/public</li> <li>● Insurance claims raised against the Parish Council</li> <li>● Potential litigation</li> <li>● Potential medical costs</li> <li>● Bad publicity in local press</li> <li>● District Council may dismiss the Parish Council</li> <li>● Risk process may become outdated and not fit for purpose leaving the council open to litigation should any risk become an actuality.</li> </ul>	<ul style="list-style-type: none"> <li>● Property damage/public liability insurance in place</li> <li>● Notices near property asking users/public to report problems</li> <li>● All assets are maintained in a database with details of inspection frequency, results of inspections and date of next inspection</li> <li>● Database is discussed at each meeting and any inspections due are allocated to individuals</li> <li>● Playing field and equipment are inspected by councillors on a documented rota.</li> <li>● A sinking fund has been set up to allow for replacing assets when necessary</li> <li>● The risk process is reviewed annually at the March meeting and updated as necessary.</li> </ul>	<p>Moderate risk</p>	<p style="color: red;">New Asset Register to be developed - not yet agreed as to next steps</p> <p style="color: red;">Maintenance date and process for playground equipment to be agreed at the March meeting.</p> <p style="color: red;">Tree survey to be approved March meeting</p> <p style="color: red;">Village green wall in need of repair - to be agreed at March meeting</p>
<ul style="list-style-type: none"> <li>● Fail to process planning applications in a timely manner in accordance with District Council guidelines</li> </ul>	<ul style="list-style-type: none"> <li>● Planning applicants or objectors sue for negligence</li> </ul>	<ul style="list-style-type: none"> <li>● Planning applications are discussed at regular meetings when possible. If necessary, special meetings are called, with appropriate notice being given.</li> </ul>	<p>Moderate risk,</p>	<p style="color: red;">consider upskilling existing council member as planning lead.</p>
<ul style="list-style-type: none"> <li>● Fail to report road and footpath problems to District Council in a timely manner</li> </ul>	<ul style="list-style-type: none"> <li>● District Council may dismiss the Parish Council</li> </ul>	<ul style="list-style-type: none"> <li>● Parishioners are encouraged to report problems either directly to the district council or to a parish councillor. Any problems reported to parish councillors are immediately reported to the district council via the parish clerk or a member of the parish council</li> </ul>	<p>Low risk, no action required</p>	

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<ul style="list-style-type: none"> <li>Failure to maintain stone wall on village green leading to high repair costs</li> </ul>	<ul style="list-style-type: none"> <li>Risk in patency of the wall</li> <li>risk to public if stones become unstable/unsafe</li> <li>high repair costs beyond PC budgeting</li> </ul>	<ul style="list-style-type: none"> <li>Wall undergoes annual inspection by Parish Councillors</li> <li>Ivy to be added to maintenance task list</li> <li>Budget fin place to allow for repair</li> </ul>	Low	Repair estimates for approval at March 24 meeting
<ul style="list-style-type: none"> <li>Risk of harm due to poor safety measures at Claydon Level Crossing</li> </ul>	<ul style="list-style-type: none"> <li>Risk of harm to persons crossing the railway</li> </ul>	<ul style="list-style-type: none"> <li>Parishoners are encouraged to report problems either directly to Railtrack or to report concerns via Parish Council</li> <li>Parish Council to have person of contact at Railtrack</li> </ul>	Moderate	To invite Railtrack representative to May PC meeting

### Objective 4, continued – to manage its responsibilities in a cost effective manner in compliance with District Council regulations

Risk Description	Risk Impact	Existing Controls	Assessment	Actions
<ul style="list-style-type: none"> <li>Fail to keep footpaths in good order/open</li> </ul>	<ul style="list-style-type: none"> <li>Complaints from parishioners and the public</li> </ul>	<ul style="list-style-type: none"> <li>Parishioners are encouraged to report problems either directly to the district council or to a parish councillor. Any problems reported to parish councillors are immediately reported to the district council via the parish clerk or parish council</li> <li>Blue brick path to undergo annual maintenance as part of existing grass-cutting schedule</li> </ul>	Low risk, no action required	
<ul style="list-style-type: none"> <li>Fail to maintain road safety for parishoners</li> </ul>	<ul style="list-style-type: none"> <li>Risk of harm to pedestrians from traffic</li> </ul>	<ul style="list-style-type: none"> <li>Application in for reducing speed limit to 20mph in the village</li> </ul>	Moderate	

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		<ul style="list-style-type: none"><li>• Request has been submitted to Highways regarding moving of existing 30mph signage.</li><li>• PC considering investment to extend Blue Brick path and to add pavement area close to playing field</li></ul>		
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