

To: All Members of Compton Parish Council
All Councillors are hereby summoned to attend the following meeting.
Please inform the Clerk if you are unable to attend.

NOTICE OF MEETING

MEETING: Full Council
DATE & TIME: Monday 28th March 2022 at 8.00pm
PLACE: Online via Zoom - Meeting ID: 884 7929 4773, Passcode: 216633, [Meeting Link](#)

S. Marshman

Dr S. Marshman, PSLCC, Clerk to the Council

22nd March 2022

Agenda

1. To receive, and consider for acceptance, apologies for absence from Members of the Council
2. To receive any [declarations of Disclosable Pecuniary Interests, Other Registerable Interests or Non-Registerable Interests and to consider any requests for dispensation](#)
3. To receive:
 - 3.1 Questions or comments from members of the public regarding items on the agenda
 - 3.2 Representations from any member who has declared a personal interest
4. To approve the [Minutes of the Full Council Meeting held on 7th March 2022](#)
5. To discuss any matters arising from the previous meeting
6. To consider adopting the Risk Register for 2021/22

Date and time of next scheduled meeting:

Annual Meeting of the Parish Council: Monday 4th April 2022 at 7pm

Supporting Documentation

2. To receive any declarations of Disclosable Pecuniary Interests, Other Registerable Interests or Non-Registerable Interests and to consider any requests for dispensation

Members are invited to declare Disclosable Pecuniary Interests, Other Registerable Interests and Non-Registerable Interests in items on the agenda as required by the Compton Parish Council [Code of Conduct](#) for Members, as adopted on 5th July 2021, Minute 21/22-087, and by the [Localism Act 2011 Chapter 7](#).

Please use the flow chart below to ascertain the type of interest you have and what action you are required to take.

DPI = Disclosable Pecuniary Interest

ORI = Other Registerable Interest

NRI = Non-Registerable Interest

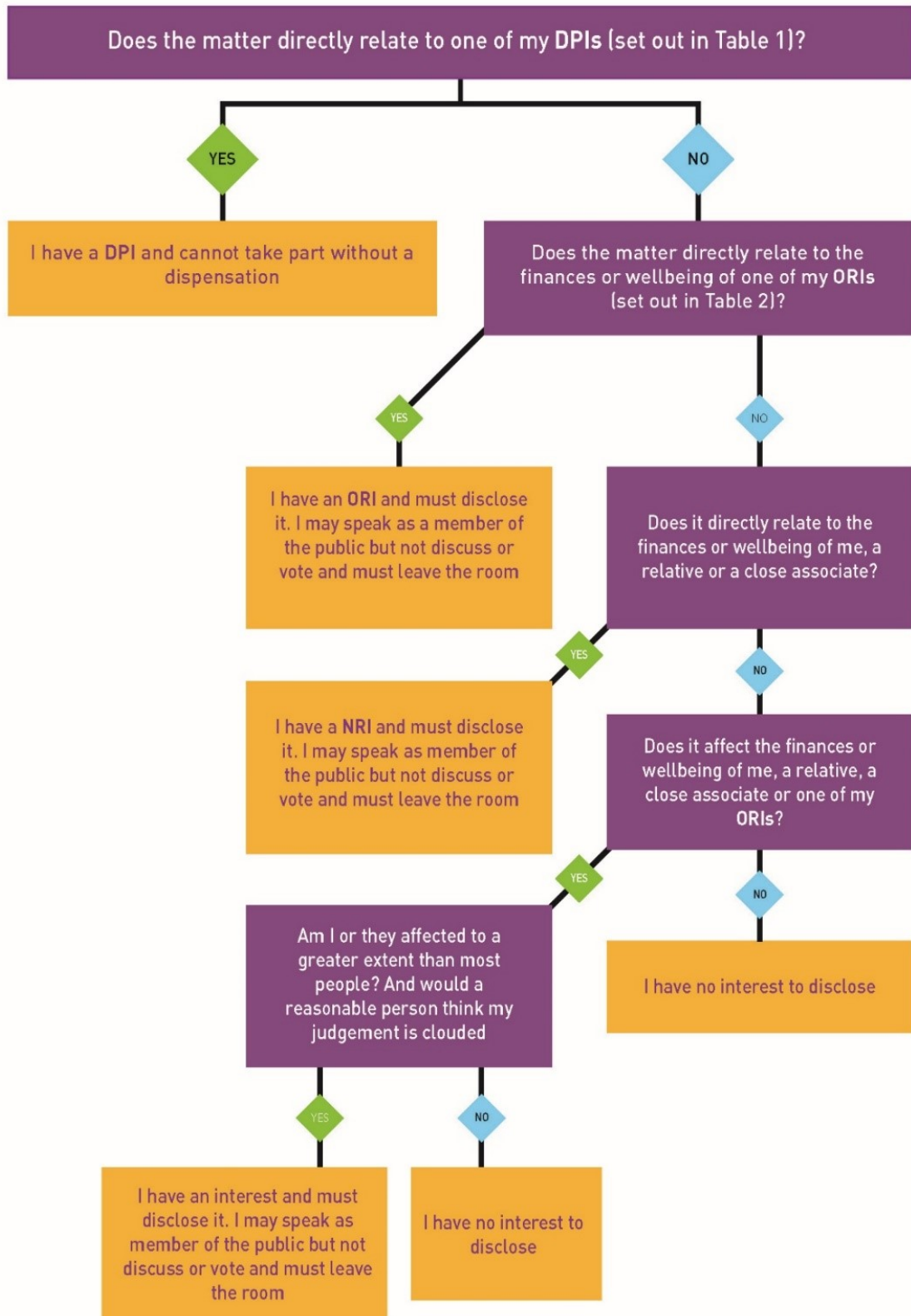


Table 1: Disclosable Pecuniary Interests

Subject	Description
Employment, office, trade, profession or vocation	Any employment, office, trade, profession or vocation carried on for profit or gain.
Sponsorship	<p>Any payment or provision of any other financial benefit (other than from the council) made to the councillor during the previous 12-month period for expenses incurred by him/her in carrying out his/her duties as a councillor, or towards his/her election expenses.</p> <p>This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992.</p>
Contracts	<p>Any contract made between the councillor or his/her spouse or civil partner or the person with whom the councillor is living as if they were spouses/civil partners (or a firm in which such person is a partner, or an incorporated body of which such person is a director* or a body that such person has a beneficial interest in the securities of*) and the council —</p> <p>(a) under which goods or services are to be provided or works are to be executed; and</p> <p>(b) which has not been fully discharged.</p>
Land and* property	<p>Any beneficial interest in land which is within the area of the council. 'Land' excludes an easement, servitude, interest or right in or over land which does not give the councillor or his/her spouse or civil partner or the person with whom the councillor is living as if they were spouses/ civil partners (alone or jointly with another) a right to occupy or to receive income.</p>
Licenses	<p>Any licence (alone or jointly with others) to occupy land in the area of the council for a month or longer</p>
Corporate tenancies	<p>Any tenancy where (to the councillor's knowledge)—</p> <p>(a) the landlord is the council; and</p> <p>(b) the tenant is a body that the councillor, or his/her spouse or civil partner or the person with whom the councillor is living as if they were spouses/ civil partners is a partner of or a director* of or has a beneficial interest in the securities* of.</p>
Securities	<p>Any beneficial interest in securities* of a body where—</p> <p>(a) that body (to the councillor's knowledge) has a place of business or land in the area of the council; and</p> <p>(b) either—</p> <p>(i) the total nominal value of the securities* exceeds £25,000 or one hundredth of the total issued share</p>

	<p>capital of that body; or</p> <p>(ii) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which the councillor, or his/ her spouse or civil partner or the person with whom the councillor is living as if they were spouses/civil partners have a beneficial interest exceeds one hundredth of the total issued share capital of that class.</p>
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* 'director' includes a member of the committee of management of an industrial and provident society.

* 'securities' means shares, debentures, debenture stock, loan stock, bonds, units of a collective investment scheme within the meaning of the Financial Services and Markets Act 2000 and other securities of any description, other than money deposited with a building society.

Table 2: Other Registerable Interest

<p>You must register as an Other Registerable Interest :</p> <ul style="list-style-type: none"> a) any unpaid directorships b) any body of which you are a member or are in a position of general control or management and to which you are nominated or appointed by your authority c) any body <ul style="list-style-type: none"> (i) exercising functions of a public nature (ii) directed to charitable purposes or (iii) one of whose principal purposes includes the influence of public opinion or policy (including any political party or trade union) of which you are a member or in a position of general control or management

6. To consider adopting the Risk Register for 2021/22

Risk Assessment and Management 2021/22

Version number	1	Minute reference	
Adopted by	Full Council	Review due	APCM May 2022
Date adopted		Review date	

Introduction to Risk Assessment and Management

The failure to manage risks effectively can be expensive in financial terms and also in terms of service delivery. It is important therefore that Councils have in place a system to help them assess and manage risks. Ultimately risk management is the responsibility of Members because risks threaten a council's ability to achieve its objectives.

Assessment and Management of risk is one of the mandatory areas addressed on Internal Audits. The Risk Assessment system and associated Risk Register will be used by Internal Auditors to assess whether the Council takes seriously its possible exposure to risk and has put in place actions to limit the consequences of potential risks.

For smaller parishes, this system will be relatively simple. It can essentially be broken down into the following 3 main steps:

- Identifying the key risks facing the council
- Evaluating the potential of one of these risks occurring
- Managing the risk: agreeing measures to avoid, reduce or control the risk or its consequence.

Risk Identification

Risks can be divided into a number of categories and the following have been used here:

- Physical assets – buildings, equipment, IT hardware etc.
- Finance – banking, loss of income, petty cash etc.
- Injury to the public and/or staff – in halls, playgrounds and recreation grounds, etc
- Complying with legal requirements – agendas and minutes, records, etc
- Councillor propriety – declarations of interest, gifts and hospitality etc

Risk Evaluation

Risk Evaluation is essentially a 2-part exercise, answering the questions:

- What is the chance of the risk occurring?
- What is the likely impact if it does occur?

In smaller Parish Councils it is only necessary to classify the answers to each of these questions as Low, Medium or High

Risk Management

There are three main ways of managing risks:

- Manage the risk yourself
- Take out insurance to cover the risk
- Agree with another party that they will manage the risk on your behalf; this may include rewarding them for so doing

Risk Register

Identified risks are documented in a Risk Register.

It should be noted that Risk Assessment and Management is not a one-off exercise; risks should be constantly kept under review, especially as the business of the Council changes and new projects are undertaken.

Risk Assessment Matrix

Identified risks are assessed using the following matrix.

Likelihood	Highly Likely (3)	Medium (3)	High (6)	High (9)
	Possible (2)	Low (2)	Medium (4)	High (6)
	Unlikely (1)	Low (1)	Low (2)	Medium (3)
		Negligible (1)	Moderate (2)	Severe (3)
		Impact		

Category 1: Assets

Risk	Likelihood	Impact	Risk Rating	Management Control	Further Action
Damage to – or loss of – fixtures and fittings	M/2	M/2	M/4	The Parish Council insurance policy covers buildings (e.g. football pavilion), office contents, street furniture, playground equipment and the Multi-Use Games Area.	
Loss of data - physical	L/1	L/1	L/1	All important files are held within lockable filing cabinets.	
Loss of data – electronic	M/2	M/2	M/4	Continual backup to cloud storage is made of the Parish Council files.	
Asset Register is out of date	M/2	M/2	M/4	An inventory of all Council assets is maintained by the Clerk, who arranges appropriate insurance cover. The Asset Register is reviewed regularly by Councillors.	

Category 2: Injury to Public, Members and/or Staff

Risk	Likelihood	Impact	Risk Rating	Management Control	Further Action
Injury to third parties, members and staff on Council premises	L/1	H/3	M/3	Insurance has been taken out to cover Public Liability (£10M), Employers Liability (£10M) and Personal Accident. Users of the Recreation Ground are required to take out separate liability insurance for events (e.g. the fete).	
Injury to third parties using equipment in play areas on Compton Recreation Ground	L/1	L/1	L/1	The Parish Council has a maintenance agreement with a local company to carry out an annual ROSPA inspection on play equipment and goalposts. Also, an identified Parish Councillor carries out regular checks and reports monthly.	
Injury to third parties and members because of ice, snow etc. on parish council maintained land	M/2	M/2	M/4	Insurance has been taken out to cover Public Liability (£10M).	

Category 3: Finance

Risk	Likelihood	Impact	Risk Rating	Management Control	Further Action
Precept is not adequate	L/1	M/2	L/2	The Council reviews the draft budget, including the amount of Precept, each December, with a final draft being reviewed in January prior to the submission deadline for the Precept amount.	
Council funds are not properly managed	L/1	M/2	L/2	Income is invested in appropriate accounts by a competent Clerk. This is reviewed regularly by members at the Council meeting.	
Loss of cash through theft or dishonesty	L/1	M/2	L/2	No petty cash is maintained by the Council / Clerk. Any necessary expenditure on small items such as stamps is paid for unapproved on a corporate credit card which has an appropriate limit set and is paid off monthly by direct debit. Insurance cover has been taken out to cover a) loss of non-negotiable money and robbery b) misappropriation of funds by staff or Councillors (Fidelity Guarantee sum insured = £200,000)	
Council Financial Regulations are inadequate	L/1	M/2	L/2	Council financial procedures are well tried and tested. A set of Financial Regulations under which the Council operates was formally adopted by members at the Meeting held on 7 th October 2019, minute 19/20-138.	

Risk	Likelihood	Impact	Risk Rating	Management Control	Further Action
Council financial controls and accounting records are inadequate to prevent financial irregularity	L/1	M/2	L/2	<p>The Clerk maintains Council accounting records using RBS Alpha. Members are provided with regular reports covering bank balances, explanatory notes and management accounts. Payments are made electronically wherever possible. All electronic payments are submitted by the Clerk and authorised by two Councillors. A full list of payments for approval is submitted at each Full Council meeting and all invoices are initialled by two Councillors.</p> <p>All cheques are presented to Full Council for approval and invoices and cheque stubs are signed by two Councillors.</p>	
Audit documentation is not submitted within the required timeframe to the internal and external auditors	L/1	M/2	L/2	The Clerk must ensure the documentation from the External Auditors has been received and follow the given timeframes within the documentation.	

Category 4: Insurance

Risk	Chance	Impact	Risk	Management Control	Further Action
Insurance must be renewed each year	L/1	L/1	L/1	The insurance renewal must be considered at the September meeting each year in time for the 1 st October renewal date.	
Insurance must cover Public Liability (£10M), Employers Liability (£10M), Personal Accident and Fidelity	L/1	L/1	L/1	The Clerk reviews the insurance policy before presenting to the Council. The Council reviews the insurance policy at the Annual Parish Council Meeting.	

Category 5: Councillor Propriety

Risk	Likelihood	Impact	Risk Rating	Management Control	Further Action
Members do not declare their interests, gifts or hospitality	L/1	L/1	L/1	<p>The Clerk maintains a Register of Interest, which all Councillors are required to keep up to date. An agenda item at each meeting gives members the opportunity to declare personal and/or prejudicial interests.</p> <p>Members are requested to review their Register of Interest at the start of each Municipal Year.</p>	

Category 6: Business Continuity

Risk	Likelihood	Impact	Risk Rating	Management Control	Further Action
Loss of Clerk	L/1	M/2	L/2	All electronic files are backed up to the Cloud. The Chairman possesses a sealed envelope containing the relevant passwords in order to be able to access the files should this be required.	

Category 7: Legal Compliance

Risk	Likelihood	Impact	Risk Rating	Management Control	Further Action
Motions adopted by the Council are not legal	L/1	M/2	L/2	The Clerk advises members if she considers a motion may be illegal. A new set of Standing Orders, based on the NALC standard, were adopted on 4 th February 2019, minute 18/19-191. These are reviewed at each Annual Meeting of the Parish Council. They are updated whenever a new model document is released. The latest version of 'Local Council Administration' by Charles Arnold-Baker is used as a reference.	
Committees and officers exceed their terms of reference	L/1	M/2	L/2	Committee Terms of Reference and Delegated Powers are reviewed annually at the Annual Meeting of the Parish Council. The Clerk has a detailed Job Description.	
Minutes and agendas are not produced in a timely manner or made available to the public	L/1	L/1	L/1	Signed agendas for all meetings are produced by the Clerk. The agendas are emailed to members at least 3 clear days before each meeting and are posted on the Council notice board in the Parish on the Tuesday before each Monday meeting. Minutes are produced within 4 weeks of the meeting and are posted on the website and the notice board.	

Risk	Likelihood	Impact	Risk Rating	Management Control	Further Action
Council documents are not controlled properly	L/1	L/1	L/1	All documentation is produced using version control mechanisms. All important documents received are filed in a Correspondence File available to all members. The Clerk's Report is a standing item on each Council agenda when the Clerk reports on actions taken and work done over the past month. Documents are filed in a lockable filing cabinet via a classification index at the home of the Clerk. Some historical documents are filed in lockable cabinets in the Village Hall. Electronic documents are filed using a folder structure.	
Effectiveness of internal audit is not considered.	L/1	M/2	L/2	An annual review of the effectiveness of internal audit must be undertaken and recorded in the minutes at the next meeting after the report has been received. Appropriate steps should be taken to deal with matters raised in reports from the internal auditor through agenda items.	
Formal advice is not sought when required.	L/1	M/2	L/2	Continue with memberships of BALC and SLCC.	
Failure to comply with data protection registration	L/1	M/2	L/2	The Council is registered with the Information Commissioner's Office and the registration fee is paid annually by direct debit.	

Risk	Likelihood	Impact	Risk Rating	Management Control	Further Action
Failure to comply with Freedom of Information request	L/1	M/2	L/2	The Council has a Model Publication scheme in place. The Parish Council and the Clerk are aware that if a substantial request came in it could create a number of additional hours' work. The Clerk is able to claim overtime should this be required.	
Failure to comply with the General Data Protection Regulations	L/1	M/2	L/2	The Clerk has attended GDPR training. The Councillors complete a GDPR checklist to advise them of the requirements they must meet.	