

Lower Beeding Parish Council

RISK ASSESSMENT

Definition of Risk Management

Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled.

Purpose of Document

This document has been produced to enable Lower Beeding Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. The Council is aware that although some risks can never be eliminated fully, it is developing a strategy that provides a structured, systematic and focuses approach to managing risk, which;

- Identifies the key risks facing the council
- Identifies what the risk may be
- Identifies the level of risk
- Evaluates the management and control of the risk and records findings
- Reviews, assesses and revises procedures if required.

Responsibility

Lower Beeding Parish Council is committed to identifying and managing risks using procedures and ensuring that risks are maintained at an acceptable level. Any action that is felt necessary to undertake to reduce risks will be done so by Lower Beeding Parish Council. The Clerk/RFO and nominated Councillors (Finance Committee) will review risks on a regular basis, including any newly identified risks, and report regularly to the Parish Council. The review will include identification of any unacceptable levels of risk. Members are ultimately responsible for risk management because risk threatens the achievements of policy objectives. Members should therefore:

- Take steps to identify key risks facing the Council;
- Evaluate the potential consequences to the Council if an event identified as a risk takes place;
- Decide upon appropriate measures to avoid, reduce or control the risk or its consequences.

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MANAGEMENT				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Business Continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	L/M	All computer files are backed up on a regular basis onto an external hard drive. Paper records are more at risk, consideration should be given to risk of loss. In the event of the clerk being indisposed the Chairman will contact SSALC for advice/support	Review annually
Meeting Location	Adequacy Health and Safety	L	Meetings are held at the Church Room, Plummers Plain. The clerk is made aware of the venues health and safety policy.	Review annually
Council records – paper	Loss through theft, fire, flood or other damage	L	Paper records are stored at the home of the Clerk. The provision is considered as adequate. The Document Retention & Disposal Policy is reviewed annually.	Review annually
Council records – Electronic	Loss through damage, fire, flood, corruption of data	M	Electronic records are stored on the Clerk’s laptop at the Clerks home. Back-ups are regularly made onto external hard drives.	The IT policy is currently under review.
Staff	Fraud	L	Fidelity guarantee in place via insurance. Councillors carry out regular review of bank reconciliation.	Review annually
	Actions carried out	L	Regular reporting of actions completed and outstanding via reports to council/committees. Staff to be adequately trained and review carried out via appraisal process.	Review annually

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FINANCE				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Precept	Adequacy of precept to allow the Council to carry out it's statutory duties	M	Sound budgeting to underlie annual precept. The Council receive budget information quarterly. The budget is set and agreed with the Finance committee during December and is ratified at the January full council meeting. The precept is agreed by the Council in January. The process is baked by the Financial Regulations and reviewed by the internal audit.	Existing procedure adequate
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	There is an annual review of all insurance arrangements.	Existing procedure adequate.
Banking	Inadequate procedures	L	The Clerk informs the Council when monies are received. The financial regulations are comprehensive and set out all the requirements including details of bank reconciliations	Review via Financial Regulations annually.
Cash	Loss via theft or dishonesty	L	No petty cash held.	Existing procedures adequate Review via Financial Regulations annually.
Financial controls and records	Inadequate checks Financial irregularities	L	Two councillor signatories on cheques and invoices. Monthly expenditure is recorded in the minutes. Internal and external audit. Any s137 payments recorded. Financial regulations are in place.	Review via Financial Regulations and internal controls annually.
Salary	Incorrect payment or process	L	Payroll outsourced to DM Payroll Services. The Clerks salary adjustments are approved by the Council	Existing procedure adequate.
VAT	Reclaim not processed	L	Reporting to Finance Committee via financial reports. The Financial Regulations set out the requirements.	Existing procedure adequate.
Annual Return	Not submitted within time limits	L	Council aware of timing process by 30 th June, Annual return completed and signed by the council, submitted to the internal auditor for section completion. Checked and sent on to the external auditor.	Existing procedures adequate

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PROCEDURAL				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Freedom of Information	Non-compliance with Act	L	The Council has a model publication scheme in place. To date there have been no FOI requests. There is a comprehensive procedure in place which is reviewed annually	Annual review of ROI policy
Data Protection	Non-compliance with Act	L M	Lower Beeding Council is registered with the Information Commissioners Office. The clerk attended training in October 2017 and a review of the processes is being carried out to ensure the Council is compliant with the new General Data Protection Regulations (GDPR) Introduce documented procedure	Ensure annual review of registration. Introduce documented procedure for dealing with requests. Ensure processes in place to be compliant by May 2018

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LIABILITY				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Legal Powers	Illegal activity or payments	L	All activities and payments made within the powers of the parish council, resolved and clearly minuted. The Council has the Power of General Competency	Review annually
	Committees and working groups exceeding delegated authority	L	Clear referencing. Standing Orders out guidelines	Adequate procedures in place
Minutes, Agendas and standing documents	Accuracy and legality Non Compliance with Statutory requirements	L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed off at the next meeting. Minutes and agendas are displayed according to legal requirements. Business conducted at the council is managed by the chairman with advice from the clerk Standing Orders & Financial Regulations based on NALC models	Adequate procedures in place
Public liability	Risk to third party property or individuals	M	Insurance is in place, risk assessments to be undertaken	Consider written risk assessments
Employers Liability	Non Compliance with legal requirement	L	Insurance in place.	Adequate procedures in place
Legal Liability	Legality of activities	L	Clerk is CiLCA qualified and has access to advice via SSALC and SLCC membership	Maintain membership of SSALC/NALC and SLCC

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COUNCILLOR PROPRIETY				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Code of Conduct	Non compliance	M	Adopted code 2018.	Review Annually. Councillors to undertake training
Members Interests	Conflict of interest Failure to register interests	M L	Agenda item on every meeting Councillors aware of duty and reminded regularly about requirements. Clerk willing to give informal advice.	Existing procedures adequate Review Annually

EMPLOYEES				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Clerk	Lone Working	L	Lone Working Policy in place.	Policy review bi-annually

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ASSETS				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Asset Register	Assets not recorded	L	An asset register is established and insurance is held at the appropriate level for all items.	Existing procedures adequate
Maintenance of assets	Poor maintenance leads to loss or injury Poor performance of assets or amenities.	L	All assets owned by Lower Beeding Parish Council are regularly reviewed and maintained. All repairs are actioned and authorised in accordance with the correct procedures	Existing procedures adequate
LIST OF INDIVIDUAL ASSETS and REVIEW RESPONSIBILITIES				
Play areas	Loss or Damage Risk/damage to third party(ies)/property	L L	An asset register is kept up to date and insurance is held at the appropriate level for all items. Annual inspection carried out by registered play inspection company. Volunteers being trained to carry out monthly checks.	Existing procedure adequate. Review insurance requirements annually.
Noticeboards	Risk/damage/injury to third parties Road side safety	L L	Lower Beeding Parish Council has 4 notice boards sited around the village. All locations have approval by relevant parties, have insurance cover, and are inspected each time notices are updated. Any repairs/maintenance requirements brought to the attention of the Parish Council.	Existing procedure adequate
Street Furniture	Risk/damage/injury to third parties	L	Lower Beeding Parish Council is responsible for various items (i.e. bins, seats, bus shelters, picnic benches etc) around the village. No formalised programme of inspections is carried out, all reports of damage or faults are reported to Council and/or dealt with.	Existing procedure adequate.
Draft prepared: May 2018				
Approved:				
Review: May 2019				