

Upper Beeding Parish Council

Business 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 Upper 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

Upper 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 Upper 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 at least annually 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 using cloud storage. Access is available via IT support if required. 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. The Cemetery Clerk is also available to act as locum.	Review annually
Meeting Location	Adequacy Health and Safety	L	Meetings are held at Beeding and Bramber Village Hall, Small Dole Village Hall and the Gladys Bevan Hall The clerk is made aware of the venues health and safety policy. During the COVID-19 Pandemic meetings are held using Microsoft Teams.	Review annually
Council records – paper	Loss through theft, fire, flood or other damage	L	Paper records are stored at the parish office. 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. Back-ups are regularly made onto cloud storage. Back-Ups are also made monthly on a hard drive stored at the Clerk's home address.	Review annually

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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
COVID	Not being able to continue with the business of the council.	M	Keep up to date with government guidelines and implement recommendations. Regularly review the scheme of delegation. Be prepared to return to on-line meetings.	Constant review

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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 regularly. 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 backed 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 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	Payments are only made against authorised invoices. Monthly expenditure is recorded in the minutes. All payments are processed using three separate people. One instigator (usually the Clerk) and two authorisers (usually two Councillors). Internal and external audit. Financial regulations are in place.	Review via Financial Regulations and internal controls annually.
Salary	Incorrect payment or process	L	Payroll outsourced to Taylor Cocks payroll services. 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	Councillors are aware of the timing process and relevant legislation. The Annual Return is completed, checked by the internal auditor and signed by the council. Checked and sent on to the external auditor.	Existing procedures adequate

Adopted June 2019

Reviewed February 2021 / November 2021

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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. There is a comprehensive procedure in place which is reviewed annually	Annual review of FOI policy
Data Protection	Non-compliance with Act	L L	Upper Beeding Parish Council is registered with the Information Commissioners Office. The Clerk attended initial training in October 2017 and receives regular updates from SSALC and SLCC. Processes are up to date and the Council is compliant with General Data Protection Regulations (GDPR)	Ensure annual review of registration. Continue regular reviews and updates.

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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 are regularly reviewed. Committee terms of reference and delegated powers are reviewed annually.	
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	Written risk assessments are completed as required.
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 networking and SLCC membership. The Clerk is a Principal member of SLCC. The Clerk has completed and passed Community Governance Level 4 and attends regular training and networking sessions for updates. Members of WSALC / NALC	Maintain appropriate links with local council co-ordinating bodies.

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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 May 2019	Review Annually. New Code adopted June 2021. Councillors to review annually
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 and Cemetery Clerk	Lone Working Clerk lone works in the parish Office. The Cemetery Clerk lone works at home	L	Lone Working Policy and procedures have been drafted.	Lone Worker Policy to be reviewed annually (March 2022)
Maintenance Manager	Working alone around the Parish carrying out maintenance tasks and assessing risks.	M	Risk assessments for manual tasks. Training to be arranged as required.	Work to be monitored by the Clerk inc. review of tasks and expectations. Awareness of Lone Work policy.
Caretaker	Working alone. Locking and unlocking the sports hall. Safety Checks of the building and surrounding areas	M	Risk assessment and supervision by Maintenance Manager	Work to be monitored by the Maintenance Manager. Annual review of risk assessment. Awareness of Lone Work policy.
Litter Wardens (x2)	Working alone around the Parish	M	Risk Assessment and supervision by the Maintenance Manager	Annual review of risk assessment. Awareness of Lone Work policy.

Adopted June 2019

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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. An annual inspection and review of Parish Council assets takes place.	Existing procedures adequate. Risk Assessment to be updated with particular regard to inspections
Maintenance of assets	Poor maintenance leads to loss or injury Poor performance of assets or amenities.	L	All assets owned by Upper Beeding Parish Council are regularly reviewed and maintained. All repairs are actioned and authorised in accordance with the correct procedures	Existing procedures adequate
Financial Assets	Balances above £85,000 not covered by bank deposit protection scheme	M	Have bank accounts with multiple banks . Total deposit at any one bank below £85,000 limit	Additional bank account with new provider opened January 2021.
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. Weekly visual checks are carried out by staff.	Existing procedure adequate. Review insurance requirements annually.
Noticeboards	Risk/damage/injury to third parties Road side safety	L L	Upper 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	Upper 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.

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Trees	Risk/damage/injury to third parties and tree wardens	L	Trees are regularly inspected for disease and/or damage. Tree wardens respond to requests from residents for tree surgery and evaluate planning applications for trees with protection orders.	Risk Assessment for tree warden work to be carried out.
Displays (Remembrance & Christmas)	Risk of damage to display. Injury to third parties.	M	Risk Assessments prior to erection of displays. Regular checks to ensure all remain intact. Prominent position.	Review annually.