

Risk Management and Assessment

Risk management

Risk is the threat that an event 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. It is a key element of the framework of governance.

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

- Identifies the subject
- Identifies what risk there may be
- Identifies the level of risk
- Evaluates the management and control of the risk(s) and records findings
- Reviews, assesses and revises procedures if required.

Assessment of identified risks

The likelihood of each risk occurring is considered and a factor ascribed to it according to the following table:

Likelihood of Occurrence ("LO")	Factor
Very unlikely- rarely	1
Unlikely- perhaps annually 2	2
May happen - perhaps monthly	3
Likely – perhaps weekly 4	4
Very likely- perhaps daily 5	5
Certain or imminent- more than once per day	6

The likely consequence of each risk, should it occur, is also considered and a factor ascribed to it according to the following table:

Likely Severity (“LS”)	Factor
Delay only	1
Minor Injury, Minor damage	2
Lost time Injury, Illness, Damage	3
Major Injury, Disabling illness, major damage	4
Single Death	5
Multiple Deaths	6

For each risk an Overall Risk Assessment Factor (“ORAF”) is then calculated by adding the factors ascribed to it for Likelihood of Occurrence (“LO”) and Likely Severity (“LS”) and dividing by 2. The overall risk assessment factors are rated as follow:

Overall risk assessment factor (“ORAF”)	Rating
1 or 2	Low
3 or 4	Medium
5 or 6	High

The risks identified have been grouped under the following headings:

- Management of Council business
- Finance
- Assets and income
- Liability
- Councillors’ propriety
- Governance & Management

Management of Council business

Subject	Risks identified	LO/LS/ORAF	Management/Control of Risk	Review/Assess/Revise
Business continuity – loss of records	<p>Council unable to continue its business due to loss of documents through fire theft or damage.</p> <p>Corruption of electronic data.</p>	2/4/Medium	<p>All hard copy and electronic documents in one place at Clerk’s residence.</p> <p>Secure room at Clerk’s residence office.</p> <p>Council laptop is password protected.</p> <p>Regular back up of electronic files onto the Cloud storage facility currently MS One Drive.</p> <p>Cloud storage facility in place.</p> <p>Windows Defender Virus software in place.</p> <p>Laptops are not left overnight in vehicles.</p>	
Business continuity – loss of records	Retention of documents by resigned or disaffected Clerk or Councillor.	1/3/Low	<p>Clerk’s contract states that all Council equipment is surrendered within one week of termination.</p> <p>Councillors’ failure to comply with Code of Conduct may result in Council seeking legal advice</p>	
Business continuity – unavailability of usual meeting location	Loss through fire or damage or inadequate health and safety.	2/2/Low	<p>Annual fire checks/electrical checks and regular inspections.</p> <p>Regular cleaning.</p> <p>Insurance in place over buildings/equipment</p>	Alternative locations are available.

Business continuity – unavailability of Clerk’s residence	Loss through fire or damage or inadequate health and safety.	2/4/Medium	Annual fire checks/electrical checks.	
Loss of Clerk	Resignation or unavailability of Clerk	2/4/Medium	Membership of ESALC to assist with locum cover or recruitment. Business interruption insurance held includes Key Person Absence cover.	<i>Clerk to share computer passwords with chair for access if required.</i>

Finance

Subject	Risks identified	LO/LS/ORAF	Management/Control	Additional Notes
Precept inadequacies	Failure to ensure that the annual precept results from an adequate budgetary process	1/2/2 Low	Start consideration of budgetary process at least 3 month prior to submission date of Precept. Checks by RFO. Precept determined on basis of the budget set. Full annual budgetary process with RBS. Ability to move monies between reserves. Regular monthly reports to Council on actual v budgeted expenditure.	
	Lack of commitment by Councillors to budgetary process	1 / 2 Low	Full Council receives budget estimates. Expenditure against budget is reported at each FC meeting.	
	Inadequate records / financial irregularities	1 / 2 Low	BPC use the Financial Regulations which set out the requirements based on NALC Model Regulations	
		2/2 Low	Performance against budget and all	

	Inadequate internal controls regarding monitoring expenditure Reserves too high/low	2/Low	expenditure is reviewed in FC meetings. Reserve balance should not exceed the Precept but should be sufficient to allow the Council to operate if the expected precept is not received	
Misappropriation or incorrect disbursement of funds	Fraud by Clerk or Councillor(s)	1/4/Medium	Financial regulations in place. Dedicated Councillor responsible for financial matters. Payments require two separate authorisations (Councillor plus Clerk). Bank reconciliations performed monthly. Monthly financial report to Council seeking approval for all transactions. Check by one Parish Councillor made monthly against payments in correspondence with invoices & receipts received. Internal Audit checks.	Reviewed annually
Bank failure	Loss of funds through failure of the Council's bankers.	1/4/Medium	Council's funds are all with a major clearing bank. Council moved to online banking (Unity Trust) in 2023 Availability of FSCS protection.	
Grants	Inadequate controls over limits to expenditure	2/2/Low	S137 payments – grants and donations recorded. Approval of Payments recorded in minutes.	
Freedom of Information	Failure to comply with statutory requirements	1/2/Low		<i>Create policy</i>

Data Protection			<p>Council is registered with ICO. Laptops held by Clerk is password protected. Rely on Microsoft One Drive to back up files. Clerk issued with .gov.uk email addresses to ensure security & to facilitate efficient handling of official communication and information requests. Confidential documents are secured and destroyed after use.</p>	<p><i>Registered with ICO August 2024 – Clerk to complete online training. Gov.uk emails to be extended to councillors.</i></p>
Payments to Clerk	<p>Salary paid incorrectly. PAYE/NI/Pension deductions not dealt with properly.</p>	2/2/Low	<p>Payroll approved monthly by Councillors responsible for financial matters. Reconciliation carried out monthly. Payments subject to approval and monthly reporting. Internal Audit checks</p>	
Election Costs	Inadequate provision	3/1/Low	Budget provision made to cover election costs.	
VAT	<p>Delay in reclaiming. Input VAT found not to be recoverable.</p>	3/1/Low	Procedure in place for routine reclaim of VAT.	
Annual Return	<p>Not submitted within time limits. Submitted with errors leading to adverse audit comments.</p>	2/2/Low	<p>Likely consequence of loss or unavailability of Clerk/RFO. Ability to agree time extensions with external auditors. Review by Council and Internal Auditor before submission.</p>	
Insurance	<p>Inadequate cover. Invalidity through lack of compliance</p>	2/3/Medium	<p>Annual review and approval by Council. Cover increased annually by indexing.</p>	

Liability

Subject	Risks identified	LO/LS/ORAF	Management/Control	Additional Notes
Legal Powers	Illegal activity or payments	3/2/Medium	Standing Orders Payments agreed by Council. Reference to ESALC or legal advice as required.	
Minutes/Agendas	Accuracy – noncompliance with legal requirements	3/2/Medium	Agendas circulated within statutory requirements – notice boards and website. Signed agendas and minutes circulated in accordance with regulations. Minutes approved & signed at each meeting	
Public Liability	Risk to third party, property or individuals	2/5/Medium	Liability insurance held as recommended by Broker. Annual review by the Council	
Employer Liability	Non-compliance with employment law	1/4/Medium	Insurance in place Annual review by the Council	
Legal Liability	Legality of activities, proper and timely reporting, proper document control	3/3/Medium	Standing Orders Minutes Agendas	

Councillors Propriety

Subject	Risks identified	LO/LS/ORAF	Management/Control	Additional Notes
Members' Interest	Conflict of Interest not disclosed. Register of Member's Interest not updated. Registers not sent to LDC and/or placed on the website.	3/3/Medium	Council are reminded to review their ROMI's annually and to update Clerk accordingly. Requirement for Councillors to notify interests appear on all meeting agendas.	

			Clerk to ensure that Councillors Registers are sent within 28 days of becoming a member to the Monitoring Officer at LDC, and to be posted on website once sent to Local Authority,	
Members' Conduct	Standard of Conduct not complied with or understood. Action against individual Councillor(s) or the Council	2/3/Medium	Code of Conduct in place. New Councillor training available Good Councillors Guide circulated.	
Gifts & Hospitality		1/1/Low	Code of Conduct in draft	To be adopted 2025
Meeting with third parties	Statements made without Council approval. Risk of misrepresentation and/or misunderstandings	1/3/Low	All meetings with third parties as well as written communication should be directed through the Clerk but may be signed by the Chair or Vice-Chair.	

Governance & Management

Subject	Risks identified	LO/LS/ORAF	Management/Control	Additional Notes
Governance & Management	Lack of engagement by Cllrs and residents on major items of public interest	2/2/Low	Role of Parish Council is publicised through the Council website, village noticeboards, facebook, & face to face events. Council contact details are on the website	
Governance & Management	Lack of knowledge by Cllrs on their role, responsibility & accountability	1/1/Low	Prospective Cllrs are encouraged to attend Council meetings. Once on board, training sessions are arranged, encouraged to read documentation/policies on the website, and to meet with Clerk/Chair if further advice needed	
Governance & Management	Lack of knowledge	2/2/Low	Ensure that Code of Conduct, SO and	

	of or commitment to regulations & legislation		Financial Regs are in place. Attend training courses. Membership of ESALC, NALC & SLCC	
Governance & Management	Action of the PC outside its powers laid down by Parliament	1/3/Low	Clerk to monitor relevant legislation and report to Council. Seek advice from other bodies where required.	
Governance & Management	Notice of Meeting	1/1/Low	Meeting Agendas placed on noticeboards and website, Cllrs to receive summons electronically.	
Governance & Management	Accurate and legal minutes	1/1/Low	Minutes are presented to next Council meeting for approval. Minutes are produced for all meetings. Approved minutes are posted on website	

Assets

Pavilion, Recreation Ground (including pitches, play equipment, Wild About Barcombe, Pump House)

Subject	Risks identified	LO/LS/ORAF	Management/Control	Additional Notes
Pavilion	Damage, wear and tear, accident- public liability	2/4/Medium	Insurance held for loss and liability Weekly inspection – caretaker Annual fire equipment check (Chubb) Annual fire safety risk assessment (Clerk) Feedback from users Monthly inspection	
Play Equipment	Damage, wear and tear, accident- public liability	2/4/Medium	Insurance held for loss and liability Weekly inspection - caretaker Annual LDC Assessment	
Recreation Ground	Damage, wear and tear, accident- public liability	2/4/Medium	Insurance held for loss and liability Feedback from Sports Clubs Monthly inspection	

Paths	Damage, wear and tear, accident- public liability	2/4/Medium	Insurance held for loss and liability Monthly Inspection	
Benches	Damage, wear and tear, accident- public liability	2/4/Medium	Insurance held for loss and liability Monthly Inspection	
Fencing/Hedging	Damage, wear and tear, accident- public liability	2/4/Medium	Insurance held for loss and liability Monthly Inspection	
Trees	Damage, wear and tear, accident- public liability	2/4/Medium	Insurance held for loss and liability Budget for tree work as required Monthly Inspection	
Wild About Barcombe	Damage, wear and tear, accident- public liability	2/4/Medium	Insurance held for loss and liability Feedback from Working group Monthly Inspection	
Pump House	Damage, wear and tear, accident- public liability	2/4/Medium	Insurance held for loss and liability Feedback from Football Club and WAB Working group Monthly Inspection	

Supplementary Risk Assessment - Activity: Cricket Club matches and training – see appendix.

Bus Shelter

Subject	Risks identified	LO/LS/ORAF	Management/Control	Additional Notes
Bus Shelter	Damage, wear and tear, accident- public liability	2/4/Medium	Insurance held for loss and liability Monthly inspection	

Subject	Risks identified	LO/LS/ORAF	Management/Control	Additional Notes
Barcombe Mills Carpark	Damage, wear and tear, accident- public liability	2/4/Medium	Insurance held for loss and liability Monthly inspection	

Subject	Risks identified	LO/LS/ORAF	Management/Control	Additional Notes
Phone Box, Spithurst	Damage, wear and tear, accident- public liability	2/4/Medium	Insurance held for loss and liability Monthly inspection	

Appendix

During Cricket matches and training there is a small, but potential, risk that members of the public may be struck by hard cricket balls. A collegiate approach is being adopted by Barcombe Parish Council and the Barcombe Cricket Club.

Issue / Hazard	Unmanaged Risk Level (H/M/L)	Mitigation Strategies	Managed Risk Level (H/M/L)	Additional Notes
Members of the Public (MoP) being struck by hard cricket balls	Medium	<p>Action Cricket Club</p> <ul style="list-style-type: none"> • To display fixture lists on notice boards to notify MoP and raise awareness of when matches are scheduled • To display signage alerting MoP of the additional risks during matches • To set out warning signs during every match • To make match officials and players aware of potential risks • To pause matches if risks become unmanageable • To position fielders on the boundary during play • To give verbal loud/shouted warnings of drives likely to go well beyond the boundary. <p>Action BPC</p> <ul style="list-style-type: none"> • To ensure warning signs and notice boards are in available • To ensure benches are forward facing and set back • To enclose the playground with fencing 	Low	