

## East Dean and Friston Parish Council - Risk Management Plan

The Levels of Risk are categorised as: H = High; M = Medium; and L = Low

### 1 Maladministration of Council Business

*Maladministration may result in undemocratic or illegal actions.*

Category	Current Safeguards	Level	Further Action Required
1.1 Standing Orders	<p>Standing orders are distributed to each member. They are reviewed each year and updated where necessary.</p> <p>Review of Standing Orders and Financial Regulations are considered by Full Council each year.</p> <p><b>Responsible: Chairman and Clerk</b></p>	M	
1.2 Meetings	<p>Meetings are open to all residents of the parish and there is provision for them to speak at the full council <del>and</del> Planning <del>and Rights of Way</del> committee meetings</p> <p><b>Responsible: Chairman and Clerk</b></p>	M	
1.3 Committees	<p>All committees have defined responsibilities; they review their remits annually.</p>	M	

	<p>The full council is responsible for monitoring all finances of the Parish and matters such as Health and Safety, Risk management etc.</p> <p>The Planning Committee and Rights of Way committee have delegated powers, and the Rights of Way Committee also reports to full council</p> <p><b>Responsible: Chairman and Clerk</b></p>		
1.4 Information	<p>Members receive a folder of information (Standing Orders, Terms of Reference of Committees; Complaints procedure; Code of Conduct; Press and Media policy; Emergency Plan; Asset Register; etc.).</p> <p>Members will be provided with up to date copies of all relevant documentation on which the Parish Council acts or has an interest or responsibility. The information provided is the property of the Parish Council and must be returned to the Clerk on ceasing to be a Parish Councillor.</p> <p><b>Responsible: Chairman and Clerk,</b></p>	M	

## 2 Risk of Failed External Audit through Poor Accounting

*A failed external audit may result in lack of financial control of public money*

Category	Current Safeguards	Level	Further Action Required
2.1 Financial Regulations	<p>There are separate Financial Regulations which conform to the required standard of accounting. They are reviewed annually by Full Council.</p> <p>On the issue of updated model financial regulations by the National Association of Local Councils, the Parish Council will implement them after considering any discretions.</p> <p><b>Responsible: Chairman and RFO</b></p>	<p><b>M</b></p> <p><b>H</b></p>	
2.2 Budgets	<p>Budget monitoring is carried out on a six-monthly basis and provided to members on presentation of the Estimates.</p> <p>The Full Council to receive from the RFO a quarterly report showing all items of actual income and expenditure against the Council's Original or Revised Budget - Reports scheduled: 30 July<del>ne</del>, 30 <del>October</del><del>September</del>, 31 <del>January</del><del>December</del>, and at Final Accounts.</p> <p><b>Responsible: Elected Member, and RFO</b></p>	<b>M</b>	
2.3 Audit	<p>The Internal Auditor carries out a six-monthly audit and looks at the accounts in general.</p> <p>The main audit is carried out at the year's end when an Annual Report is prepared for members and for the external auditors.</p> <p><b>Responsible: Chairman, and RFO</b></p>	<b>M</b>	Consider suggestion that <del>Elected</del> Members be appointed to inspect the accounts and undertake test checks of financial transactions as required by Full Council.

**3 Loss of Resources due to Inadequate Financial Controls**  
*Loss of resources may result in the inability to execute Council business.*

Category	Current Safeguards	Level	Further Action Required
3.1 Precept	<p>The Precept is determined via a proper estimate process and account is taken of historic figures.</p> <p>To ensure long-term financial planning, the Parish Council considers a three-year time scheme for financial forecasting and estimates.</p> <p><b>Responsible: Chairman, and RFO</b></p>	M	
3.2 Reserves	<p>The Parish Council maintains adequate reserves and where necessary holds “earmarked” reserve accounts. These are specifically identified in the accounts and reviewed annually; contributions are added as necessary.</p> <p>Reserve levels are made known routinely to full council.</p> <p><b>Responsible: Chairman and RFO</b></p>	M	
3.3 Financial Transactions	<p>The RFO keeps all the financial transactions posted and bank statements are reconciled as they are received. These are copied monthly to Chair and Vice Chair.</p> <p>Cheque signatories are identified and signing procedures are in place. Online banking is established with signing procedures in place</p> <p>Online banking arrangements are supported by Elected Member security measures.</p> <p><b>Responsible: Chairman and Clerk/RFO</b></p>	<p>M</p> <p>M</p>	The council should consider the appointment of Elected Members to inspect the accounts and undertake test checks of financial transactions as required by Full Council.
3.4 Assets	<p>An Assets Register is kept and assets are added / deleted as necessary. Values are recorded at purchase price and the insurable value is reassessed each year</p>	M	

	<p>The Council has taken action to indemnify itself against financial losses.</p> <p>The council is considering insurance for Key Personnel</p> <p>The Council engages the services of the District Valuer to undertake re-valuations of property and land in the ownership of the Council, where applicable</p> <p>The Council uses the Public Work Loans Board to finance capital projects, as when necessary.</p> <p><b>Responsible: Chairman and RFO</b></p>	M	
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#### 4 Health and Safety

*Accidents and claims against the Council may result in financial loss.*

Category	Current Safeguards	Level	Further Action Required
4.1 Personnel	<p><b>Responsible: Chairman and Clerk</b></p>	M	<p>The PC should document risk assessments for the various operational activities of the council:</p> <ul style="list-style-type: none"> <li>• Clerk/RFO (office, VDU, workstation)</li> <li>• Parish Councillors on Parish Council business.</li> </ul> <p>The Parish Council should take any necessary actions arising.</p>
4.2 Competence	<p>The Vice Chair is experienced in health and safety risk management and can advise on the topic if required.</p> <p>Responsible: Chairman and Clerk</p>	M	
4.3 Prevention	<p>No physical work will be undertaken other than by competent personnel.</p> <p>Competent contractors will be utilised for any higher risk activities.</p> <p>The Parish Council will ensure that any accident occurring on Parish Council business is recorded as soon after the incident as possible and that a suitable investigation report is documented.</p>	M	

	<b>Responsible: Chairman and Clerk</b>		
4.4. Motor Insurance	<p>The Parish Council will ensure that any employee required to use a vehicle in connection with their duties are comprehensively insured for this use.</p> <p>In the case of Elected Members the Parish Council recommends that similar insurance cover is obtained and maintained throughout the period of service.</p> <p><b>Responsible: Chairman and RFO</b></p>	<b>M</b>	

## 5 Security Arrangements

*Failure in security arrangements may result in loss of data and the inability to enact Council business*

Category	Current Safeguards	Level	Further Action Required
5.1 Secure Storage for computerised data	Computer Systems used by the Parish Council are password protected and regularly backed up by the Clerk  The RFO takes a regular backup of all the accounting system  <b>Responsible: Chairman and Clerk/RFO</b>	H	
5.2 Secure Storage for legal documents	Responsible: Chairman and Clerk	H	The Council should consider whether it engages the services of a third party to store the original documents off-site, and ensure that this is in a secure facility.
5.3 Vandalism /terrorism	This risk is considered insignificant for this council  Responsible: Chairman and Clerk/RFO	L	

**6 Risk of Damage to Office, Buildings and Equipment**  
*Damage to the Office, buildings and equipment may result in financial loss.*

Category	Current Safeguards	Level	Further Action Required
6.1 Office	The office is covered under the parish council's insurance and an adequate fire alarm is in place  <b>Responsible: Chairman and Clerk/RFO</b>	<b>M</b>	
6.2 Building Insurance	The Parish Council has insurance on the cricket pavilion and all the bus shelters it owns  <b>Responsible: Chairman and RFO</b>	<b>M</b>	
6.3 Equipment Insurance	All major equipment (playground and office equipment) is insured under the Parish Council insurance and could be replaced at short notice.  <b>Responsible: Chairman and RFO</b>	<b>M</b>	



## 7 Risk of Personal Injury

*Personal injury may result in claims of negligence, compensation and hence financial loss.*

Category	Current Safeguards	Level	Further Action Required
7.1 Recreation Ground; Friston Green; Downlands Way car park	<p>Regular inspections of playground and pavilion are carried out by an appointed Elected Member. Any required actions are taken to correct any significant risks.</p> <p>There is an annual ROSPA inspection of the equipment on the Recreation Ground (playground, tennis court; football goal, etc.) any required actions are taken to correct any significant risks.</p> <p><b>Responsible: Chairman, Appointed Elected Member, Clerk/RFO</b></p>	<p>H</p> <p>M</p>	
7.2 Buildings	<p>The pavilion caretaker reports any defects to full council</p> <p>A maintenance person cleans and inspects all bus shelters on a monthly basis.</p> <p><b>Responsible: Chairman, Pavilion Caretaker; maintenance man; Clerk/RFO</b></p>	M	
7.3 Equipment	<p>The Parish Council requires the safety inspection of all equipment. There are regular inspections of recreation ground and highway seats and repairs are carried out as necessary. (The ROW Committee has a budget for immediate repairs). All such work is reported to the full Council</p> <p>The Council in co-operation with the Village Hall Trust will ensure that Portable Appliance Testing (PAT) is carried out on a bi-annual basis.</p> <p><b>Responsible: Chairman and Clerk</b></p>	<p>M</p> <p>M</p>	

**8 Risk of Financial Loss from Contracts/Contractors**  
*Financial loss may result in inability to enact Council business.*

Category	Current Safeguards	Level	Further Action Required
8.1 Financial Loss from Contracts / Contractors	<p>The Parish Council's Financial Regulations contain proper quotations procedures.</p> <p>When the Parish Council enters into large contracts professional advice is sought.</p> <p>Responsible: Chairman and Clerk/RFO</p>	<b>M</b>	

**9 Negligence**  
*Claims against the Council for negligence may result in financial loss.*

Category	Current Safeguards	Level	Further Action Required
<p>Arising through:</p> <p>[a] defective or vandalised equipment or</p> <p>[b] failure to warn the public of the same</p>	<p>The Parish council has Public Liability Insurance. See safeguards listed under 5.3 and 7.</p> <p>Responsible: Chairman and Clerk/RFO</p>	<b>M</b>	

## 10 Loss of Staff

*Loss of Staff may result in the Council being unable to undertake its administrative functions or enact its business.*

Category	Current Safeguards	Level	Further Action Required
10.1 Pay Arrangements	Staff are paid in accordance with National Association of Local Councils/Society of Local Council Clerks rates of pay.  <b>Responsible: Chairman and Vice Chairman</b>	L	
10.2 Staff Morale	Good relations are maintained between staff and key members, including freedom to express differing views, identify training needs, attend conferences etc.  <b>Responsible: All Elected Members</b>	L	
10.3 Working Conditions	The Clerk works from home; suitable equipment is provided and upgraded as necessary.  <b>Responsible: Chairman and Vice Chairman</b>	L	
10.4 Annual Appraisals	The Council has an Annual Appraisal Scheme for employees.  <b>Responsible: Chairman and Vice Chairman</b>	L	

It is recommended that this plan be reviewed annually at a designated Parish Council meeting.

## 11. Emergency Plan Risk prioritisation

Likelihood/Impact	1 Extremely unlikely	2 Unlikely	3 Moderately likely	4 Likely	5 Highly likely	6 Extremely likely
1 Not critical	1	2	3	4	5	6
2 Minor impact in some areas	2	4	6	8	10	12
3 Minor impact in many areas	3	6	9	12	15	18
4. Significant impact: would not affect continued operations in the short term but might in the long term	4	8	12	16	20	24
5 Significant impact in medium term, relates to substantial operational areas	5	10	15	20	25	30
6 Fundamental to continuing operations	6	12	18	24	30	36

PRIORITY    **Low**            1 to 9  
                   **Medium**        10 to 19  
                   **High**            Over 20

## POTENTIAL RISK FACTORS:

- extreme weather (e.g. heavy snow, severe flooding, gales) – Moderately Likely/Minor Impact  $3 \times 3 = 9$
- major utility failure (electricity, gas, water, telephones) – Extremely unlikely/Minor or short term significant impact  $1 \times 4 = 4$
- gas leak/explosion – Extremely unlikely/Significant impact  $1 \times 4 = 4$
- major transport accident (road, rail, air) - Extremely unlikely/Significant impact  $1 \times 4 = 4$
- major fire (e.g. in Friston Forest) or building collapse – ~~U~~Extremely unlikely/Minor impact  $2 \times 4 = 8$   ~~$1 \times 3 = 3$~~
- landslip or landslide (e.g. on Jevington Road) – Unlikely/significant impact  $2 \times 4 = 8$
- hazardous vapour release (e.g. at sea) – Unlikely/minor impact  $2 \times 3 = 6$
- disease (flu pandemic seen as national risk) – Moderately likely/Significant impact  $3 \times 4 = 12$
- terrorism – Extremely unlikely/significant impact  $1 \times 4 = 4$

Any one or a combination of the above emergency hazardous events could lead to the isolation of the Parish for prolonged periods of time requiring a degree of self-help.