

# 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</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> <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 has delegated powers, and also reports to</p> | M     |                         |

|                 |  |   |  |
|-----------------|--|---|--|
|                 | <p>full council</p> <p><b>Responsible: Chairman and Clerk</b></p>  |   |  |
| 1.4 Information | <p>Documents containing Standing Orders, Financial Regulations, Terms of Reference of Committees; Communications and Complaints procedure; Code of Conduct; Data Protection; Freedom of Information; Press and Media policy; Emergency Plan; Asset Register; etc.) are all publicly available on the council website.</p> <p>Members will be provided with up-to-date digital copies of all relevant documentation on which the Parish Council acts or in which it has an interest or responsibility. The information provided is the property of the Parish Council</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 (May 2024)</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>M</p> <p>M</p> | There has been no NALC update since March 2020 |
| 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</p>   | M                 |  |

|           |  |   |  |
|-----------|--|---|--|
|           | <p>all items of actual income and expenditure against the Council's Original or Revised Budget - Reports scheduled: 30 July, 30 October, 31 January and at Final Accounts.</p> <p><b>Responsible: RFO</b></p>  |   |  |
| 2.3 Audit | <p>The Chair, Vice Chair and Appointed Member are appointed to inspect the accounts and undertake test checks of financial transactions as required by full council.</p> <p>The Internal Auditor carries out the main audit at the year's end when an Annual Report is prepared for members and for the External Auditors.</p> <p><b>Responsible: Chair, Vice Chair, RFO</b></p> | M |  |

**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: 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: RFO</b></p> | M     |                         |

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| <p>3.3 Financial Transactions</p> | <p>The RFO keeps all the financial transactions posted and bank statements are reconciled as they are received. These are copied monthly to Chair, Vice Chair and a named councillor (currently Cllr Hill) who inspect the accounts and undertake test checks of financial transactions as required by full council.</p> <p>The signatories are as follows:<br/> Cllr P Seeley as Chair is a cheque signatory with access to view the online accounts;<br/> Cllr T Bryant as Vice Chair is a cheque signatory with access to view the online accounts;<br/> The new Parish Clerk/Responsible Financial Officer, will have the authority to make payments online subject to council approval.<br/> Other signatories of members or officers should be revoked</p> <p>Online banking is established and supported by Member security arrangements.</p> <p><b>Responsible: Chair, Vice Chair, Cllr Hill, Clerk/RFO</b></p> | <p>M</p> <p>M</p> |  |
| <p>3.4 Assets</p>                 | <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> <p>The Council has taken action to indemnify itself against financial losses.</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 Clerk/RFO</b></p>  | <p>M</p> <p>M</p> |  |

#### 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>Meetings are currently being held in person following the lifting of Covid-19 restrictions, but hybrid arrangements are also in place. Officers routinely work from home</p> <p><b>Responsible: Chairman and Clerk</b></p>   | <b>M</b> |                         |
| 4.2 Competence       | <p>The council takes qualified advice on health and safety risk management as required</p> <p><b>Responsible: Chairman and Clerk</b></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> <p><b>Responsible: Chairman and Clerk</b></p> | <b>M</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 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 | <p>Computer Systems used by the Parish Council are password protected and regularly backed up by the Clerk</p> <p>The RFO takes a regular backup of all the accounting system and sends copies to the Chair and Vice Chair</p> <p>The Computer System is Cloud based</p> <p><b>Responsible: Chair, Vice Chair, and Clerk/RFO</b></p> | H     | <i>(The clerk was instructed to include a request for cybercrime insurance when quotes were sought for renewal of the main policy in spring 2022. The Council did not opt for renewed cybercrime cover when it took out new insurance cover as Cybercrime insurance is very expensive and comes with criteria that are hard to verify.)</i> |
| 5.2 Secure Storage for legal documents   | <p>The Council uses the County Record Office (a secure facility) to store original documents off site</p> <p><b>Responsible: Chairman and Clerk</b></p>  | H     |   |
| 5.3 Vandalism /terrorism                 | <p>This risk is considered insignificant for this council</p> <p><b>Responsible: Chairman and Clerk/RFO</b></p>  | 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             | <p>The office is covered under the parish council's insurance and an adequate fire alarm is in place</p> <p><b>Responsible: Chairman and Clerk/RFO</b></p> | M     |                         |
| 6.2 Building Insurance | <p>The Parish Council has insurance on the cricket pavilion and all the bus shelters it owns</p>   | M     |                         |

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|-------------------------|--|----------|--|
|                         | <b>Responsible: Chairman and RFO</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.<br><br><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 | Regular inspections of playground and pavilion are carried out by an appointed Member. Any required actions are taken to correct any significant risks.  | M     | The Lead Member for the Recreation Ground undertakes regular visual inspections |
|  | There is an annual Wicksteed inspection of the equipment on the Recreation Ground (play area) any required actions are taken to correct any significant risks.<br><br><b>Responsible: Chairman, Appointed Member, Clerk/RFO</b>  | M     |   |
| 7.2 Buildings  | The pavilion caretaker reports any defects to full council<br><br>A maintenance person cleans and inspects all bus shelters on a monthly basis.<br><br><b>Responsible: Chairman, Pavilion Caretaker; maintenance man; Clerk/RFO</b>  | M     |   |
| 7.3 Equipment  | 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 council has a budget for immediate repairs). All such work is reported to the full Council | M     |   |
|  | The Council ensures that fire extinguishers at the pavilion are tested and maintained annually; and an electrical installation condition report is obtained every five years.  | M     |   |

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|  | <b>Responsible: Chairman, Appointed Member and Clerk</b> |  |  |
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**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><b>Responsible: Chairman and Clerk/RFO</b></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><b>Responsible: Chairman and Clerk/RFO</b></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.<br><br><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.<br><br><b>Responsible: All Members</b> | L     |                         |
| 10.3 Working Conditions | The Clerk and Deputy Clerk work from home; suitable equipment is provided and upgraded as necessary.<br><br><b>Responsible: Chairman and Vice Chairman</b>   | L     |                         |
| 10.4 Annual Appraisals  | The Council has an Annual Appraisal Scheme for employees.<br><br><b>Responsible: Chairman and Vice Chairman</b>  | L     |                         |

It is recommended that this plan be reviewed annually at the July Parish Council meeting.

## 11. Emergency Plan Risk prioritisation

**This is now reflected in the Parish's Emergency Plan**