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	Standing orders are distributed to each member. They are reviewed each year and updated where necessary. Review of Standing Orders and Financial Regulations are considered by Full Council each year. **Responsible: Chairman and Clerk**	M	
1.2 Meetings	Meetings are open to all residents of the parish and there is provision for them to speak at the full Council and Planning Committee meetings **Responsible: Chairman and Clerk**	M	
1.3 Committees	All committees have defined responsibilities; they review their remits annually.	M	

	The full council is responsible for monitoring all finances of the Parish and matters such as Health and Safety, Risk management etc. The Planning Committee has delegated powers, and also reports to full council **Responsible: Chairman and Clerk**		
1.4 Information	Members receive a folder of information (Standing Orders, Financial Regulations, Terms of Reference of Committees; Communications and Complaints procedure; Code of Conduct; Press and Media policy; Emergency Plan; Asset Register; etc.). 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. **Responsible: Chairman and Clerk**	M	Note: councillors have not received hard copies of these documents which are available on the website.

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	There are separate Financial Regulations which conform to the required standard of accounting. They are reviewed annually by Full Council. 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. **Responsible: Chairman and RFO**	**M** **H**	Recommendation: Financial Regulations to be reviewed in November 2019 in the light of recent publication of a new model by NALC, and a new guidance note on Procurement by the SLCC
2.2 Budgets	Budget monitoring is carried out on a six-monthly basis and provided to members on presentation of the Estimates. 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, 30 October, 31 January and at Final Accounts. **Responsible: Appointed Member, and RFO**	**M**	
2.3 Audit	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. The Internal Auditor carries out a six-monthly audit and looks at the accounts in general. The main audit is carried out at the year's end when an Annual Report is prepared for members and for the external auditors. **Responsible: Chair, Vice Chair, Appointed Member and RFO**	**M**	Note: the Internal Auditor has not been asked to carry out a six-monthly audit. Is this in fact required?

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	The Precept is determined via a proper estimate process and account is taken of historic figures. To ensure long-term financial planning, the Parish Council considers a three-year time scheme for financial forecasting and estimates. **Responsible: Appointed Member and RFO**	M	
3.2 Reserves	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. Reserve levels are made known routinely to full council. **Responsible: Appointed Member and RFO**	M	
3.3 Financial Transactions	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 Appointed Member for Finance who inspect the accounts and undertake test checks of financial transactions as required by full council. Cheque signatories are identified and signing procedures are in place. Online banking is established with signing procedures in place Online banking arrangements are supported by appointed Member security measures. **Responsible: Chair, Vice Chair, Appointed Member and Clerk/RFO**	M M	
3.4 Assets	An Assets Register is kept and assets are added / deleted as necessary. Values are recorded at purchase price and the insurable	M	

	value is reassessed each year The Council has taken action to indemnify itself against financial losses. The council is considering the appointment of an Administrative Assistant for Key Personnel cover 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. The Council uses the Public Work Loans Board to finance capital projects, as when necessary. **Responsible: Chairman and RFO**	M	

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	**Responsible: Chairman and Clerk**	**M**	The PC should document risk assessments for the various operational activities of the council: • Clerk/RFO (office, VDU, workstation) • Parish Councillors on Parish Council business. The Parish Council should take any necessary actions arising.
4.2 Competence	The Vice Chair is experienced in health and safety risk management and can advise on the topic if required. **Responsible: Vice Chair**	**M**	Review in light of changes of membership
4.3 Prevention	No physical work will be undertaken other than by competent	**M**	

	personnel. Competent contractors will be utilised for any higher risk activities. 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. **Responsible: Chairman and Clerk**		
4.4. Motor Insurance	The Parish Council will ensure that any employee required to use a vehicle in connection with their duties are comprehensively insured for this use. In the case of Members the Parish Council recommends that similar insurance cover is obtained and maintained throughout the period of service. **Responsible: Chairman and RFO**	**M**	

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 and sends copies to the Chair, Vice Chair and Appointed Member for Finance **Responsible: Chair, Vice Chair, Appointed Member and Clerk/RFO**	**H**	
5.2 Secure Storage for legal documents	The Council uses the County Record Office (a secure facility) to store original documents off site	**H**	

	Responsible: Chairman and Clerk		
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 **Responsible: Chairman and Clerk/RFO**	**M**	
6.2 Building Insurance	The Parish Council has insurance on the cricket pavilion and all the bus shelters it owns **Responsible: Chairman and RFO**	**M**	
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. **Responsible: Chairman and RFO**	**M**	

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. 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. **Responsible: Chairman, Appointed Member, Clerk/RFO**	H M	Some maintenance is required at the play area Wicksteed to be invited to do future safety inspections
7.2 Buildings	The pavilion caretaker reports any defects to full council A maintenance person cleans and inspects all bus shelters on a monthly basis. **Responsible: Chairman, Pavilion Caretaker; maintenance man; Clerk/RFO**	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 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. **Responsible: Chairman and Clerk**	M M	

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	The Parish Council's Financial Regulations contain proper quotations procedures. When the Parish Council enters into large contracts professional advice is sought. **Responsible: Chairman and Clerk/RFO**	**M**	

9 Negligence

Claims again the Council for negligence may result in financial loss.

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

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. **Responsible: Chairman and Vice Chairman**	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. **Responsible: All Members**	L	
10.3 Working Conditions	The Clerk works from home; suitable equipment is provided and upgraded as necessary. **Responsible: Chairman and Vice Chairman**	L	Revision required to refer to administrative assistant (to be appointed)
10.4 Annual Appraisals	The Council has an Annual Appraisal Scheme for employees. **Responsible: Chairman and Vice Chairman**	L	

It is recommended that this plan be reviewed annually at the October 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 3x3=9
- major utility failure (electricity, gas, water, telephones) – Extremely unlikely/Minor or short term significant impact 1x4=4
- gas leak/explosion – Extremely unlikely/Significant impact 1x4=4
- major transport accident (road, rail, air) - Extremely unlikely/Significant impact 1x4=4
- major fire (e.g. in Friston Forest) or building collapse – Unlikely/Minor impact 2x4=8
- landslip or landslide (e.g. on Jevington Road) – Unlikely/significant impact 2x4=8
- hazardous vapour release (e.g. at sea) – Unlikely/minor impact 2x3=6
- disease (flu pandemic seen as national risk) – Moderately likely/Significant impact 3x4=12
- terrorism – Extremely unlikely/significant impact 1x4=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.