

**LYDIARD MILLICENT PARISH COUNCIL
RISK REGISTER**

Introduction

The risks listed in this register have been assessed using the following risk matrix and impact definitions.

Likelihood	Highly Likely (3)	Medium (3)	High (6)	High (9)
	Probable (2)	Low (2)	Medium (4)	High (6)
	Unlikely (1)	Low (1)	Low (2)	Medium (3)
		Negligible (1)	Moderate (2)	Severe (3)
		Impact		

Impact Definitions	Negligible	Moderate	Severe
Financial	Loss < £1,000	Loss between £1,000 and £10,000	Loss greater than £10,000
Data Security	Minor inconvenience or embarrassment	Moderate negative impact on an individual	Severe impact on an individual or moderate impact on multiple people
Legal	Minor contractual dispute	Major contractual dispute or legal infraction resulting in censure from public body	Legal infraction resulting in fines or other penalties
Reputational	Minor embarrassment to Council	Reputational damage covered by local and regional news	Reputational damage covered by national news
Physical	Minor injury to individual	Minor injury to multiple people	Major injury

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RISK REGISTER**

	Risk	Impact	Likelihood	Severity	Control Actions- Internal Controls	Review Frequency	Responsible Person
FINANCIAL AND GOVERNANCE							
1	Lack of forward planning and budgetary controls, leading to: - Lack of direction - Poorly managed resources - Services not provided - Lack of confidence in Council - Insufficient funds for contingencies	Moderate (financial)	Unlikely	Low	- Regular review of Financial Regulations - Financial Business plans for all projects - Preparation of precept as detailed in Financial Regulations - In year budget reviews and reports to meetings	Annually Quarterly	Clerk Chairman V-Chairman
2	Poor reporting to Council leading to poor quality decision making	Moderate (financial, reputational)	Unlikely	Low	- Timely and accurate reporting in line with Financial Regulations and Standing Orders - Regular project reports - Clear objectives and regular reviews	At each meeting	Clerk Chairman V-Chairman
3	Loss of Clerk leading to failure in budgetary controls and correspondence and research backlog	Moderate (financial, reputational)	Probable	Medium	- Succession Planning - Clearly documented admin and budgetary procedures - Up to date job descriptions - Up to date contact lists and booking information - Clear objectives and regular reviews	Updated annually or as required	Clerk
4	Failure to respond to electors' wish to right of inspection leading to loss of reputation and confidence in the Council	Moderate (legal)	Unlikely	Low	- Clear Standing Orders and operating protocols - Freedom of Information Policy - Clear objectives and regular reviews	Annually	Chairman Clerk
5	Poor document control leading to: Information not being passed on in a timely manner	Moderate (financial)	Unlikely	Low	- Clear Standing Orders - Clear Job Description - Regular back up of information	Annually Annually Daily	Chairman Clerk

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	- Deadlines missed - Lack of achievement - Poor audit trail				Clear objectives and regular reviews		Chairman of Personnel Committee
6	Failure of Council to comply with the Law in particular: - Health and Safety - Equal Opportunities - General Data Protection Regs - Human Rights - Disability and - Discrimination - Employment Law - Freedom of Information Act	Severe (legal)	Unlikely	Medium	- Clear policies and procedures - Regular review of Law	All annually	Chairman Clerk Chairman of Personnel Committee
7	Business activities may exceed legal powers as described in the Local Government Act 1972, including illegal expenditure	Severe (legal)	Unlikely	Medium	- Recording in the minutes the precise power under which expenditure is being approved for items over £500 to organisations or individuals - Regular reviews of Financial Regulations and Standing Orders - Training for all new Councillors	In line with Council meetings	Chairman Clerk Councillors
8	Lack of proper, timely and accurate reporting of Council business in minutes leading to - Confusion and misunderstandings - Actions not accurately reflecting the intentions of the Council	Moderate (legal)	Unlikely	Low	- Approval by Council - Minutes to be published on the Council website - Agreed procedures in place for producing and reviewing minutes - Clear objectives and regular reviews	In line with Council meetings	Chairman V-Chairman Clerk
9	Timetables not met when responding to consultation invitations leading to: Affected reputation	Moderate (reputational)	Unlikely	Low	- Documented procedures - To deal with responses to consultation requests	Annually	Council Chairman Clerk

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	• Ineffectual involvement • Poor corporate influence				• Clear objectives and regular reviews		
10	Council lacking relevant skills and commitment impacting its ability to deliver on commitments and providing poor value for tax payers	Severe (financial)	Unlikely	Moderate	• Training for Clerk and Councillors • Review of Councillor attendance • Proper budget allocation for training	Annually At Councillor appointment After election	Chairman Clerk Councillors
11	Council becomes dominated by one or two individuals or cliques form leading to pursuit of personal interests and impacting the Council's ability to perform effectively	Moderate (financial, reputational)	Unlikely	Low	• Clear Code of Conduct and Standing Orders regarding conduct at meetings and conflicts of interests	Annually	Chairman V-Chairman Clerk Councillors
12	Councillors benefitting from being on the Council, affecting the Council's reputation	Moderate (financial, reputational)	Unlikely	Low	• Clear Code of Conduct and Standing Orders • Open system of payment • Transparent decision-making process • Procedures in place for recording and monitoring members interests	• Annually • At all meetings	Councillors Clerk
13	Damage or loss to Council owned property or assets to high cost of repair or replacement, disruption to services and potential legal liability	Severe (legal, physical, financial)	Probable	High	• Insurance cover • Maintain an up to date asset register for review prior to insurance renewal • Regular maintenance of physical assets • Annual review of risk and adequacy of cover • CCTV installed at JCH	Annually	Clerk Councillors Handyman
14	Damage to third party property or individual due to service or amenity provided	Severe (physical, legal, financial)	Unlikely	Medium	• Public liability • Insurance • Comprehensive event planning • Regular check of facilities	As required	Chairman Clerk

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					Ensure all amenities are maintained		
15	Loss of money through Fraud, or dishonesty leading to reduction in available funds or loss of reputation	Severe (financial, reputational)	Unlikely	Medium	- Clear financial procedures - Adequate insurance cover (Fidelity Guarantee) - Councillor checks	Annually Annually Quarterly	Clerk Chairman V-Chairman Councillors
16	Financial mismanagement, e.g. with inappropriate borrowing or investment, leading to reduced funds being available	Moderate	Unlikely	Low	- Clear Standing Orders and Financial Regulations - Prepare, adopt and adhere to codes of practice for procurement and investment - Investment Policy - General Reserves Policy	Annually	Council Clerk
17	Failure to use grants (e.g. Area Board grants or CILs) for intended purpose, or inappropriate use of S137 grants, leading to lack of funds for other projects and potential investigation into use of funds	Moderate (financial, legal)	Unlikely	Low	- Ensure funds properly ring fenced - Clear financial procedures - Follow up on use - Maintain a separate record for S137 expenditure - Recorded clearly in minutes - Clear objectives and regular reviews	Annually	Chairman V-Chairman Clerk
18	Failure to keep proper financial records leading to inadequate financial control and poorly managed resources	Moderate (financial, legal)	Unlikely	Low	- Regular scrutiny of financial records and proper arrangements for the approval of expenditure - External Audit - Internal Audit - Clear objectives and regular reviews	Monthly Annually	Chairman V-Chairman Clerk
19	Failure to maintain accurate and complete burial records	Severe (reputational)	Unlikely	Medium	Secure storage area for records	Annually	Chairman V-Chairman Clerk

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					• Training for the Parish Clerk • Regular review of burial register in line with audit requirements • Copy of data held on online system • Clear objectives and regular reviews		
20	Risk of Council not being able to continue its business due to an unexpected or tragic circumstances	Severe (reputational)	Unlikely	Medium	• Develop and maintain business continuity plan	Annually	Chairman V-Chairman Clerk
21	Loss of funds due to Council being invoiced but not supplied with services	Moderate (financial)	Unlikely	Low	• Regular checks on work provided, e.g. grounds maintenance • Signoff controls included in procurement procedure • Clear objectives and regular reviews	Annually	Clerk Parish Handyman Chairman V-Chairman
22	Loss of money due to administrative error (e.g. uncashed cheques)	Moderate (financial)	Unlikely	Low	• Clear Financial Regulations and Standing Orders • Cheques to be logged against booking register and paid in within 5 working days • Clear objectives and regular reviews	Annually	Clerk Chairman V-Chairman
23	Risk of cyber breach or loss of data	Moderate (data security, financial, reputational and legal)	Probable	Medium	• Strong password controls • Dual authorisation for banking access • Paper records retained in a locked office • Citrix network controls	Annually	Clerk Chairman V-Chairman

HEALTH AND SAFETY

**LYDIARD MILLICENT PARISH COUNCIL
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	Risk	Impact	Likelihood	Severity	Control Actions- Internal Controls	Review Frequency	Responsible Person
24	Issues with the children's play area, resulting in injury and/or litigation	Severe (physical, legal, reputational)	Probable	High	- Regular checks by the Handyman - Yearly RoSPA checks - Clear signage indicating that children must be supervised	Weekly Annually	Handyman Clerk Chairman V-Chairman
25	Trees or branches posing a safety problem to the public where unrestricted right of access is available	Severe (physical, legal, reputational)	Unlikely	Medium	- Regular checks by the Handyman - Hazard reporting process	Annually	Handyman Clerk Chairman V-Chairman
26	Slips and trips when accessing Jubilee Club House	Moderate (physical, legal)	Probable	Medium	- Hand rails - Step free access to main entrance - Outside lighting - Steps salted in bad weather	Annually	Handyman Clerk Chairman V-Chairman
27	Accidents to staff/public at Jubilee House	Moderate (physical, legal)	Unlikely	Low	- Individual risk assessments in force and reviewed annually - First Aid Box in kitchen - Regular inspections - Accident book on premises	Annually	Handyman Clerk Chairman V-Chairman
28	Accidents relating to cleaning and dangerous substances	Severe (physical, legal)	Unlikely	Medium	- Dangerous substances clearly labelled and kept in locked cabinet. Keys held by clerk, handyman and cleaning company - Milder alternative products purchased where possible	Annually	Handyman Clerk Chairman V-Chairman
29	Burns/electrocution	Severe (physical, legal)	Unlikely	Medium	- Visual inspection of equipment monthly - Circuit breakers installed - Biannual PAT testing - Door to electrical cupboard locked and located in Parish Office	Annually	Handyman Clerk Chairman V-Chairman

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30	Fire	Severe (physical, legal, financial)	Unlikely	Medium	• Fire alarm and smoke alarm systems in place • Emergency lighting and fire procedures in place • Fire doors • Fire alarms and extinguishers serviced every 12 months • Fire blanket and signs reviewed every 12 months	Annually	Handyman Clerk Chairman V-Chairman
31	Legionella	Severe (physical, legal, financial)	Unlikely	Medium	• Legionella policy in place • Regular checks of showers and taps undertaken and recorded by handyman	Annually	Handyman Clerk Chairman V-Chairman
32	Food poisoning or food allergies	Severe (physical)	Unlikely	Medium	• No food or drink provided by Council • Hirers made aware that they are responsible for this	Annually	Clerk Chairman V-Chairman
33	Poor working environment leading to RSI or eye damage	Moderate (physical)	Unlikely	Low	• Good lighting, adjustable chair, footrest installed • Equipment regularly checked • Good computer screen	Annually	Clerk Chairman V-Chairman
34	Assault or harassment of lone workers	Severe (physical, legal, financial)	Unlikely	Medium	• Lone worker policy in place • Mobile phones provided to workers • Meetings only with prior notification unless person is known	Annually	Clerk Chairman V-Chairman
35	Traffic accident with cars entering or leaving premises	Moderate (physical)	Probable	Medium	• Signage to advise drivers • Blind spot mirror • Drive to be kept clear of debris	Annually	Handyman Clerk Chairman V-Chairman

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					CCTV installation covering entrance to / exit of the JCH car park		
36	Injury or illness as a result of litter, dog faeces or broken glass on the field	Severe (physical, legal, financial reputational)	Unlikely	Medium	- Signage to advise people to keep dogs on leads and clear up afterwards - Regular inspection of field by handyman - Hirers advised to undertake manual inspection at start of hire, especially if children are involved	Annually	Handyman Clerk Chairman V-Chairman
37	Trips or falls in the picnic area	Moderate (physical)	Probable	Medium	- Furniture and area regularly inspected by handyman. - Any issues identified recorded and addressed.	Annually	Handyman Clerk Chairman V-Chairman
38	Footpath working group injury	Moderate (physical)	Probable	Medium	- No power tools to be used by the working group - Guidelines issued regarding good working practice - Third party insurance	Annually	Clerk Chairman V-Chairman
39	Defibrillator	Severe (physical)	Unlikely	Medium	4 weekly operational checks by administrator	Annually	Administrator Clerk
40	Cricket ball strike	Severe (physical)	Unlikely	Medium	- Warning signage on play area gates - Warning signage on JCH building - Cricket teams reminded of need for awareness of other users	Annually	Clerk Chairman V-Chairman