

Risk Assessment - Lyminge Parish Council

Approved: Full Council - 11th November 2024¹

Review due: By November 2025

RISK	RESPONSIBLE PARTY	POTENTIAL RISK IMPACT	RISK RATING	MITIGATION
Relating to finances				
Non-compliance with law/legislation/regulations	RFO PC	Legal action, financial penalties, loss of public support, lack of resources.	Medium	Membership to SLCC and KALC to guide legalities. Ensuring Clerk and RFO are suitably trained and councillors are aware of their responsibilities.
Failure of or insufficient internal controls	RFO	Increased risk of fraud, theft or corruption.	Medium	Insurance covering fraud, theft and corruption kept in place. Ongoing monitoring of the internal controls and regular review of the adequacy. Ongoing training of staff. Internal Audit.
Lack of finances	RFO	Ambitions of the council unable to be achieved. Unable to pay staff costs and other core costs.	Low	Annual budget planning with reserves being kept at a minimum of equal to six months' expenditure.
Extreme budget variation (over or under spend)	RFO	Overspend: Lack of finances, unable to complete planned projects, loss of public confidence. Underspend: Unable to justify precept requirement,	Medium	Regular monitoring of the budget. Well planned precept request and thought out projects including detailed costing.

¹ First created September 2024 - This is version one.

		loss of public support		
Fraud or theft of monies	RFO	Loss of monies, access to private information i.e bank details or personal data, loss of public confidence	Low	Regularly reviewed internal controls, regularly reviewing risk to the council and adopting feedback from the internal and external audits.
Failure to report finances and failure of financial procedures	RFO	Council unaware of the status of PC finances, lack of insight into expenditure, increased risk of overspending, increased risk of incorrect precept requirement.	Low	Internal and external audits. Regular budget monitoring reports, discussed by the Finance Committee but sent to the full council and published on the PC website.
Raising the correct precept to allow the PC to fulfil its statutory duties for the following year.	Clerk RFO	Incorrect amounts may leave the PC with inadequate funds, unable to complete statutory duties, unable to pay staff, unable to complete projects.	Low	In depth financial forecasting. Monthly figures on income and expenditure produced and given to the full council. Discussion around current income and expenditure plus any anticipated costs in the foreseeable future.
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Relating to assets				
Assets not appropriately maintained	Handyman Clerk	Increased risk of injury or death. Decreased lifespan of assets. Increased PC expenditure.	Low	A schedule of checks is adhered to and thorough reports are kept. Any issues are dealt with swiftly.

Assets poorly inspected or inspections poorly recorded	Handyman	Increased risk of insurance claims against the PC. Increased risk of asset failure and therefore increased risk of injury or death.	Low	Handyman has adequate training on how to complete inspections and how to properly record those inspections.
Poor utilisation of assets	Clerk RFO	Increased target for vandalism, increased risk of injury or asset failure	Low	Correct use is outlined, encourage usage of the asset as intended, ensure the asset is well maintained.
Injury or death	Clerk	Insurance claim against the PC, substantial reputational damage, morale decrease in staff and councillors, potential mental health implications with staff and councillors.	Low	Training is given to anyone who checks assets, thorough records are kept detailing any risks or wear and tear, photos are taken as part of the records. Any issues that can be corrected are corrected as soon as actionable.
Failure of asset	Clerk	Increased risk of injury or death, increased risk of insurance claims against the PC, urgent expenditure to correct the issue.	Low	Regular checks, including weekly by the handyman and an annual RoSPA certified check.
Adequate insurance	Clerk RFO	If a claim is brought and insurance is found to be inadequate, the PC would have to pay out of its own funds, funds which are	Low	Assets and risks are reviewed annually and insurance is purchased on that basis. Public Liability Insurance is included in this.

		public monies.		
Unwanted guests pitching caravans on green spaces	Clerk	Damage to assets, loss of open green space, litter, public outrage.	High	Bollards are being redone to increase strength and keep out intruders. Neighbouring parishes are informing each other of any instances they know of and whether any unwanted guests have been moved from their lands.
Vandalism	Handyman Clerk	Assets may be damaged beyond repair, or use. Increased risk of injury or death, increased expenditure for the PC which may result in overspending. Feeling that the parish is not safe.	Low	Regular inspections of assets. Minor vandalism i.e graffiti is removed or repaired shortly after discovery. Gang tags are reported to the local PCSO. Serious acts of vandalism are formally recorded and reported to the police. Insurance in place covering vandalism.
Damaged, diseased or protruding trees	Clerk PC	Risk of injury and death, risk of damage to property, risk of damage to services i.e phone lines.	Medium	Annual review completed by a qualified arboriculturalist. Councillors and Officers are encouraged to be vigilant about trees and their status. In depth Tree Management Policy detailing procedures related to trees.
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Relating to employees/councillors				
Absence of staff through sickness or resignation etc	PC	The PC will not be able to function properly, loss of service, likely increased risk due to lack of knowledge	Medium	A suitable notice period is required for any employees who wish to leave the council. The PC aims to treat employees in such a way that will not cause undue stress, worry or illness.

HR issues / Employment Tribunal	PC	Substantial financial expenditure, impact on morale, poor public perception	Medium	The PC has instructed WorkNest who are on hand to give professional HR advice and guidance. Best practice is followed at all times to limit any risk.
Timescales not achieved i.e planning applications	PC Clerk	Loss of public support, damage to the PC's reputation, planning applications not having any input from the PC	Low	The Planning Committee meets every three weeks and any application not able to be dealt with by them will be taken to Full Council.
Breach of GDPR/Data Protection Act	Clerk PC RFO Handyman	Financial penalties, loss of public confidence, risk of fraud to the victim	High	Email addresses BCC'd in, no personal data left on documents that are being shared, personal data is confidential and not circulated to councillors. Further training should be given as GDPR is breached by councillors. Any breaches are recorded and, when necessary, reported to the ICO outlining the severity and any measures taken following.
Breach of confidentiality	PC Clerk	Loss of public confidence and support, breach of GDPR, release of personal data, increased risk of fraud, confidential documents available in the public realm, financial penalties.	Medium	Training on data protection given, confidentiality covered in Code of Conduct, employment contracts and the Employee Handbook.
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Relating to the community				
Holding community events (including meetings)	Clerk PC	Poor planning, loss of funds, risk to public money, lack of proper risk assessment, event cancellation	Low	Ensure that all required paperwork is in place for each event. Ensure that weather is closely monitored for outdoor events. Ensure that Financial Regulations are adhered to and that an appropriate risk assessment is completed ahead of the event. Ensure that insurance coverage is adequate.
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Other				
Clerk laptop failure	PC Clerk	Loss of data, loss of documents	Low	All important documents are available online or stored in a paper version. Regular updates are given to the laptop.
Clerk laptop hacked or seriously compromised	PC Clerk	Loss of data, loss of documents, breach of GDPR, new security measures required	Low	The laptop has antivirus and antimalware installed. Passwords are hard to guess and important documents are password protected.
Major emergencies	Clerk PC	Damage to property, loss of life, injury, costs to repair, public panic	Low	An emergency plan is currently being produced in liaison with Communities Prepared to cover incidents such as flooding, fire etc.