

Risk Management Matrix

1. Assessment

1.1 Likelihood:

Score	Descriptor	Description
1	Rare	<i>Extremely unlikely to happen/recur. May occur in exceptional circumstances. Has never happened before or don't think it will happen again</i>
2	Unlikely	<i>Unlikely to occur/reoccur but not impossible. Rarely occurred before, less than once a year. Could happen at some time</i>
3	Possible	<i>May occur/reoccur but not definitely. Has happened before but only occasionally, once or twice a year</i>
4	Likely	<i>Will probably occur/reoccur. Has happened before but not frequently, less than once a month. Will occur at some time</i>
5	Almost certain	<i>Continuous expose to risk. Has happened before regularly and frequently. Is expected in most circumstances. Occurs on a monthly basis</i>

1.2 Consequence:

Score	1	2	3	4	5
Potential harm/loss	Insignificant	Minor	Moderate	Major	Catastrophic
Impact on the person	<i>No obvious injury or treatment required</i>	<i>Minor injury. First aid required</i>	<i>Moderate injury. Medical intervention required</i>	<i>Single permanent injury</i>	<i>Fatal, multiple injuries or lifelong disablement</i>
Impact on continuity of service	<i>None</i>	<i>Minor loss of non-critical service</i>	<i>Loss of services in one critical area</i>	<i>Extended loss of service in a critical area</i>	<i>Loss of multiple services in critical areas</i>
Impact on resources in managing complaints or claims	<i>Any concern dealt with at a local level</i>	<i>Informal complaint or low risk of formal complaint</i>	<i>Formal complaint or legal action</i>	<i>Civil proceedings or claim against the Council</i>	<i>Criminal prosecution or Audit Commission investigation</i>
Impact on reputation or public confidence	<i>No public or media interest</i>	<i>Public attention or local newspaper interest</i>	<i>High local public and media interest. Local MP interest</i>	<i>Public demand for action. Regional media interest. Local MP involved</i>	<i>National media interest. Ministerial or public enquiry</i>
Impact on resources – financial loss	<i>< £500</i>	<i>Between £500 and £1,000</i>	<i>Between £1,000 and £5,000</i>	<i>Between £5,000 and £25,000</i>	<i>> £25,000</i>
Impact on achievement of quality standards	<i>Minor non-compliance with standards</i>	<i>Single failure to meet internal standards</i>	<i>Repeated failure to meet internal standards</i>	<i>Failure to meet national standards</i>	<i>Failure to meet multiple national standards</i>

2. Risk score – likelihood x consequence

Likelihood	Consequence				
	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Catastrophic
1 Rare	1	2	3	4	5
2 Unlikely	2	4	6	8	10
3 Possible	3	6	9	12	15
4 Likely	4	8	12	16	20
5 Almost certain	5	10	15	20	25

3. Action to be taken based on risk score

1-4 Low risk	5-10 Moderate risk	12-16 Significant risk	20-25 Extreme risk
<i>The majority of control measures are in place. Risk subject to annual review and will be reduced as part of long-term programme</i>	<i>There is a moderate probability of major harm or a high probability of minor harm if control measures are not implemented. Prioritised action plan required with timescales. To be monitored and reviewed six monthly</i>	<i>Significant probability that major harm will occur if control measures are not implemented. Urgent action is required. Consider stopping procedures. Actions to be monitored until in control. Review quarterly</i>	<i>Where appropriate, stop contributing procedures immediately. Controls to be implemented with the highest priority and monitored until risk score reduced. Review monthly.</i>

4. Risk Register

No	Description	Risk	Current			Existing Controls	Further actions	Target			Lead
			L	C	LxC			L	C	LxC	
1	Fire or flood in public building	Serious harm to staff, members, volunteers or the public. Serious damage to the building	2	5	10	Fire detectors in Market House Fire extinguishers and emergency exit signs in all buildings Sufficient building/contents insurance in place to cover cost of rebuild, repairs and replacement Sufficient public liability insurance in place to cover any claims Annual fire safety checks Fire prevention and evacuation briefing sheets for users of each building Carbon monoxide detector fitted to Parish Hall Fire alarm system fitted in the Parish Hall Fire alarm testing procedure to be developed	Fit carbon monoxide detectors in the Pavilion	2	4	8	Parish Clerk Admin. Asst.
2	Loss of records, paper or electronic	Inability to conduct business without historical records and/or failure to meet statutory retention requirements	1	4	4	Burial ground map copied to paper Office365 and MPC OneDrive set up Outlook backed up in Office 365		1	4	4	Parish Clerk

No	Description	Risk	Current			Existing Controls	Further actions	Target			Lead
			L	C	LxC			L	C	LxC	
3	Fraud	Public resources in the charge of the Parish Council are misappropriated	1	4	4	Financial Regulations reviewed annually Every payment has to be authorised by two members No cash kept on premises Receipts and payments, including invoices and bank statements independently checked monthly by the Chairman of the Finance Committee and a full reconciliation conducted Independent internal and external audit		1	4	4	Parish Clerk
4	Civil emergency	Martock is unable to respond appropriately to a civil emergency in the local area	1	4	4	Emergency Plan and Committee in existence and now includes flood management procedures Independent and experienced coordinator appointed Annual desktop rehearsal conducted Exercise "Defendo" held in 2012 with SCC, SSDC and Emergency Services Flood management procedures successfully implemented for real in late 2013/early 2014 All PC members have a copy of the Emergency Plan Annual briefs to Parish Council Annual review of the Emergency Plan with the coordinator	Annual meeting of Emergency Plan Group	1	4	4	Parish Council

No	Description	Risk	Current			Existing Controls	Further actions	Target			Lead
			L	C	LxC			L	C	LxC	
5	Conflict of interest	A PC member makes a judgement or speaks and/or votes on a resolution in order to further his/her own interests	2	4	8	Register of Members' Interests regularly updated and publicly available Item on each PC agenda requesting declarations of interest Code of Conduct in place Parish Clerk has delegated independent authority to issue or refuse dispensations		2	4	8	Parish Clerk
6	Accident on parish property	A staff member, councillor, volunteer or member of the public is injured or killed whilst engaged in PC business or on PC property	1	5	5	Health & Safety Policy reviewed annually and available for everyone Regular staff meetings and volunteer sessions Full Public and Employer's Liability insurance held Regular safety checks of publicly used equipment Annual Review of hire forms to ensure that risk assessments and insurance details are required from those groups hiring council assets Risk assessments for key activities and facilities		1	5	5	Parish Clerk

No	Description	Risk	Current			Existing Controls	Further actions	Target			Lead
			L	C	LxC			L	C	LxC	
7	Lack of protection to vulnerable persons	The PC or a person, group or club using PC facilities fails to meet its safeguarding responsibilities, resulting in harm to a vulnerable person	2	4	8	Safeguarding of Vulnerable Adults and Children Policy Annual review of Safeguarding of Vulnerable Adults and Children Policy Community Services Coordinator appointed as PC lead for safeguarding BOS Committee to ensure booking forms include a section requiring compliance with the Council's Safeguarding policy		2	4	8	Parish Clerk CSC
8	Inadequate succession planning	A key member leaves the PC without a suitable replacement being identified and accepting the role	2	3	6	Active recruitment campaigns for new Parish Councillors as required Induction pack and training for new PC members		2	3	6	Parish Council
9	Loss of key staff	A key member of staff leaves PC employment without a suitable replacement being identified and recruited	2	4	8	Three months' notice required by members of staff leaving the PC's employment Tested recruitment process in place Good liaison with current staff on future career intentions Handbook for buildings complete with contact list for service providers Parish Clerk, RFO and Admin Assistant appointments provide more continuity Comprehensive process notes to be prepared and available Second Omega user to be trained up		1	4	4	Parish Clerk CSC

No	Description	Risk	Current			Existing Controls	Further actions	Target			Lead
			L	C	LxC			L	C	LxC	
10	Poor staff performance	Poor performance, negligence or misconduct by a member of staff potentially resulting in a loss or the Parish Council brought into disrepute	1	4	4	Disciplinary policy and procedure in place Rigorous staff performance and development appraisal process introduced with targets set and monitored for each staff member Personnel Sub-Committee established		1	4	4	Parish Council
11	Claims against the PC	A civil claim, action or injunction is brought against the PC resulting in an unaffordable court settlement or serious sanction	2	3	6	£10 million public liability insurance cover in place Use of professional contract administrators for high value projects Budgets increased to cover action	Further reserves to be built up in future precepts	2	3	6	Parish Council
12	Project slippage	A PC project is delayed such that its outputs are not provided within the required timescales, funding is withdrawn by a grant provider or project costs are escalated or slip from one year to the next	2	3	6	Use of professional contract administrators and/or project managers for high value projects Maintain close liaison with grant providers PC budget not subject to annualisation restrictions Fundraiser post filled Sufficient risk contingency built into project budgets Responsible councillors appointed to project teams Appropriate governance of major projects	None	2	3	6	Parish Council
13	Unaffordable new need	A community need is identified for which insufficient contingency funding is available	2	3	6	Potential to vire budget allocations Potential for priority funding from SCC or SSDC Ability to borrow from the PWLB	None	2	3	6	Parish Council

No	Description	Risk	Current			Existing Controls	Further actions	Target			Lead
			L	C	LxC			L	C	LxC	
14	Budget overspend	Expenditure in any financial year exceeds the overall budget available	1	4	4	<p>Annual budget and precept planning process</p> <p>Spend against budget lines monitored monthly and reconciled with receipts and payments</p> <p>Ability to vire budgets in-year</p> <p>Committee chairs to be held responsible for managing their own budget lines in line with the Financial Regulations</p> <p>RFO appointed to provide segregation of duties</p>	Review contingency allocation against best practice	1	4	4	Parish Council