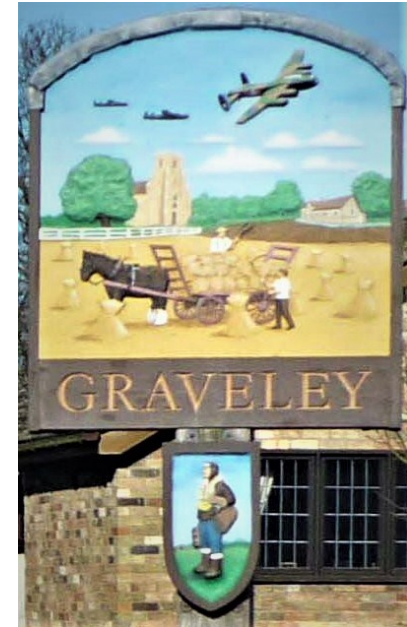


General Risk Assessment



Document Configuration Management & Control

Version	Description	Originated	Approved	Minute Ref.
Version 1	Annual Review	11/01/2023	23/05/2023	23/24-35.1

General Risk Assessment for Graveley Parish Council

'Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements.' Audit Commission, Worth the Risk: Improving Risk Management in Local Government, (2001: 5)

Risk management is an essential feature of good governance. An organisation that manages risk well is more likely to achieve its objectives. It is vital to recognise that risk management is not simply about health and safety but applies to all aspects of Graveley Parish Council's work.

This document has been created to enable Graveley Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate measures to control them. Graveley Parish Council is aware that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic, and focussed approach to managing risk, which:

- Identifies the key risks facing the council
- Identifies what the risk may be
- Identifies the level of risk
- Evaluates the management and control of the risk and records findings
- Reviews, assesses, and revises procedures if required.

Assets

No	ITEM	HAZARD	THOSE IN DANGER	SEVERITY 1-10	LIKELIHOOD 1-10	RISK RATE	MEASURES /COMMENTS	RESULT
A1	Notice Board	Vandalism Impact Damage Cost of Replacement	Pedestrians	4	1	4	Dated insurance, including Public Liability	A

No	ITEM	HAZARD	THOSE IN DANGER	SEVERITY 1-10	LIKELIHOOD 1-10	RISK RATE	MEASURES /COMMENTS	RESULT
A2	Streetlights	Vandalism Impact damage Cost of Replacement	Pedestrians	4	4	16	Dated insurance, including Public Liability Make contingency provision in Parish Council Reserves	A
A3	Village Sign	Vandalism Impact damage Cost of Replacement	Pedestrians	4	4	16	Dated insurance, including Public Liability	A
A4	Laptop & Printer	Cost of replacement Repair cost Accidental Damage	Clerk Councillors Parishioners	4	4	16	Dated Insurance Including Public Liability	A

Management

No	ITEM	HAZARD	PERSONS IN DANGER	SEVERITY 1-10	LIKELIHOOD 1-10	RISK RATE	MEASURES /COMMENTS	RESULT
M1	Failure to attract sufficient candidates for Councillor vacancies or elections	Reduced representation of neighbourhoods Lack of resource Possible meeting inquorate	Councillors	2	2	4	Actively publicise Council activities Seek candidates amongst friends and colleagues Publicise elections & vacancies on notice boards Publicise elections & vacancies in 6 Villiages and on website /Facebook	A

No	ITEM	HAZARD	PERSONS IN DANGER	SEVERITY 1-10	LIKELIHOOD 1-10	RISK RATE	MEASURES /COMMENTS	RESULT
M2	Failure to achieve quorum at meetings	Business not transacted Decisions not made	Councillors Clerk	1	3	3	Issue annual meeting calendar to all Councillors Issue meeting agendas promptly Record attendance Contact Councillors who fail to attend meetings	T
M3	Lack of public consultation by Council	Decisions not based on evidence People disenfranchised	Councillors	1	2	2	Ensure meetings publicised on notice boards Use Annual Parish Meeting Place articles in 6 Villages Include public participation on all agendas Ensure seating available at meeting for public Provide advice for Councillors of the public attending Publish agendas and minutes on website	T
M4	Failure to respond to electors wishing to exercise right of inspection	Complaints received Not transparent Non-compliance	Clerk	1	2	2	Clerk to advertise facility, and respond to requests	A
M5	Councillors acting alone outside meetings	Councillors outside compliance Indemnities invalid Personal risk	Councillors	2	2	4	Obtain and read 'Good Councillor Guide' Avoid making commitments on behalf of the council Attend relevant training course	A
M6	Council decisions not implemented	Confidence undermined Reputation risk arises Possible losses	Clerk	1	4	4	Clerk to publish marked unapproved minutes to be considered at next meeting	A
M7	Inaccurate, untimely, improper minutes	Poor decisions in future Poor evidence for decisions	Clerk	1	3	3	Clerk to check minutes with Councillors not more than 10 working days after meeting Minutes published unapproved	A

No	ITEM	HAZARD	PERSONS IN DANGER	SEVERITY 1-10	LIKELIHOOD 1-10	RISK RATE	MEASURES /COMMENTS	RESULT
M8	Inadequate document control	Poor evidence Poor support to Councillors	Clerk	1	2	3	Clerk to establish filing and retrieval system Clerk to enforce document version control	A
M9	Failure to recognise and address conflict of interest	Lack of transparency Open to complaints of fairness or bias	Councillors Clerk	1	2	2	Councillors to review Code of Conduct	A
M10	Incomplete/inaccurate register of Councillors' interests	Lack of transparency Open to complaints of fairness or bias	Councillors	1	2	2	Councillors to review Code of Conduct	A
M11	Loss of data on PC due to system fault	Interruption to effective administration Possible financial loss	Clerk	1	4	4	External hosting with back up using Microshade	A
M12	Lack of professional advice	Poor decisions Costs and waste Possible noncompliance	Clerk	2	2	4	Maintain Membership of CAPALC, NALC and SLCC	A
M13	Loss of services of Parish Clerk	Interruption to effective administration	Councillors Clerk	2	2	2	Locum Panel of experienced Parish and Town Clerks provided by the Society of Local Council Clerks able to assist in an emergency	A
M14	Lack of defined objectives or strategy	Resources not directed Poor performance Risks not base lined	Councillors	1	2	2	Council to produce an agreed Action Plan	A

No	ITEM	HAZARD	PERSONS IN DANGER	SEVERITY 1-10	LIKELIHOOD 1-10	RISK RATE	MEASURES /COMMENTS	RESULT
M15	Lack of public participation at meetings	Public voice not heard Potential lack of interest in vacancies Lack of transparency	Councillors	1	2	2	Ensure meetings publicised on notice board Place articles in 6 Villages Include public participation on all agendas Ensure seating available at meeting for public Provide advice for Councillors of the public attending Publish agendas and minutes on website	A
M16	Allegations of libel or slander	Potential for litigation Costs of investigation Reduces confidence	Councillors	1	3	3	Clerk to intervene at meetings Review all press releases or newsletter articles before release Adequate Insurance Cover	A
M17	Bad publicity	Reduces confidence	Councillors Clerk	1	3	3	Review all press releases or newsletter articles before release Manage press relations	A
M18	Non-compliance with data protection	Litigation Poor reputation	Councillors Clerk	1	3	3	Clerk to monitor	A
M19	Failure to correctly identify local needs or wishes	Council does not represent the people Resources not applied Democratic deficit	Councillors	1	3	3	Maintain close contact with local residents Advertise parish meetings to obtain residents' feedback Use questionnaires to identify local wishes Publicise plans and invite comments	A

Financial

No	ITEM	HAZARD	PERSONS IN DANGER	SEVERITY 1-10	LIKELIHOOD 1-10	RISK RATE	MEASURES /COMMENTS	RESULT
F1	Financial	Misappropriation of Council Funds Financial loss	Public Services	1	2	2	All Banking Arrangements and changes to banking services approved by the council and recorded in the minutes Pay invoices by cheque/internet banking Two councillors to sign each cheque, invoice and Cheque stub. Internet Banking two Councillors to authorise online. Annual scrutiny of all Financial Records by internal auditor.	A
F2	Income Ensuring that all requirements are met under custom & excise regulations	Unable to fulfil responsibilities	Public Service	1	2	2	Ensure Council understands and complies with current VAT legislation	A
F3	Failure to complete/submit Annual Return on time	Poor Auditors report Public confidence suffers	Clerk	1	3	3	Clerk to maintain diary	A
F4	Improper contracting procedures	Possible losses Poor levels of service Possible increased costs	Clerk	1	3	3	2015 national model adopted Separate financial regs Clerk adequately trained	A
F5	Accidental damage to fixed assets	Costs of repair Loss of service until repaired	Clerk	2	2	4	Maintain insurance	A

No	ITEM	HAZARD	PERSONS IN DANGER	SEVERITY 1-10	LIKELIHOOD 1-10	RISK RATE	MEASURES /COMMENTS	RESULT
F6	Orders for Work, goods and services Monitoring of performances against agreed standards under partnership agreements	Unable to fulfil responsibilities	Public Service	1	2	2	Reviewed at internal audit	A
F7	Vandalism to fixed assets	Costs of repair Loss of service until repaired	Clerk	3	2	6	Maintain inspection regime Maintain insurance Liaison with Police	A
F8	Loss to third parties	Possible litigation Costs/damages	Clerk	1	3	3	Review health & safety ensure adequate insurance check contractors insurance	A
F9	Inadequate insurance	Balance of costs to be found	Clerk	1	4	4	Council to review annually or if circumstances change	A
F10	Failure to calculate/submit precept on time	Inadequate resources to meet commitments Costs of re-billing	Clerk	1	3	3	Clerk to respond to South Cambs District Council notices Agenda item for Councillors to consider and approve.	A
F11	Inadequate annual precept and unsound budget	Inadequate resources to meet commitments	Councillors	1	4	4	Clerk and Councillors to build sound budget, using risk register and known commitments. Councillors to consider Reserves Policy	A
F12	Failure to account for and recover VAT	Wasted resources	Clerk	1	3	3	Clerk to review Internal auditor to check	A

No	ITEM	HAZARD	PERSONS IN DANGER	SEVERITY 1-10	LIKELIHOOD 1-10	RISK RATE	MEASURES /COMMENTS	RESULT
F13	Failure to stay within agreed budgets	Inadequate control Potential wasted resources	Councillors	1	2	2	Clerk to review Internal auditor to check Reserves Policy to mitigate short-term impact of loss.	A
F14	Holding excessive or inadequate reserves	Auditors report Poor use of resources Inability to meet commitments	Councillors	2	3	6	Clerk to review as part of budgeting Reserves Policy to set percentage of precept. Council to review size of Reserves	A
F15	Fraud by Clerk	Reputation Costs, Litigation	Clerk	1	3	3	Adequate internal audit Regular reporting to Councillors Control systems for managing expenditure	A
F16	Fraud by Councillors	Reputation Costs, Litigation	Clerk	1	3	3	Adequate internal audit Regular reporting to Councillors Control systems for managing expenditure	A
F17	Inadequate awareness of relevant legislation	Failure to comply	Councillors Clerk	2	3	6	Maintain membership of CAPALC/NALC Clerk to train/qualify	A
F18	Failure to comply with relevant legislation	Litigation Costs Reputation damage	Councillors Clerk	2	3	6	Maintain membership of CAPALC/NALC Clerk to maintain training Liaise with internal and external auditors	A
F19	Failure to maintain fixed assets register	Improper control Poor auditor's report	Clerk	1	2	2	Council to review Internal audit to review	A
F20	Improper financial records	Potential for wasted resources	Clerk	1	2	2	Internal audit to review	A

No	ITEM	HAZARD	PERSONS IN DANGER	SEVERITY 1-10	LIKELIHOOD 1-10	RISK RATE	MEASURES /COMMENTS	RESULT
F21	HMRC requirements not met	Costs Litigation	Clerk	1	3	3	Clerk to liaise as necessary	A
F22	Failure to comply with deadlines for accounts and returns	Poor auditor's report Reduction in confidence	Clerk	1	2	2	Clerk to liaise with internal and external audit	A

Results Key – T = TRIVIAL RISK A = ADEQUATELY CONTROLLED RISK N = NOT ADEQUATELY CONTROLLED U = UNABLE TO DECIDE (MORE INFORMATION REQUIRED)

RISK ASSESSMENT CARRIED OUT BY: Nicola Webster DATE: 23/05/2023 Signature:

Risk Assessment Scoring Matrix

Likelihood	Severity					
	Multiple Death (10)	Single Death (8)	Major Injury (6)	Lost Time Injury (4)	Minor Injury (2)	Delay (1)
Certain (10)	100	80	60	40	20	10
Very Likely (8)	80	64	48	32	16	8
Likely (6)	60	48	36	24	12	6
May Happen (4)	40	32	24	16	8	4
Unlikely (2)	20	16	12	8	4	2
Very Unlikely (1)	10	8	6	4	2	1

Score	Priority	
1 – 16	LOW	Action is required to reduce the risk, although low priority.
17 – 36	MEDIUM	Action required to control. Interim measures may be necessary in the short term.
37 – 100	HIGH	Action required urgently to control risks. Unacceptable. Immediate action required.