

*General Risk Assessment*

Document Configuration Management & Control

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General Risk Assessment for Hilton 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 Hilton Parish Council’s work.

This document has been created to enable Hilton Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate measures to control them. Hilton 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 | Jubilee Playground | Play Equipment  Vandalism  Cost of Replacement | Injury to people using Play Equipment | 8 | 4 | 32 | Monthly written inspection actioned by a Maintenance Person.  Annual inspection carried out by  ROSPA  Dated Insurance including Public Liability. | A |
| A2 | Fencing at Play Area &  Signage | Vandalism  Repair cost  Cost of Replacement | Pedestrians | 4 | 4 | 16 | Dated insurance including Public Liability | A |
| A3 | Trees on the Green including in the Grove | Falling Branches/ Debris | Injury to Pedestrians, pets and vehicles | 8 | 4 | 32 | Annual Visual inspection of trees by Tree Warden and Tree Surgeon    Dated Insurance including  Public Liability | A |
| A4 | Pavilion | Vandalism  Repair cost  Cost of Replacement | Pedestrians | 4 | 4 | 16 | Dated insurance including Public Liability | A |
| A5 | Bus shelter | Impact damage  Vandalism  Cost of Replacement | Pedestrians | 4 | 4 | 16 | Repair cost  Dated insurance including  Public Liability | A |
| A6 | Wilderness Gate and Fencing on the Green | Vandalism  Repair costs  Cost of Replacement | Pedestrians | 4 | 4 | 16 | Repair cost  Dated insurance including  Public Liability | A |
| A7 | Lych Gate Memorial | Cost of replacement  Damage to Memorial  Vandalism | Loss of Heritage | 1 | 4 | 4 | Dated insurance, including  Public Liability | A |
| A8 | Maze | Cost of repair  Damage to Monument  Vandalism | Loss of Heritage | 1 | 4 | 4 | Dated insurance, including  Public Liability | A |
| A9 | Information Board at the Maze | Vandalism  Cost of Replacement | Pedestrians | 4 | 1 | 4 | Dated insurance, including  Public Liability | A |
| A10 | Notice Board at the Shop | Vandalism  Impact Damage  Cost of Replacement | Pedestrians | 4 | 1 | 4 | Dated insurance, including  Public Liability | A |
| A11 | Notice Board in Westbrook | Vandalism  Impact Damage  Cost of Replacement | Pedestrians | 4 | 1 | 4 | Dated insurance, including  Public Liability | A |
| A12 | Notice Board outside Village Hall | Vandalism  Impact Damage  Cost of Replacement | Pedestrians | 4 | 1 | 4 | Dated insurance, including  Public Liability | A |
| A13 | 10 park benches and 4 picnic benches | Vandalism  Impact damage  Cost of Replacement | Pedestrians | 4 | 4 | 16 | Dated insurance, including  Public Liability    Make contingency provision in  Parish Council Reserves | A |
| A14 | Football goal posts | Vandalism  Impact damage  Cost of Replacement | Pedestrians | 4 | 1 | 4 | Dated insurance, including  Public Liability | A |
| A15 | Streetlights | Vandalism  Impact damage  Cost of Replacement | Pedestrians | 4 | 4 | 16 | Dated insurance, including  Public Liability    Make contingency provision in  Parish Council Reserves | A |
| A16 | Village Sign | Vandalism  Impact damage  Cost of Replacement | Pedestrians | 4 | 4 | 16 | Dated insurance, including  Public Liability | A |
| A17 | Bridge on the Green | Vandalism  Impact damage  Cost of Replacement | Pedestrians | 4 | 4 | 16 | Dated insurance, including  Public Liability    Make contingency provision in  Parish Council Reserves | A |
| A18 | Beacon | Vandalism  Impact damage  Cost of Replacement | Pedestrians | 4 | 4 | 16 | Dated insurance, including  Public Liability | A |
| A19 | 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 Spectrum and on website /Facebook | A |
| 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 Spectrum  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 |
| 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 hard-drive  Monthly back up | 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 |
| 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 Spectrum  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 Finance Committee & 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  Playground inspection regime established. | A |
| 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 Huntingdonshire 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 |
| 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 |
| 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: 06/02/2021 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. |