

THURTON PARISH COUNCIL

General Risk Assessment

General Risk Assessment updated November 2022. Next review due July 2024 Produced by T Higlett - Clerk

Foreword “The greatest risk facing a local authority is not being able to deliver the activity or services expected of the 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. It is vital to recognise that risk management is not simply about health and safety but applies to all aspects of Thurton Parish Councils work.

This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate measures to control them. The 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:

This Risk Assessment;

- 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, when significant changes in activities or risks occur

Assets

Risk No	Item	Hazard	Affected	Severity 1 – 10	Likelihood 1 -10	Risk Rate	Measures	Result
A1	Bus Shelter	Impact damage Vandalism Cost of replacement	Pedestrians	3	3	9	Repair cost, Dated Insurance including public liability	A
A2	PROW Information Lectern junction of A146 and School road	Impact damage Vandalism Cost of replacement	Pedestrians	4	1	4	Dated Insurance including public liability	A
A3	Parish Noticeboard outside school	Impact damage Vandalism Cost of replacement	Pedestrians	4	1	4	Dated Insurance including public liability	A
A4	Village sign	Vandalism Impact damage Cost of replacement	Pedestrians	3	2	6	Dated Insurance including public liability	A
A5	Laptop and Printer	Cost of replacement Repair cost Accidental damage	Clerk Councillors Parishioners	2	2	4	Dated Insurance including public liability	A

Management

Risk No	Item	Hazard	Affected	Severity 1 -10	Likelihood 1- 10	Risk Rate	Measures	Results
M1	Failure to attract sufficient candidates for councillor vacancies or election	Reduced representation. Possible meeting inquorate	Councillors	2	2	4	Publicise vacancies or election on noticeboards and website. Speak to friends and colleagues about vacancies	A
M2	Failure to achieve quorum at meetings	Decisions not made Business not transacted	Councillors Clerk	1	2	2	Record Attendance. Meeting information out promptly Contact councillors who fail to attend meetings	A
M3	Councillors acting alone outside of meetings	Personal Risk Councillors outside compliance	Councillors	2	2	4	Avoid making commitments on behalf of the council. Attend relevant training courses Issue and read Hood Councillor Guide	A
M4	Council decisions not implemented	Confidence undermined Reputation risk arises	Clerk	1	4	4	Clerk to publish draft unapproved minutes on website and noticeboard.	A
M5	Inaccurate, untimely minutes	Poor decisions in future Poor evidence for decisions	Clerk	1	3	3	Clerk to check minutes with chair not more than 14 working days after meeting prior to sending out to councillors	A
M7	Failure to recognise and address conflict of interest	Lack of transparency Open to complaints of bias	Councillors Clerk	1	2	2	Councillors reminded of Code of Conduct	A

Risk No	Item	Hazard	Affected	Severity 1 -10	Likelihood 1- 10	Risk Rate	Measures	Results
M8	Loss of data on PC due to failure	Interruption to effective administration Possible financial loss	Clerk	1	4	4	External Hard drive Monthly back up	A
M9	Lack of professional advice	Poor decisions Possible non compliance	Clerk	2	2	4	Membership to NALC and SLCC Training	A
M10	Loss of services of clerk	Interruption to effective administration	Councillors Clerk	2	2	2	Approach Norfolk Association of Local Council Clerks and Norfolk Training Partnership for assistance in appointing a Locum	A
M11	Non-compliance with Data Protection	Litigation Poor reputation	Councillors Clerk	1	3	3	Clerk to monitor	A
M12	Failure to identify local needs and wishes	Council not representing its constituents	Councillors	1	3	3	Publicise plans and invite comments Maintain contact with residents Advertise parish meetings	A
M13	Lack of proper communications	Breach of LGA Breach of Audit regulations Breach of transparency code for smaller authorities	Council Public	1	2	2	Noticeboard regularly updated Website regularly updated Clerks contact details available on noticeboard and website All councillors have full contact details for each other	A
M14	Personal Accident to Councillor, clerk, or voluntary worker	Legal action by employee Public or Volunteer	Council	1	2	2	Comprehensive Insurance purchased. Risk Assessments maintained	A

M15	Libel and Slander claim Legal Expenses accrued	Legal action by employee Public or Volunteer	Council	1	2	2	Media relations policy in force to guide Councillors and clerk in dealing with the public and media	A
M16	Clerk or Councillor acts ultra vires	Council brought into disrepute	Council Clerk	2	2	4	Councillors and clerk offered regular training sessions Policies and advice available from Clerk NALC advisory service available to all	A

Financial

Risk No	Item	Hazard	Affected	Severity 1 -10	Likelihood 1- 10	Risk Rate	Measures	Results
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 Two councillors to sign each cheque and cheque stub. Internal audit carried out by councillor	A
F2	Income HMRC regulations are met	Unable to fulfil responsibilities	Public service	1	2	2	Ensure clerk/councillors understands and complies with VAT legislation	A
F3	Failure to complete/submit Annual Return on time	Poor auditors report Public confidence suffers	Clerk	1	2	2	Clerk to maintain diary	A
F4	Accidental damage to fixed assets	Costs of repair Loss of service until repaired	Clerk	2	2	4	Maintain Insurance	A
F5	Improper contracting procedures	Possible increased costs Poor level of service	Clerk	1	3	3	Clerk adequately trained Financial regulations adopted	A
F6	Inadequate Insurance	Balance of costs to be found	Clerk	1	4	4	Council to review annually or if circumstances change	A
F7	Failure to recover VAT	Wasted resources	Clerk	1	2	2	Clerk to review Internal auditor to check	A

Risk No	Item	Hazard	Affected	Severity 1 -10	Likelihood 1- 10	Risk Rate	Measures	Results
F8	Failure to calculate/submit precept on time	Inadequate resources to meet commitments	Clerk	1	2	2	Agenda item to councillors to consider and approve. Clerk to respond to South Norfolk Council correspondence.	A
F9	Inadequate annual precept and unsound budget	Inadequate resources to meet commitments	Councillors	1	2	2	Clerk and councillors to build sound budget using known commitments.	A
F10	Failure to stay within budget	Inadequate control	Councillors	1	2	2	Clerk to review	A
F11	Holding excessive or inadequate reserves	Auditors report Poor use of resources Inability to meet commitments	Councillors	2	2	4	Clerk to review as part of budgeting	A
F12	Fraud by Clerk	Reputation Costs, Litigation	Clerk	1	2	2	Adequate internal audit Regular reporting to councillors Control measures in place for spending	A
F13	Fraud by Councillors	Reputation Costs, Litigation	Clerk	1	2	2	Adequate internal audit Regular reporting to councillors Control measures in place for spending	A
F14	Improper financial records	Potential for wasted resources	Clerk	1	2	2	Internal audit	A
F15	Failure to maintain fixed assets register	Improper control Poor auditors report	Clerk	1	2	2	Council to review Internal audit	A

No	Item	Hazard	Affected	Severity 1 -10	Likelihood 1- 10	Risk Rate	Measures	Results
F16	Failure to comply with relevant legislation	Reputation damage Costs, Litigation	Councillors Clerk	2	2	4	Membership to NALC and SLCC Clerk to attend training	A
F17	Failure to spend CIL during 5 year time limit	Inadequate control	Clerk	1	2	2	Clerk completes CIL return and sends it to SND	A

Risk Scoring = Severity x Likelihood (S x L)

For grading risk, the scores obtained from the risk matrix are assigned grades as follows:

1 - 3 = Low Risk, easy measures implemented immediately and further action planned for when resources permit

4 -10 = Moderate Risk Actions implemented as soon as possible but no later than a year

12 -16 = High Risk Actions implemented as soon as possible but no later than six months

20 - 25 = Extreme Risk Requires urgent action.

Results key: - **A** = Adequately controlled, **N** = Not Adequately controlled