

HOLME VALLEY PARISH COUNCIL – RISK ASSESSMENT

APPROVED at F&M 15 April 2024

Risk Description	Likelihood	Potential Impact	Priority of risk management	Measures Taken/Controls	Recommendations/Actions Required	By date	Person responsible
Business continuity: Risk of Council not being able to continue its business due to unexpected circumstances. FINANCIAL, OPERATING	1 – unlikely	3 – severe	1x3=3 MEDIUM	<p>All Council files are in the cloud, - Dropbox.</p> <p>Council should have 25% of net revenue expenditure as general reserves as contingency fund.</p>	A Business Continuity Plan is being drawn up	Spring 2024	Clerk with Officers
Precept/Income: Risk of Parish Council not having sufficient funds to deliver budget/services. FINANCIAL, OPERATING, STRATEGIC	1 – unlikely	3 – severe	1x3=3 MEDIUM	<p>Approval of budget by full Council and regular budget monitoring statements.</p> <p>Methodical budget-setting process with all Committees and Council. Oversight by Finance and Management Committee.</p> <p>Regular budget monitoring report to Finance & Management Committee or full Council.</p> <p>Movements of reserves and virements if needed. Ensure the Parish Council has adequate general reserves.</p>	A Business Continuity Plan is being drawn up	Spring 2024	Clerk with Officers
Loss of Income or the need to provide essential services: FINANCIAL, OPERATING, STRATEGIC	1 – unlikely	3 – severe	1x3=3 MEDIUM	<p>Contingency fund (general reserves). Level agreed as part of annual budget process.</p> <p>General reserves should be around 25% of net revenue expenditure or c25% of precept.</p>	Regular monitoring of the levels of general reserves.	Monthly, ongoing	RFO

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<p>Financial Records:</p> <p>Risk of not keeping proper financial records in accordance with statutory requirements.</p> <p>COMPLIANCE</p>	<p>1 – unlikely</p>	<p>2 – negligible</p>	<p>1x2=2 LOW</p>	<p>Regular scrutiny of financial records and approval of pending expenditure by Council/F&M.</p> <p>Records kept in accordance with Accounts and Audit Regulations.</p> <p>Annual Internal and External Audit.</p> <p>Adoption of financial regulations reviewed every two years at least.</p> <p>Quarterly check of accounts, payments, systems by internal controls checker.</p>	<p>Bank reconciliations must be signed by the Chair and one other mandated signatory at F&M/Council.</p>	<p>From February 2024 MAY 2024</p>	<p>RFO, Chairs</p>

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<p>Money, Banks, Banking:</p> <p>Risk of loss of cash through theft or dishonesty, - error fraud</p> <p>FINANCIAL</p>	<p>2 – quite likely</p>	<p>3 – severe</p>	<p>2x3=6 SUBSTANTIAL RISK</p>	<p>Fidelity Guarantee insurance.</p> <p>Petty cash system no longer in use.</p> <p>Insurance cover; annual check on level of cover in place.</p> <p>Financial Regulations set out requirements re banking to safeguard public money held by HVPC.</p> <p>Review bank mandates as required.</p> <p>Monthly bank reconciliations. All payments in line with Financial Regulations.</p> <p>Regular monitoring reports to Finance & Management Committee or full Council.</p> <p>Quarterly Internal Controls and half-year Internal Audit.</p> <p>External Audit.</p>	<p>Security marking on equipment to be kept up to date.</p> <p>Thorough vetting process of job applicants and annual staff reviews.</p> <p>Join Unity Trust bank for greater security against fraud.</p>	<p>AUG 2024</p> <p>Ongoing</p> <p>April 2024</p>	<p>RFO</p> <p>Staffing SC</p> <p>RFO</p>

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<p>Employer Liability:</p> <p>Salaries paid incorrectly.</p> <p>Wrong calculations/deductions re pensions, NI, income tax.</p> <p>Unfair dismissal claims.</p> <p>FINANCIAL, COMPLIANCE, OPERATING</p>	1 – unlikely	2 – moderate	1x2=2 LOW	<p>Regular returns to Inland Revenue; contracts of employment for all staff, systems of updating records for any changes in relevant legislation.</p> <p>Staff salaries are approved by Council based on NJC salary scale.</p> <p>Salaries are reviewed annually.</p> <p>Grievance and Appeals procedure.</p> <p>Annual Staffing Review; Staff Development Review Scheme</p> <p>Employment position of contractors under PAYE regulations – checks undertaken.</p> <p>Policies – review</p> <p>Annual Internal and External Audit.</p> <p>Training –for Officers.</p>	<p>Clerk and Assistant Clerk to be trained in terms of online banking, payroll, VAT, HMRC etc</p> <p>New rates of National Insurance contribution and possible pensions need factoring into payroll.</p>	<p>By AUG 2024</p> <p>April 2024</p>	<p>Assistant Clerk, Clerk, RFO as trainer</p> <p>RFO</p>
<p>VAT:</p> <p>Incorrect submissions under VAT/Customs and Excise regulations.</p> <p>FINANCIAL, COMPLIANCE, OPERATING</p>	1 – unlikely	1 – negligible	1x1=1 LOW	<p>Regular VAT returns to HM Customs and Excise.</p> <p>Signed up to Making Tax Digital submission of VAT return.</p>	<p>Training, knowledge, awareness of the RFO. Reading literature to keep up to date.</p> <p>Clerk and Assistant Clerk to be trained in terms of online banking, payroll, VAT, HMRC etc</p> <p>As above, new rates of National Insurance contribution and possible pensions need factoring into payroll.</p>	<p>Ongoing</p> <p>AUG 2024</p> <p>APR 2024</p>	<p>RFO</p> <p>Assistant Clerk, Clerk, RFO as trainer</p> <p>RFO</p>

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<p>Proper Officers:</p> <p>Loss of proper officers for respective remits</p> <p>FINANCIAL, COMPLIANCE, OPERATING</p>	2 – quite likely	2 – moderate	2x2=4 MEDIUM	<p>Re Clerk – Officers coached to stand in for Clerk in emergency.</p> <p>Re RFO – Officers being trained to manage banking system, payroll, HMRC/VAT, Rialtas accounts package etc.</p>	Cross-training being undertaken to safeguard the Parish Council should proper officers be absent.	By AUG 2024	Assistant Clerk, Clerk, RFO
<p>Grants:</p> <p>Funds are awarded to community groups without proper authority/ specific powers or under Section 137.</p> <p>FINANCIAL, COMPLIANCE</p>	2 – quite likely	2 – moderate	2x2=4 MEDIUM	<p>Powers allowing awards of money are identified for all grant applications.</p> <p>Use of budget headings to allocate expenditure.</p> <p>RFO checks legal power/duty for all expenditure.</p> <p>Regular monitoring reports to Finance & Management Committee or full Council.</p> <p>Annual Internal Audit.</p> <p>Annual External Audit.</p> <p>Running total kept of S137.</p>	<p>Check level of S137 expenditure every month.</p> <p>Make Members aware that amount of S137 is £10.81/elector.</p>	Ongoing	RFO
<p>Elections:</p> <p>Having inadequate money to fund elections</p> <p>FINANCIAL, COMPLIANCE, OPERATING, STRATEGIC</p>	1 – unlikely	2 – moderate	1x2=2 LOW	<p>Aim to have £30,000 in an Elections earmarked reserve by election year.</p> <p>Add £7,000 to the reserve every year.</p> <p>If need be, the EMR can fund ad hoc interim elections.</p>	Existing procedure adequate		

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Insolvency of insurance company: FINANCIAL, OPERATING	1 – unlikely	1 - negligible	1x1 = 1 Low	Use of one of the largest companies providing specialist cover for Councils.	Free legal service and advice from National Association of Local Councils and Yorkshire Local Councils Associations. <i>Council to review insurance providers at least every three years – next review due March 2025</i>	MAR 2025	RFO
Not complying with restrictions on borrowing. FINANCIAL, COMPLIANCE	1 – unlikely	1 – negligible	1x1=1 LOW	No current borrowing. Borrowing approval to be authorised by Council in line with current restrictions. Reference to Local Council Administration Book (Charles Arnold Baker) and National Association of Local Councils (NALC) and Yorkshire Local Councils Associations (YLCA).			

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<p>Community Assets:</p> <p>Damage to third party property or individuals.</p> <p>Risk to third party as a consequence of providing a service.</p> <p>FINANCIAL, OPERATING, STRATEGIC</p>	1 – unlikely	3 – severe	1x3 = 3 MEDIUM	<p>Public Liability Insurance.</p> <p>Annual check on level of Public Liability Cover in place.</p> <p>Maintain asset register (add new items/remove disposed items) to calculate insurance needs.</p>	<p>Get ongoing issue with roof sorted so can look for new insurance options 2024-25.</p>	SUMMER 2024	HCHCT, Clerk, Service Provision SC, RFO		
				<p>Insurance for unique items</p> <p><i>Adequate insurance provided for Jubilee, TdF and WW1 Seat etc</i></p>	<p>Existing procedure adequate</p>				
				<p>Maintain logged system of complaints.</p> <p>All complaints logged with received and action taken.</p>	<p>Existing procedure adequate</p>				
				<p>Check smartwater topping stones at New Mill churchyard</p>	<p>Smartwater marking to be applied to topping stones of walls surrounding closed churchyard and appropriate signage but Council should not pay for work to Church buildings, walls etc, only undertake gardening/mowing/tree-work etc</p>			<p>end August 2024</p>	<p>Contractor</p>
				<p>Topple tests at Closed Churchyard needed.</p>	<p>Topple test to be carried out by Maintenance Contractor.</p>			<p>end August 2024</p>	<p>Contractor</p>

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				Back of replacement stone slates affixed to Holme Barn painted with red paint for future traceability in case of theft Oct 2015.	Holme Barn – check marker red paint on Holme barn.	end August 2024	Contractor
Property Damage: FINANCIAL	2 – quite likely	2 - moderate	2x2 = 4 Medium	Insurance. All Risks Insurance. Annual check on insurance values Use of one of the largest companies providing specialist cover for Councils. Public Liability Insurance. Fidelity Guarantee insurance.	As above, get ongoing issue with roof at The Civic sorted so can look for new insurance options 2024-25	SUMMER 2024	HCHCT, Clerk, Service Provision SC, RFO
Unsafe equipment: FINANCIAL, OPERATING	2 - quite likely	2 - moderate	2x2 = 4 Medium	Visual inspections. Annual PAT Testing of electrical small electrical appliance, alarms and fire extinguishers all carried out by Holmfirth Civic Hall Community Trust (HCHCT).	Existing procedure adequate		
Civic Regalia - lost, damaged: FINANCIAL	1 – unlikely	1 - negligible	1x1 = 1 Low	Annual inspection of regalia.	Ensure Chairman/Vice Chair is aware of need for Civic Regalia to be kept under secure conditions.	MAY 2024 when new Chairman is appointed	CLERK

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<p>Legal liability as a consequence of asset ownership:</p> <p>FINANCIAL, OPERATING, STRATEGIC</p>	1 – unlikely	3 – severe	1 x 3 = 3 Medium	Public Liability Insurance.	Annual check on level of cover.	MAR 2024	RFO
<p>Damage to and safety of seats and stone bus shelters:</p> <p>FINANCIAL</p>	2 - quite likely	1 - negligible	2x1=2 LOW	<p>Cantilever shelters transferred to Metro 2009. Pursue any reports for evidence, witness statements whenever possible. Claims for costs pursued whenever possible.</p> <p>Regular maintenance (and photographs taken).</p> <p>Remind Ward members to keep a check on seats and shelters in Ward and to report any problems to Council offices.</p> <p>Reports from members of the public and bus operators.</p> <p>Inspections to be carried out by members during normal Ward duties.</p>	Existing procedure adequate		
<p>Damage to closed churchyard.</p> <p>FINANCIAL</p>	2 – quite likely	1 - negligible	2x1=2 LOW	Pursue any reports for evidence, witness statements whenever possible. Claims for costs pursued whenever possible.	Regular reports (and photographs) from Maintenance Contractor.	Ongoing	Contractor

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<p>Holmfirth Public Toilets.</p> <p>FINANCIAL</p>	2 – quite likely	1 - negligible	2x1=2 LOW	<p>Regular reports from Cleaning Contractor.</p> <p>Claims for costs pursued whenever possible. See separate risk management policy and assessments – approved and adopted by Council.</p>	Annual Risk Assessment of Public Toilets to be carried out.	JUL 2024	CLERK
<p>Personal Accident to Members and Officers. Assault to Officers.</p> <p>FINANCIAL, OPERATING</p>	1 – unlikely	2- moderate	1x2=2 LOW	<p>Personal Accident cover. Including Assault cover. Employer’s Liability cover.</p> <p>Libel and Slander cover</p> <p>Annual check on level of cover in place</p> <p>Council Office – alarm, personal alarm facility or mobile phone (ring 999 and/or Chairman, another Member, or family member).</p> <p>Officers to be accompanied out of building after evening meetings.</p> <p>Advice to Members.</p>	Existing procedure adequate		
<p>Unwanted visitors entering HVPC meeting room during meetings.</p> <p>OPERATING</p>	1 – unlikely	2 - moderate	1x2=2 LOW	<p>Signage at strategic places around the building.</p> <p>Both Holmfirth Civic Hall and Honley Library are public buildings, open to the community, so it may be inevitable that members of the public lose their way around the</p>	Existing procedure adequate		

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				buildings. HCHCT and FoHL to be encouraged to signpost rooms for hirings/events.			
<p>Security of officers working alone in building.</p> <p>Security of officers exiting and locking up building after meetings.</p> <p>OPERATING</p>	1 – unlikely	2 - moderate	1x2=2 LOW	<p>When no other occupants in Civic Hall, Manager, Clerk or other nominated person locks the building.</p> <p>Whenever possible, Officers to be accompanied out of building after evening meetings.</p> <p>Lighting of the stairs is problematic currently due to unable to control landing lights from the exhibition room. Staff to use lift in darkness or carry a torch. A rechargeable lamp should be on hand.</p>	Existing procedure adequate		

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<p>Misconduct of Members, Members interests</p> <p>OPERATING, COMPLIANCE</p>	<p>2 - quite likely</p>	<p>2 – moderate</p>	<p>2x2 = 4 MEDIUM</p>	<p>Procedures in place for recording and monitoring Members’ and Officers’ interests, gifts and hospitality received.</p> <p>Completion of Code of Conduct.</p> <p>Code of Conduct signed and a Register of Interest completed by each Member of the Council each year.</p> <p>Councillors have a duty to disclose interests.</p> <p>Disclosure of Interest Register kept listing any interests, gifts and hospitality received.</p> <p>Disclosure of Interests appears as item on the agenda as a prompt to Members/Officers</p> <p>Holme Valley Parish Council adopted the Kirklees Council Code of Conduct.</p> <p>Internal audit check.</p> <p>Register of Interest kept by Kirklees Monitoring Officer, with copy kept by Clerk, and published on KC and HVPC websites.</p> <p>Any new Disclosable Pecuniary Interests to be declared at meeting and Member’s responsibility to notify Kirklees Monitoring Officer within 28 days.</p>	<p>Ensure all new Members aware of Code of Conduct, sign it, and of need to complete Registers annually.</p> <p>NB – It is the responsibility of individual Members (not the Clerk or another Member) to notify changes in interests and to declare interests at meetings</p>	<p>MAY 2024</p>	<p>CLERK</p>

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<p>Parish Council does not meet consultation invitations in a timely fashion including commenting on planning applications.</p> <p>OPERATING, STRATEGIC, COMPLIANCE</p>	<p>1 – unlikely</p>	<p>1 – negligible</p>	<p>1x1=1 LOW</p>	<p>Consultation documents presented to next appropriate Committee/ Council meeting to formulate response.</p> <p>Minuting of action so agreed.</p> <p>Contact agencies to ask for an extension of deadline if possible.</p> <p>Hold extraordinary meetings to ensure important business is done.</p>			
<p>Breach of data handling and confidentiality.</p> <p>COMPLIANCE</p>	<p>2 – quite likely</p>	<p>2 – moderate</p>	<p>2x2=4 MEDIUM</p>	<p>Registration under the Data Protection Act (<i>General Data Protection Regulations from 25 May 2017</i>).</p> <p>Clerk/DPO maintains up to date registration entry.</p> <p>Procedures for dealing with personal and confidential data. Clerk (if DPO) delegated to respond to breaches and to report to ICO (if risk to an individual’s rights and freedoms) within 72 hours.</p> <p>All Councillors, Officers have holmevalleyparishcouncil.gov.uk emails.</p> <p>Item on each agenda for considering items to be taken in private session.</p> <p>Passwords changed regularly. Policies, procedures and forms reviewed annually.</p>			

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<p>Improper reporting of Council business in minutes</p> <p>COMPLIANCE</p>	1 – unlikely	1 – negligible	1x1=1 LOW	<p>Minutes properly numbered with a master copy kept in safekeeping.</p> <p>Minutes circulated.</p> <p>Minutes approved and signed at next meeting of Council or Committee.</p> <p>Internal Audit check.</p> <p>Computer cloud to hard drive backup maintained on a monthly basis backups maintained and taken off site.</p>	Computer cloud to hard drive backup maintained on a monthly basis.	Monthly	RFO
<p>Failure to respond to electors wishing to exercise their rights of inspection.</p> <p>OPERATING, COMPLIANCE</p>	1 – unlikely	1 – negligible	1x1=1 LOW	<p><i>Minutes and Audit Notices published on website.</i></p> <p>Advertising of end of year accounts and available for inspection to the public as required under the Accounts and Audit Regulations.</p> <p>Minutes published on website. Financial information published on website.</p> <p>Notice of Appointment confirmation signed and returned to Auditors.</p>			
<p>Inadequate provision of supporting papers.</p> <p>COMPLIANCE</p>	1 – unlikely	1 – negligible	1x1=1 LOW	<p>Freedom of Information Publication Scheme.</p> <p>Publication scheme adopted 2015. Needs updating. Agenda consideration at each meeting.</p>			

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<p>Challenge to Members and Officers when visiting sites on Council business, e.g. re planning applications.</p> <p>OPERATING</p>	1 – unlikely	2 – moderate	1x2=2 LOW	<p>Members and Officers should identify themselves if challenged by a member of public.</p> <p>ID cards provided for Members and Officers.</p>	New Councillors will need new ID badges	After election, co-option	Assistant Clerk
<p>Poor document control – correspondence, postage, storage and filing, etc</p> <p>OPERATING, COMPLIANCE</p>	1 – unlikely	1 – negligible	1x1=1 LOW	<p>Correspondence date receipted.</p> <p>Filing systems maintained in fireproof cabinets.</p> <p>Regular review of need to retain documents and other records.</p> <p>Review of Records Management Policy regarding retention, management and disposal of documents (including filing system and files stored/archived by third parties, e.g. solicitors) – <i>last reviewed and adopted 15 May 2017. Needs updating.</i></p> <p>Any deeds or other legal documents to be stored in safe storage.</p> <p>Dropbox is used for safe storage of documentation. Back-ups of Dropbox system maintained on external hard drives monthly.</p>	Back-ups of Dropbox system maintained on external hard drives monthly.	Monthly	Deputy Clerk

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<p>Risks around allotments and garage plots</p> <p>FINANCIAL, OPERATING</p>	1 – unlikely	2 – moderate	1x2=2 LOW	<p>Appropriate legal agreements (tenancies) signed.</p> <p>Annual review of Leases and Agreements.</p> <p>Annual renewal where necessary.</p>	Quarterly inspection of the allotments.	Ongoing (no issues)	RFO
<p>Security of vulnerable building.</p> <p>1) Council's Meeting Room & Office (Anchor Tenancy @ Holmfirth Civic Hall)</p> <p>FINANCIAL, OPERATING</p>	2 – quite likely	2 – moderate	2x2=4 MEDIUM	<p>Intruder and fire alarms installed. Provision of Fire extinguishers, fire drills.</p> <p>Secure locks and annual review of security.</p> <p>Record of key holders held by HCHCT.</p> <p>The Civic - Annual servicing of alarm and security systems are responsibility of HCHCT (Landlord), not HVPC.</p> <p>Fire protection equipment – responsibility of HCHCT (not HVPC).</p>			
<p>Security of vulnerable building.</p> <p>2) Honley Library</p> <p>FINANCIAL, OPERATING</p>	2 – quite likely	2 – moderate	2x2=4 MEDIUM	<p>Honley Library - Annual servicing of alarm and security systems are responsibility of FoHL, not HVPC.</p> <p>Fire protection equipment – responsibility of FoHL (not HVPC).</p>			

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<p>Changes to legislation and procedures.</p> <p>COMPLIANCE/ OPERATING</p>	1 – unlikely	1 – negligible	1x1=1 LOW	<p>Provide effective training for Members and Officers. <i>Latest version of Standing Orders (NALC Model)</i></p> <p>Provide adequate budget for Member and Officer training. <i>Standing Orders last reviewed and adopted 15 May 2023, next review due at Annual Council on May 2024</i></p>			
<p>Risks to supplies and Services provided to the Council.</p> <p>FINANCIAL, OPERATING</p>	Low			<p>Contract for services advertised and awarded in line with Standing Orders and Financial Regulations.</p> <p>Ensure Contractors have adequate insurance including public liability cover.</p> <p>Ensure Contractors have appropriate Health and Safety policy.</p> <p>Contracts approved by Council. Ensure maintenance contracts are fully reviewed and minimum 3 new quotations sought December 2023</p> <p>Sight of insurance certificate before award of contract.</p> <p>Remind contractors re Health and Safety implications</p>	Maintenance contracts to be reviewed 2024-35	Ongoing (no issues)	Service Provision Standing Committee, Clerk

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Collection and banking of cash donations from toilets FINANCIAL	2 – quite likely	2 – moderate	2x2=4 MEDIUM	As above, - effective recruitment of contractor - awarded in line with Standing Orders and Financial Regulations. Contractor to count, bag and bank money regularly - on a monthly basis. Retain receipts from the bank and forward to RFO. Report deposits to the RFO.			

Internal Audit assurance testing will include:

- (1) Review of internal controls in place and their documentation.
- (2) Testing of specific internal controls and reporting findings to Council.
- (3) Review of management arrangements regarding insurance.
- (4) Review of minutes to ensure legal powers in place recorded and correctly applied.
- (5) Testing of income and expenditure from minutes to cashbook, from bank statements to cashbook, from minutes to statements etc.
- (6) Review and testing of arrangements to prevent and detect fraud and corruption.
- (7) Review and testing of specific controls, reporting findings to Council.

Levels of impact (examples):

Severe Impact	Moderate Impact	Negligible Impact
<i>Examples:</i> <ul style="list-style-type: none"> • Death • Extensive, permanent injuries, long term sickness • Medium term loss of service capability • Adverse national publicity • More than 10 people involved • Litigation almost certain and difficult to defend • Financial loss in excess of £50,000 • Breaches of law punishable by imprisonment • Up to 10 people involved • Litigation to be expected 	<i>Examples:</i> <ul style="list-style-type: none"> • Medical treatment required – long term injury • Short term disruption to service capability • Adverse local publicity • Needs careful public relations • No more than 5 people involved • High potential for complaint, litigation possible • Financial loss between £5,000 and £50,000 • Breaches of the law punishable by fines only 	<i>Examples:</i> <ul style="list-style-type: none"> • No injuries beyond first aid level • No significant disruption to service capability • Unlikely to cause any adverse publicity • No more than 2 people involved • Unlikely to cause complaint/litigation • Financial loss below £5,000 • Breaches of local procedures/standards

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Priority of Risk Management		IMPACT		
		NEGLIGIBLE (SCORE 1)	MODERATE (SCORE 2)	SEVERE (SCORE 3)
LIKELIHOOD OF OCCURRENCE	UNLIKELY (SCORE 1)	LOW RISK (1x1)	LOW RISK (1x2)	MEDIUM RISK (1x3)
	QUITE LIKELY (SCORE 2)	LOW RISK (2x1)	MEDIUM RISK (2x2)	SUBSTANTIAL RISK (2x3)
	HIGHLY LIKELY (SCORE 3)	MEDIUM RISK (3x1)	SUBSTANTIAL RISK (3x2)	MAJOR RISK (3x3)