

Vulnerability Assessment Table

From: The Dark Side of Events: Navigating Corruption and Risk Management by William O'Toole

The table below is to assist event teams examine the possibility of corruption. It can be part of an anticorruption policy that may be required by governments and sponsors. **It is not exhaustive.** It is from the experience of events people and the numerous publications and laws regarding corruption. AS this is the first edition of the book and this table, the reader should treat it as a **draft only**. Bill welcomes any improvements and feedback. If you require further clarity, each of the sections and the terminology are explained in the book. The simple rating system is to help you think through the issues. Low rating implies action must be taken, a high rating implies that this risk is accepted and taken care of.

Risk Area	Rating	Relevant chapter	Action to take
Governance			
1. The event team is aware of the legal framework surrounding corruption, specifically how the sponsors' anti-corruption policies may impact the event both immediately and in the long term.		10	
2. Risk management embedded and the risk register is understood and used by the team.		7	
3. All team members are trained in risk management for events.		7, 9	
4. Project times of vulnerability to corruption are discussed and confirmed.		10	
5. Risk of corruption is part of the risk register.		7	
6. Leadership of the team is aware of the importance of setting the example of integrity for the team and temporary workers.		10	
7. The event board has undergone conflict of interest scrutiny		10	
8. The relationship between the Politically Exposed Persons (PEP), the board and the event team is clearly understood.		2	

Risk Area	Rating	Relevant chapter	Action to take
Marketing			
1. The promotion or marketing person, department or company are creative without false hype.		5, 7	
2. They are aware of the immediate, mid and long term implications for the whole event, the team and their career of false information, exaggerated hype and fraud.		5, 7	
3. The marketing performance is evaluated using accurate data and realistic forecasts.		5, 7	
4. Outgoing and received gifts and hospitality are controlled via the gift register.		4, 7	
5. Last minute or emergency promotions must pass the designated authority before being released.		5, 7	
6. The final marketing report will include any instances of breach of code of conduct with regard to corruption.		10	
Finance			
1. Ensuring accurate estimation for the event budget prior to the event.		10	
2. A robust and trustworthy approval process for last minute payments.		10	
3. Accountable/recorded decisions for last minute and sudden increase in cost or funds.		4,5,7	
4. A process to check the over estimating or underestimating of costs.		4,5	
5. Aware of the key project times for vulnerability in finance: finding suppliers, contract negotiation, change requests, payment of invoices.		4,5 7, 10	
6. During the event: Onsite payments and collection of cash by trained staff.		4	
7. Cross checking vendor payments to the event.		7	
8. Ensure all financial matters are recorded.		7,10	

Risk Area	Rating	Relevant chapter	Action to take
Sponsorship			
1. The event organisation has a clear process and criteria to decide on sponsors, sponsorship type and levels.		10	
2. The event has a policy known to all the staff and volunteers on the acceptance of gifts or hospitality from the sponsors.		4, 7	
3. Any changes and developments of the sponsorship agreements are clearly authorised, recorded and report in a timely manner.		10	
4. The event team is aware of any anti-corruption policies of the sponsors of the event and how they apply to the event.		10	
Staff and Volunteers			
1. Recruitment is made on the basis of merit and competence.		8	
2. The criteria for employment and engagement clear and transparent to all.		8	
3. There is a straightforward and easy to understand code of conduct.		10	
4. All staff understands 'conflict of interest' and the process to disclose it.		6	
5. All staff understands nepotism/favouritism and the code of conduct and/or policy on this issue.		6	
6. Informal channels are open for the team to report any petty corruption.		8, 10	
7. They are aware of the formal and informal method of reporting instances of corruption.		8, 10	
8. There is special screening and monitoring for staff and volunteers in vulnerable positions such as payments of cash and managing overseas tours.		8	
9. Staff and volunteers are made aware of the ultimate effect of small		4, 8	

Risk Area	Rating	Relevant chapter	Action to take
"grease" payments and given a script to avoid and decline them.			
10. Security and reference checks are carried out for key employees.		8	
11. There an easy to find and use gift or hospitality register.		4	
12. The four eyes principle is used if necessary.		8	
Procurement, contractors, vendors			
1. Procurement is achieved with clear evaluation criteria.		5	
2. Any possible conflicts of interest are known to the team and the risk is discussed.		6	
3. If the event involves government departments, the event procurement is in line with the government policy.		10	
4. Contractors/suppliers know the contract is invalid if there is proof of corruption.		5	
5. A clear "no bribery or kickbacks" statement or script that can be used by the team if offered a bribe.		10	
6. Contractor/supplier association has a clear anti-corruption policy and/or code of conduct.		10	
7. A clear, efficient process to decide on any amendments or other changes to the contract.		10	
8. A robust method to detect any false invoicing.		5	
9. An up-to-date database of alternative contractors and suppliers in case of default or corrupt practices.		5	
10. Vendors have a clear contract concerning any payments to the event including percentage of sales.		5	
11. Vendors are made aware of anti-corruption policy of the event and the penalties emphasising kickbacks, under reporting and gifts to staff.		5	

Risk Area	Rating	Relevant chapter	Action to take
Ticketing			
1. Ticketing management policies or guidelines including appropriate processes and controls.		5	
2. Consideration of the vulnerable points for the events online presence: ticketing, online registration, mobile apps and wifi networks.		5	
On-site			
1. The permission areas, such as entrances, vendor placement, parking, back stage security, bar area, are understood to be prime areas for bribery and suitable precautions are taken.		4	
2. The four eyes principle considered for high risk areas and times onsite.		8	
3. Times during the event that can cover corrupt activity are identified.			
4. Blagging and other types of entrance fraud are understood and precautions taken.		5	
5. Estimates of crowds, before, during and after the event, are done as accurately as possible and not falsified purposely.		5	
6. Onsite staff have a simple immediate reporting and recording system for any suspicious activity.		8	
7. Day volunteers understand the ongoing issues with petty corruption, such as extortion and legal penalties.		4	
8. Staff and volunteer rotation is used where suitable.		8.3	
9. The contractor's staff who deliver, set up, dismantle and return the on-site equipment understand there is an anti-corruption policy of the event.		5, 10	
10. The competition judges have been briefed on conflict of interest, favouritism, bribery and bias.		5	



Risk Area	Rating	Relevant chapter	Action to take
Post event			
1. Archiving information for possible legal issues.		7	
2. Staff debrief includes the topics of corruption, such as gifts and facilitation payments.		4,5,6	