**CORSTON PARISH COUNCIL**

**GOVERNANCE AND MANAGEMENT RISK REGISTER**

**Adopted by the Council by Resolution 12.07.2023**

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|  | **Risk** | **Impact** | **Likelihood** | **Severity** | **Control Action****Internal Controls** | **Review****Frequency** | **Alternative Review****Trigger/Internal Audit****Assurance** | **Responsible****Person** |
| 1 | Lack of forward planning and budgetary controls | \*Lack of direction and prioritisation\*Needs of those in business Plan | M | H | \*Business plans in operation\*In year budget reviews each quarter of financial year with written budget report to Council by Clerk | Annually | Unexpected expense | Chair, Vice Chair and Clerk |
| 2 | Poor reporting to Council | \*Poor quality decision making\*Council becomes illinformed | L | H | \*Timely and accurate financial reporting in writing to the Council with requirement for council to discuss and note findings\*Clear instructions to staff\*Regular projectreports | QuarterlyAnnuallyEach meeting | Matter raised at meeting | Clerk |
| 3 | Loss of key staff | \*Failure in budgetary controls\*Correspondence backlog | M | H | \*Succession Planning\*Clear office procedures\*Clear budgetary procedures\*Up to date job descriptions\*Appraisal system | AnnuallyAnnuallyAnnually | Loss of staff member | Council as a whole |

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| 5 | Poor document control | \*Information not passed on in a timely manner\*Deadlines missed\*Lack of achievement | M | M | \*Clear Standing Orders\*Clear job descriptionsRegular back up of data to external source of record kept by Chairman | Annually | Major incident Complaints | Clerk |

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| 6 | Ensure Council complies with law in particular:\*Health and Safety\*Equal Opportunities\*Data Protection\*Human Rights\*Disability and Discrimination\*Employment LawSafeguarding | \*Fines and Penalties from regulation bodies\*Employee action for negligence of grievance\*Loss of reputation | M | H | \*Clear Policies and procedures\*Regular review of law | Annual | Following incident | Clerk |

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| 7 | Ensuring all business activities are within legal power | \*Illegal expenditure  | L | H | \*Recording in the minutes the precise power under which expenditure is being approved | Each meeting | Review of minutes to ensure legal powers in place, recorded and correctly applied | Clerk |
| 8 | Proper, timely and accurate reporting of Council business in the Minutes | \*Confusion and misunderstandings \*Actions not reflecting intentions of Council | M | H | \*Approval by councillors\*Minutes properly numbered and paginated with a master copy kept in safekeeping | Each meeting |  | Clerk |

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| 9 | Meeting the laid down timetables when responding to consultation invitation | \*Affect reputation\*Ineffectual involvement  | L | L | Documented procedures to deal with responses to consultation requests | Annually | Consultation questionsNon-participation | Clerk |
| 10 | Council lacks relevant skills and commitment | \*Council fails to achieve its purpose \*Decision making by-passes Council\*Poor value for precept money | L | H | \*Training for Councillors \*Close review of attendance | Annually. At first intake of new Councillors especiallyEvery meeting | SALC training reminders | Chairman and the Clerk |
| 11 | Council becomes dominated by one or two individuals or cliques form | \*Conflicts of interest\*Pursuit of personal agendas\*Decisions made outside Council | L | H | \*Clear Standing Orders regarding conduct of meeting and Conflict of InterestsEncourage diverse applications if vacancy occurs | Annually | \*Adverse press articles\*Complaints\*Incidents at meetings | Councillors and the Clerk |

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| 12 | Councillors benefiting from being on the Council | \*Affect reputation\*Conflicts of Interest | L | M | \*Clear Standing Orders \*Open system of payment | AnnuallyAll meetings | Adverse press articles | Clerk |
| 13 | Failure to register Members’ interests, gifts etc | \*Member could make inappropriate gains\*Could affect reputations | L | M | \*Procedures in place for recording and monitoring Members interests and gifts |  | Test of disclosuresComplaint about members | Clerk |
| 14 | Lack of maintenance of Council owned property | \*High cost of repair\*Injury to third party leading to claims\*Damage to property | M | H | \*Building survey\*Stock condition survey\*Regular routine maintenance\*Insurance cover | Annually | Unexpected incident | Clerk |

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| 15 | Damage or loss to Council owned property by third party or act of GodInsufficient protection of physical assets owned by the Council - buildings, furniture, equipment etc.Legal liability as a consequence of asset ownership | \*High cost of repair\*Loss of Assets\*Disruption\*Damage to public property or person | MLML | LMMH | \*Insurance cover\*Good Fire Alarm\*Good Burglar Alarm\*Clear Staff Monitoring and auditing procedures\*Maintain an up to date register of assets\*Regular maintenance arrangements for physical assets\*Annual review of risk and adequacy of insurance cover | Annually | Police report or damage reportView asset registerReview of management arrangements regarding insurance cover (loss or damage) | Clerk |

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| 16 | Damage to third party property or individual due to Service of Amenity provided | \*Claim against Council  | L | L | \*Public Liability Insurance\*Comprehensive event planning\*Regular checks of facilities\*Ensure all amenities/facilities are maintained to appropriate level | As required | As reported Review of Insurance CoverReview of adequacy of insurance cover provided | Clerk |
| 17 | Loss of cash through fraud or dishonesty | \*Reduction in available funds\*Loss of reputation | L | H | \*Clear financial procedures\*Adequate insurance cover\*Town Clerk not involved in operation of fundsUse of electronic system of approval of payments involving two mandated and one non mandated Councillor and the Clerk | AnnuallyAnnually | On a Loss Review Insurance Cover (fidelity guarantee) | Councillors and Clerk |
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| 18 | Inadequacy of PreceptEnsuring the adequacy of the annual precept within sound budgeting arrangements | \*Services not provided \*Lack of confidence in Council\*Inability to carry out functions\*Insufficient funds for contingencies | L | M | Regular in-year budget progress reports in writing at least every quarter | Every meeting | Unexpected event ie flooding | Clerk |
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| 19 | Failure to use grants for intended purposesEnsuring the proper use of funds granted to local community bodies under specific powers or under s137 | \*Lack of funds for project for which grant was intended\*Investigation into the use of funds | L | L | \*Clear minutes\*Ensure funds properly ring fenced\*Clear financial procedures\*Follow up on use\*Record clearly in minutes\*Maintain a separate record for s137 expenditure | Annually | Review of minutes | Clerk |
| 20 | Keeping proper financial records in accordance with statutory requirements | Inadequate financial control | L | H | Regular scrutiny of financial records and proper arrangements for the approval of expenditure | Annually | Review of internal controls in place and their documentation | Clerk |
| 21 | Violation of Data Protection Act | Misuse of public addresses/email addresses/phone numbers | M | M | Review of council held lists and records derived from the public | Annually |  |  |