**CORSTON PARISH COUNCIL**

**GOVERNANCE AND MANAGEMENT RISK REGISTER**

**Adopted by the Council by Resolution 12.07.2023**

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **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 ill  informed | 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 project  reports | Quarterly  Annually  Each 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 | Annually  Annually  Annually | Loss of staff member | Council as a whole |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Risk** | **Impact** | **Likelihood** | **Severity** | **Control Action**  **Internal Controls** | **Review**  **Frequency** | **Alternative Review**  **Trigger/Internal Audit**  **Assurance** | **Responsible**  **Person** |
|  |  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |  |
| 5 | Poor document control | \*Information not passed on in a timely manner  \*Deadlines missed  \*Lack of achievement | M | M | \*Clear Standing Orders  \*Clear job descriptions  Regular back up of data to external source of record kept by Chairman | Annually | Major incident Complaints | Clerk |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Risk** | **Impact** | **Likelihood** | **Severity** | **Control Action**  **Internal Controls** | **Review**  **Frequency** | **Alternative Review**  **Trigger/Internal Audit**  **Assurance** | **Responsible**  **Person** |
| 6 | Ensure Council complies with law in particular:  \*Health and Safety  \*Equal Opportunities  \*Data Protection  \*Human Rights  \*Disability and Discrimination  \*Employment Law  Safeguarding | \*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 |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Risk** | **Impact** | **Likelihood** | **Severity** | **Control Action**  **Internal Controls** | **Review**  **Frequency** | **Alternative Review**  **Trigger/Internal Audit**  **Assurance** | **Responsible**  **Person** |
|  |  |  |  |  |  |  |  |  |
| 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 |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Risk** | **Impact** | **Likelihood** | **Severity** | **Control Action**  **Internal Controls** | **Review**  **Frequency** | **Alternative Review**  **Trigger/Internal Audit**  **Assurance** | **Responsible**  **Person** |
| 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 questions  Non-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 especially  Every 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 Interests  Encourage diverse applications if vacancy occurs | Annually | \*Adverse press articles  \*Complaints  \*Incidents at meetings | Councillors and the Clerk |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Risk** | **Impact** | **Likelihood** | **Severity** | **Control Action**  **Internal Controls** | **Review**  **Frequency** | **Alternative Review**  **Trigger/Internal Audit**  **Assurance** | **Responsible**  **Person** |
| 12 | Councillors benefiting from being on the Council | \*Affect reputation  \*Conflicts of Interest | L | M | \*Clear Standing Orders  \*Open system of payment | Annually  All 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 disclosures  Complaint 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 |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Risk** | **Impact** | **Likelihood** | **Severity** | **Control Action**  **Internal Controls** | **Review**  **Frequency** | **Alternative Review**  **Trigger/Internal Audit**  **Assurance** | **Responsible**  **Person** |
| 15 | Damage or loss to Council owned property by third party or act of God  Insufficient 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 | M  L  M  L | L  M  M  H | \*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 report  View asset register  Review of management arrangements regarding insurance cover (loss or damage) | Clerk |

(

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Risk** | **Impact** | **Likelihood** | **Severity** | **Control Action**  **Internal Controls** | **Review**  **Frequency** | **Alternative Review**  **Trigger/Internal Audit**  **Assurance** | **Responsible**  **Person** |
| 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 Cover  Review 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 funds  Use of electronic system of approval of payments involving two mandated and one non mandated Councillor and the Clerk | Annually  Annually | On a Loss Review Insurance Cover (fidelity guarantee) | Councillors and Clerk |
|  | **Risk** | **Impact** | **Likelihood** | **Severity** | **Control Action**  **Internal Controls** | **Review**  **Frequency** | **Alternative Review**  **Trigger/Internal Audit**  **Assurance** | **Responsible**  **Person** |
| 18 | Inadequacy of Precept  Ensuring 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 |
|  |  |  |  |  |  |  |  |  |

|  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | **Risk** | **Impact** | **Likelihood** | **Severity** | **Control Action**  **Internal Controls** | **Review**  **Frequency** | **Alternative Review**  **Trigger/Internal Audit**  **Assurance** | **Responsible**  **Person** |
| 19 | Failure to use grants for intended purposes  Ensuring 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 |  |  |