

**COTON IN THE ELMS PARISH COUNCIL
GOVERNANCE AND MANAGEMENT RISK REGISTER**

| | 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 | M | H | *In year budget reviews *Feedback from surveys were appropriate | Quarterly As requested | Unexpected expense | |
| 2 | Poor reporting to Council | *Poor quality decision making *Council becomes ill informed | M | H | *Timely and accurate financial reporting *Clear instructions to staff *Regular project reports | Bi-monthly Annually Each meeting | Matter raised at meeting | |
| 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 description | Annually Annually | Loss of staff member | |
| 4 | Failure to respond to electors' wish to right of inspection | *Loss of confidence *Loss of reputation | L | L | *Clear Standing Orders and Operating Protocols *Documented procedures to deal with enquiries from the public | Annually | Approach by elector to auditor | |

(Note - Chairman/Clerk can consult with Chairs of Committees as appropriate)

**COTON IN THE ELMS PARISH COUNCIL
GOVERNANCE AND MANAGEMENT RISK REGISTER**

| | Risk | Impact | Likelihood | Severity | Control Action Internal Controls | Review Frequency | Alternative Review Trigger/Internal Audit Assurance | Responsible Person |
|---|---|--|-------------------|-----------------|--|-----------------------------|--|-------------------------------|
| 5 | Failure to meet the requirements for Quality status | *Status rejected *Cash withheld *Responsibilities reduced | M | H | *Monitor requirements for Quality Status | As required | | |
| 6 | Poor document control | *Information not passed on in a timely manner *Deadlines missed *Lack of achievement | M | M | *Clear Standing Orders *Clear job descriptions | Annually | Major incident Complaints | |
| 7 | Ensure Council complies with law in particular: *Health and Safety *Equal Opportunities *Data Protection *Human Rights *Disability and Discrimination *Employment Law | *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 | Bi-annual | Following incident | |

(Note - Chairman/Clerk can consult with Chairs of Committees as appropriate)

**COTON IN THE ELMS PARISH COUNCIL
GOVERNANCE AND MANAGEMENT RISK REGISTER**

| | Risk | Impact | Likelihood | Severity | Control Action Internal Controls | Review Frequency | Alternative Review Trigger/Internal Audit Assurance | Responsible Person |
|----|--|--|-------------------|-----------------|--|---|---|-------------------------------|
| 8 | 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 | Bi-Monthly | Review of minutes to ensure legal powers in place, recorded and correctly applied | |
| 9 | Proper, timely and accurate reporting of Council business in the Minutes | *Confusion and misunderstandings *Actions not reflecting intentions of Council | M | H | *Approval by Parish Council *Minutes properly numbered and paginated with a master copy kept in safekeeping | Bi-Monthly | Check minute numbers run consecutively | |
| 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 | SALC training reminders | |

(Note - Chairman/Clerk can consult with Chairs of Committees as appropriate)

**COTON IN THE ELMS PARISH COUNCIL
GOVERNANCE AND MANAGEMENT RISK REGISTER**

| | Risk | Impact | Likelihood | Severity | Control Action Internal Controls | Review Frequency | Alternative Review Trigger/Internal Audit Assurance | Responsible Person |
|----|---|---|-------------------|-----------------|---|-----------------------------|--|-------------------------------|
| 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 | Annually | *Adverse press articles *Complaints *Incidents at meetings | |
| 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 | |
| 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 | |

(Note - Chairman/Clerk can consult with Chairs of Committees as appropriate)

**COTON IN THE ELMS PARISH COUNCIL
GOVERNANCE AND MANAGEMENT RISK REGISTER**

| | Risk | Impact | Likelihood | Severity | Control Action Internal Controls | Review Frequency | Alternative Review Trigger/Internal Audit Assurance | Responsible Person |
|----|--|--|-------------------|-----------------|--|-----------------------------|--|-------------------------------|
| 14 | Loss of cash through fraud or dishonesty | *Reduction in available funds *Loss of reputation | L | H | *Clear financial procedures *Adequate insurance cover | Annually Annually | On a Loss Review Insurance Cover (fidelity guarantee) | |
| 15 | 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 | Every F & P meeting | Unexpected event ie flooding | |

(Note - Chairman/Clerk can consult with Chairs of Committees as appropriate)

**COTON IN THE ELMS PARISH COUNCIL
GOVERNANCE AND MANAGEMENT RISK REGISTER**

| | Risk | Impact | Likelihood | Severity | Control Action Internal Controls | Review Frequency | Alternative Review Trigger/Internal Audit Assurance | Responsible Person |
|----|---|---|-------------------|-----------------|--|-----------------------------|--|-------------------------------|
| 16 | 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 | |
| 17 | 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 | |

(Note - Chairman/Clerk can consult with Chairs of Committees as appropriate)

Page 6 of 6

~~XXXXXXXXXXXX~~

Adopted 9th November 2022