

**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	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)

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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	Annually	Following incident	

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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	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	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	

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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	

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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	

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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	

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