

COLERNE PARISH COUNCIL - CORPORATE RISK REGISTER AS AT DECEMBER 2014

Risk No	Risk Title	Consequence	Risk Owner/s	1 - 4 Likelihood	1 - 4 Impact	Review Date	Mitigation Actions	Progress	R A G Status	Closure Date
GOVERNANCE										
G1	Failure to attract sufficient candidates for Member vacancies or elections	Reduced representation of neighbourhoods Lack of resource Possible meeting inquorate	Members	2	2	April 2015	-actively publicise Council activities - seek candidates amongst friends and colleagues - publicise elections & vacancies on notice boards - publicise elections & vacancies in Parish Newsletter and website - publicise elections & vacancies in local newspapers		G	
G2	Failure to achieve quorum at meetings	Business not transacted Decisions not made	Members Clerk	1	3	Jan 2015	-issue annual meeting calendar to all members - issue meeting agendas promptly - record attendance - contact members who fail to attend meetings		G	
G3	Lack of public consultation by Council	Decisions not based on evidence People disenfranchised	Members	1	2	Jan 2015	-ensure meetings publicised on notice boards -use Annual Parish Meeting - place articles in local newspapers/parish magazine -consider leafleting - include public participation on all agendas - ensure seating available at meeting for public - provide advice for members of the public attending -publish agendas and minutes on website -hold monthly public surgeries	Consultation & Engagement Strategy agreed May 2013 Surgeries not attended	G	
G4	Failure to respond to electors wishing to exercise right of inspection	Complaints received Not transparent Non compliance	Clerk	1	2	Jan 2015	-Clerk to advertise facility, and respond to requests	Advert on Notice Board	G	
G5	Members acting alone outside meetings	Members outside compliance Indemnities invalid Personal risk	Members	2	2	Jan 2015	-obtain and read 'Good Councillor Guide' - avoid making commitments on behalf of the council - attend relevant training course	Guides given to all councillors	G	
G6	Council decisions not implemented	Confidence undermined Reputation risk arises Possible losses	Clerk	1	4	Jan 2015	-Clerk to publish RAL -Minutes to be considered at next meeting	RAL monthly agenda item	G	

G7	Inaccurate, untimely, improper minutes	Poor decisions in future Poor evidence for decisions	Clerk	1	3	Jan 2015	-Clerk to check minutes with Chairman not more than 5 days after meeting -Minutes published on website	Website not updated regularly	A	ASAP
G8	Inadequate document control	Poor evidence Poor support to Members	Clerk	1	2	Jan 2015	-Clerk to establish filing and retrieval system -Clerk to enforce document version control	Filing system to be established	A	ASAP
G9	Failure to recognise and address conflict of interest	Lack of transparency Open to complaints of fairness or bias	Members Clerk	1	2	Jan 2015	-Members to review 2014/15 Standards regime		G	
G10	Incomplete/inaccurate register of Members' interests	Lack of transparency Open to complaints of fairness or bias	Members	1	2	Jan 2015	-Members to review 2014/15 Standards regime		G	
G11	Failure to complete/submit Annual Return on time	Poor Auditors report Public confidence suffers	Clerk	1	3	Jan 2015	-Clerk to maintain diary		G	
G12	Improper contracting procedures	Possible losses Poor levels of service Possible increased costs	Clerk	1	3	Jan 2015	-2014 national model adopted, separate Financial Regs		G	
G13	Loss of data on PC due to system fault	Interruption to effective administration Possible financial loss	Clerk	1	4	Jan 2015	-Monthly back up	Hard drive needs cleaning	A	ASAP
G14	Loss of services of Parish Clerk	Interruption to effective administration	Members Clerk	2	2	Jan 2015	-Clerk to enquire of neighbouring PCs to form pool	internal auditors to provide assistance	G	
G15	Lack of professional advice	Poor decisions Costs and waste Possible non-compliance	Clerk	2	2	Jan 2015	-Maintain membership of WALC and NALC	Council cancelled membership	R	
	OBJECTIVES AND STRATEGY					Jan 2015				
OS1	Lack of defined objectives or strategy	Resources not directed Poor performance mgt Risks not base lined	Members	1	2	Jan 2015	-Council agree 3 year Corporate Plan	Awaiting plan updates for 2015 - 19	A	ASAP
OS2	Failure to correctly identify local needs or wishes	Council does not represent the people Resources not applied Democratic deficit	Members	1	3	Jan 2015	-maintain close contact with local residents - advertise parish meetings to obtain residents' feedback - use questionnaires to identify local wishes (eg HANGARS) - publicise plans and invite comments - review local papers, especially correspondence sections - use events to seek views and feedback	Consultation & Engagement Strategy	G	

OS3	Lack of public participation at meetings	Public voice not heard Potential lack of interest in vacancies Lack of transparency	Members	1	2	Jan 2015	-ensure meetings publicised on notice board - place articles in local newspaper/parish magazine - include public participation on all agendas - ensure seating available at meeting for public - provide advice for members of the public attending -publish agendas and minutes on website	Website to be updated	A	ASAP
	REPUTATION									
R1	Allegations of libel or slander	Potential for litigation Costs of investigation Reduces confidence	Members	1	3	Jan 2015	-Clerk to intervene at meetings -review all press releases or newsletter articles before release - Insurance for £250k		G	
R2	Bad publicity	Reduces confidence	Members Clerk	1	3	Jan 2015	-review all press releases or newsletter articles before release -manage press relations		G	
	FINANCE									
F1	Accidental damage to fixed assets	Costs of repair Loss of service until repaired	Clerk	2	2	Jan 2015	- Maintain insurance - Playground inspection regime established.		G	
F2	Vandalism to fixed assets	Costs of repair Loss of service until repaired	Clerk	3	2	Jan 2015	-Maintain inspection regime -Maintain insurance -Liaison with Police		G	
F3	Loss to third parties	Possible litigation Costs/damages	Clerk	1	3	Jan 2015	-Review health & safety -ensure adequate insurance -check contractors insurance	Health & Safety Policy agreed. BMX track not for use in inclement weather. Signage replaced	G	
F4	Inadequate insurance	Balance of costs to be found	Clerk	1	4	Jan 2015	-Council to review annually or if circumstances change	Public liability £10m Indemnity for staff and Members. £500K	G	
F5	Failure to calculate/submit precept on time	Inadequate resources to meet commitments Costs of re-billing	Clerk	1	3	Jan 2015	-Clerk to respond to Wiltshire Council notices -Agenda item for Members	Council agreed rolling 3 year Corporate Plan	G	
F6	Inadequate annual precept and unsound budget	Inadequate resources to meet commitments	Members	1	4	Jan 2015	-Clerk and Members to build sound budget, using risk register and known commitments. Members to consider Reserves Policy built into Financial Regulations.	Council agreed rolling 3 year Corporate Plan SINKING Fund established for Old School Roof	A	

F7	Failure to account for and recover VAT	Wasted resources	Clerk	1	3	Jan 2015	-Clerk to review -Internal auditor to check		G	
F8	Failure to stay within agreed budgets	Inadequate control Potential wasted resources	Members Clerk	1	2	Jan 2015	-Clerk to review -Internal auditor to check -Reserves Policy to mitigate short-term impact of loss.		G	
F9	Holding excessive or inadequate reserves	Auditors report Poor use of resources Inability to meet commitments	Members	2	3	Jan 2015	-Clerk to review as part of budgeting -Reserves Policy to set percentage of precept.	Earmarked reserves established.	A	
F10	Fraud by Clerk	Reputation Costs, Litigation	Clerk	1	3	Jan 2015	-Adequate internal audit -Regular reporting to members -Control systems for managing expenditure	Cheques only signed at meetings, 2 signatures. Clerk only signs for urgent need up to £250. monthly reporting.	G	
F11	Fraud by Members	Reputation Costs, Litigation	Clerk	1	3	Jan 2015	-Adequate internal audit -Regular reporting to members -Control systems for managing expenditure		G	
	COMPLIANCE					Jan 2015				
C1	Inadequate awareness of relevant legislation	Failure to comply	Members Clerk	2	3	Jan 2015	-Maintain membership of WALC/NALC -Clerk to train/qualify	Alternative support to be established	A	
C2	Failure to comply with relevant legislation	Litigation Costs Reputation damage	Members Clerk	2	3	Jan 2015	-Maintain membership of WALC/NALC -Clerk to maintain training -Liaise with internal and external auditors	Alternative support to be established	A	
C3	Failure to maintain fixed assets register	Improper control Poor auditor's report	Clerk	1	2	Jan 2015	-Council to review -Internal audit to review	Cllr's to take on spot checking duties	A	
C4	Improper financial records	Potential for wasted resources	Clerk	1	2	Jan 2015	-Internal audit to review		G	
C5	HMRC requirements not met	Costs Litigation	Clerk	1	3	Jan 2015	-Clerk to liaise as necessary		G	
C6	Failure to comply with deadlines for accounts and returns	Poor auditor's report Reduction in confidence	Clerk	1	2	Jan 2015	-Clerk to liaise with internal and external audit		G	
C7	Non-compliance with data protection	Litigation Poor reputation	Members Clerk	1	3	Jan 2015	-Clerk to monitor		G	

KEY: R = Under Review

A = Actions being undertaken

G = Good/ in order