

Draft St Cleer Parish Council Corporate Risk Assessment 2023-24

No	Risk	Outcome of risk	Risk	X	Prob	Total	RAG	Mitigation	Action To Be Taken
1	Litigation and loss	Financial Incompetence	2	x	2	4		<ul style="list-style-type: none"> • ELI / PLI / Fidelity Guarantee / Business interruption / Accident Insurances to meet needs of the Parish • Cashflow reserve of 50% precept (target) • Inspection regimes of community assets • Due Diligence audit of inspection regimes • Asset register linked to Insurance 	
2	Lack of financial management	Bankruptcy	4	x	4	16		<ul style="list-style-type: none"> • Strong Financial Regulations which are owned and delivered by a strong FGPC • Clear understanding of the information presented • Regular monitoring of accounting • FGPC committee to include due diligence audit • FGPC to hold Council to account on KPIs such as regular checks on Register of Interests • Recording of income and expenditure in accessible format 	Employ qualified clerk and or RFO
3	Lack of Equality of Access to resources	Discrimination by default or design	4	x	3	12		<ul style="list-style-type: none"> • Spending planned over that time • Precept meets budget • Whole Parish Council ownership of the Budget and Precept • Effective amounts set aside to meet programme of asset replacement 	Create a new three year business plan
4	Precept not linked to business plan	Insufficient funds to deliver Business Plan	4	x	3	12		<ul style="list-style-type: none"> • Spending planned over that time • Precept meets budget • Whole Parish Council ownership of the Budget and Precept • Effective amounts set aside to meet programme of asset replacement 	

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5	HR Related Litigation	Financial Impact Risk to Reputation	4	x	4	16		<ul style="list-style-type: none"> Use HMRC Basic Tools -HR Policy Use eg Lone working policy Effective delegation Appraisal / Training Needs Analysis Training provision and recording Grand-parenting system for appraisals 	<p>Where is the HR Policy ?</p> <p>Human resources committee to engage with staff to</p> <ul style="list-style-type: none"> Effective HR Committee Councillor Training Membership of SW Councils for HR Advice
6	Inadequate bank account provision	Reliance on Cheques Clerk purchasing limited Payments not able to be made	4	x	4	16		<ul style="list-style-type: none"> Use Internet based account Clerk access to the accounts Access to statements Invoices to be emailed to Authorisers 	<p>New signatories needed for all PC bank accounts</p> <p>Ask council to approve read only internet banking access to HSBC</p> <p>Note: Clerk charge card cancelled by KJ</p>
7	Bank account with excess of 85k	Financial Loss	4	x	2	8		Accounts held with two separate banks	
8	Corruption	Litigation and financial Loss Risk to Reputation	2	x	2	4		<ul style="list-style-type: none"> Use of Code of Conduct Register of interest updated at least annually Diligent expression of interests in meetings Training for Councillors <ul style="list-style-type: none"> Provision of decision matrix for councillors in meetings re interests Excellent practice in cross parish involvement in planning applications Appropriate purchasing and compliance with regulations (including concessions) 	<ul style="list-style-type: none"> Provision of decision matrix for councillors in meetings re interests <p>Provide training for Councilors</p>
9	Inappropriate Procurement	Litigation and financial Loss Risk to Reputation	4	x	2	8		<ul style="list-style-type: none"> Clerk to manage all procurements and concessions Contracting to meet Financial Regulations Use of Procurement Organisations Appropriate purchasing and compliance with regulations (including concessions) GDPR assessment on procurement as required Contracts to manage GDPR and Anti Trafficking (require contractor compliance) 	Need Qualified Clerk to achieve this

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10	Breach of GDPR Breach of ICO regulations in relation to FOIs	Loss of data which harms an individual Litigation	4	x	4	16		<ul style="list-style-type: none"> Adopt Data Protection Policies from DPO ICO Registration and compliance in relation to all FOIs Management of FOIs within guidelines DPO Appointment GDPR Policy and Procedures Due Diligence / Audit / evidence of governance in this area 	ICO Registration and compliance in relation to all FOIs Management of FOIs within guidelines DPO Appointment GDPR Policy and Procedures Due Diligence / Audit / evidence of governance in this area
11	Accounting malpractice Fraud	Loss of Income Litigation Risk to Reputation	4	x	2	8		<ul style="list-style-type: none"> Introduction of Finance IT system Due Diligence audits of accounting Cross parish involvement with the AGAR Internal Audit leading to quantifiable improvements External Audit leading to quantifiable improvements Utility use monitored and reported 	Need Qualified Clerk to achieve this
12	Breach of Health and Safety Law or tenet thereof	Breach of Health and Safety Law or tenet thereof	4	x	4	16		<ul style="list-style-type: none"> Staff Training Audit of all service areas / provision Due Diligence of inspections Action Plan implementation Reporting to Parish 	Take action on reports to rectify defects Staff Training
13	Prevention of Breach of Health and Safety Law or Tenet	Prevention of Breach of Health and Safety Law or Tenet	4	x	3	12		<ul style="list-style-type: none"> Defibrillator provision and reporting to SWAST First Aid boxes regularly reviewed PAT Testing Electrical Surveys Sanitary Bin contract 	Ensure that the actions in the mitigation are being regularly completed

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14	Mismanagement of Council Asset	Loss Litigation related to Asbestos or Legionella	4	x	4	16		<ul style="list-style-type: none"> Planned and preventative maintenance regimes Regular inspection and reporting on outcomes <ul style="list-style-type: none"> Identified risks acted upon and mitigated <ul style="list-style-type: none"> Health and Safety Diligence Staff Training and sense of accountability <ul style="list-style-type: none"> Routine Testing and recording Improved CCTV monitoring 	Need asset inspections apart from pavilion and toilet Risk Assessments to be completed
15	Lack of Council functionality	Lack of Governance	4	x	4	16		<ul style="list-style-type: none"> Training Focus on outcome focussed discussion Use code of conduct and standing orders diligently; Challenge intimidation and filibustering. <ul style="list-style-type: none"> Promote appropriate transparency Promote organisational confidentiality 	Apply standing orders during all meetings, report bullying and intimidation to The Monitoring officer
16	Lack of community engagement	Irrelevance and mission drift	3	x	2	6		<ul style="list-style-type: none"> Live stream meetings Engage with community on surveys, social media and news Consult on key issues such as NDP / Skate Park 	Get live steam working Consult on rent increases and engage & inform community users
17	Lack of Public Confidence	Lack of community engagement	4	x	4	16		<ul style="list-style-type: none"> Policy of engagement <ul style="list-style-type: none"> Appropriate social media output Excellent web-based information <ul style="list-style-type: none"> Challenge of misinformation Acts that show activity are communicated eg Car Park Replacement of benches, New Gym Equipment and work with football teams 	Active campaign to challenge misinformation Have back up device (iPad to record / live stream meetings in case of internet disruption or go pro failure
18	Poor Moral of Councillors and Staff	Loss of Councillors, staff and contractors	4	x	4	16		<ul style="list-style-type: none"> Concentrate on the work in hand and achievements Challenge issues which lead to negative impact <ul style="list-style-type: none"> Record Progress 	Follow standing orders at meetings, encourage Councillors / staff to come forward if they feel like they are being intimidated / bullied. Report incidents to the Monitoring officer.

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19	Scrutiny of Planning Applications	Loss of public confidence, in appropriate planning decisions.	3	x	3	9		<ul style="list-style-type: none"> • Provide guidelines to councillors • Training for Clerk and Councillors • Engage with Planning Dept <ul style="list-style-type: none"> • Use of Social Media 	Ensure planning is on Agendas and is given adequate time for discussion Arrange online planning training encourage councillors to look up applications
20	Lack of training of Councillors	Poor decision making Inappropriate conduct Inefficient working of the Council	4	x	4	16		<ul style="list-style-type: none"> • Arrange training for Planning, Code of Conduct and Chairmanship • Clerk support at meetings to maintain Standing Orders • Training Needs Analysis • In house training 	the PC has co opted several new Councillors. Ensure Code of Conduct training is arranged. Offer other training on offer from CALC PC has appointed a Locum untrained unqualified Clerk
21	Democracy impeded by intimidation Harassment and Intimidation of staff and Contractors Lack of adherence to the Code of Conduct	Loss of Councillors, staff and contractors Litigation Poor performance of duties / Time management impact Cost of lost opportunity	4	x	4	16		<ul style="list-style-type: none"> • Use of Standing Orders and Financial Regulations • Training of Councillors, strict adherence to the Member / Officer protocol and report breaches to the Chair, employment committee or Moderator. • Use of Vexatious Customers Policy • Referral of incidences of Harassment and Intimidation to Monitoring Officer • Referral of incidences where appropriate to the Police • Use of Cornwall Legal Support when required • Use of Insurance Lawyers when required • Protection of staff by Council 	Follow standing orders at meetings, encourage Councillors / staff to come forward if they feel like they are being intimidated / bullied. Report incidents to the Monitoring officer. Offer training to Councillors
22	Parish meetings overburdened	Potential for hasty or poor decision making Pressing matters deferred	4	x	4	16	<ul style="list-style-type: none"> • Circulation of papers prior to the meetings • Chairman Trained • TOR for all Committees Reviewed • Delegated Authority Managed effectively • Financial Regulations improved • Motions framework to create a vote centred meeting and swift decision making • Chair to prioritise Agenda where necessary to ensure matters are dealt efficiently. 	Adhere to Standing orders to prevent overlong debates. Consider re forming committees to spread the work load.	

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23	Risk to Reputation created by trolling	Strong Community Engagement	4	x	4	16		<ul style="list-style-type: none"> Improve use of social media Improve use of St Cleer News / Granite Post Community Engagement TOR Influence opinion by results 	It is recognised that there is limited recourse to unpleasant online trolling by Councillors. Best action is to ignore it unless it clearly breaches the code of conduct and concentrate on positive messaging from the Council
24	Loss of functioning parish as a result of loss of Councillors - interim Cornwall Tenure	Risk to Reputation Risk of loss of Clerk	4	x	4	16		<ul style="list-style-type: none"> Manage all risks and decision making in line with Transparency Code 	It is recognised that there is limited recourse to unpleasant online trolling by Councillors. Best action is to ignore it unless it clearly breaches the code of conduct and concentrate on positive messaging from the Council
25	Inadequate policy and procedural framework	Illegal or less than best practice working Inefficient working of the Council Litigation	4	x	3	12		<ul style="list-style-type: none"> Review core policy and procedures annually Develop procedure manual from NALC / CALC / Other Parishes FGPC to monitor progress Introduction of audit and reporting in relation to procedure, processes and governance 	Policies currently under review
26	Lack of evidence of training of staff / volunteers	Fully trained and competent workforce aimed at delivering the needs of the parish	4	x	4	16		<ul style="list-style-type: none"> Health and safety training Manual handling training lifting and handling training Water safety training Risk Assessment Training CiCA qualification for Clerk RoSPA Inspection qualification 	Offer and encourage training where appropriate Any volunteer to have basic H&S training and risk assessment for tasks
27	Lack of resilience of office due to clerk sickness / absence	Lack of Business Continuity	4	x	4	16		<ul style="list-style-type: none"> Use of Locum / Councillor appointment (CALC / SLCC) Access to ITC Policy for locum appointment in emergency 	Have in place a plan to cover sickness / absence of employees

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28	Cyber security Cloud Back E mail for Councillors	Compliance with GDPR Management of Hacking Remote working and encrypted back up	3	x	2	6		<ul style="list-style-type: none"> Insurance includes Cyber Cover (also includes virus protection) iCloud (or similar) back up with internet provider used to be set up Councillor e mails now all gov.co.uk as recommended 	Set up cloud storage with BT Note: None of RIALTAS appears to be backed up? All on one small lap top.
29	Water supply at the Allotments	Compliance with water safety regulations	1	x	1	1		<ul style="list-style-type: none"> New water supply at allotments has been completed 	

LOW		0 to 4
MEDIUM		5 to 8
HIGH		9 to 12
VERY HIGH		13