

ST CLEER PARISH COUNCIL – CORPORATE RISK ASSESSMENT 2020-2021

No	Risk	Outcome of risk	Risk	X	Prob	Total	RAG	Mitigation
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) • Diligent inspection regimes to community assets • Due Diligence audit of inspection regimes • Asset register linked to Insurance
2	Lack of financial management	Bankruptcy	2	x	2	4		<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
3	Lack of Equality of Access	Discrimination by default or design	3	x	2	6		<ul style="list-style-type: none"> • Equality impact assessments on new processes • Equality impact assessments on existing processes and as all procedures are evaluated • Monitoring at recruitment • Evidence of commitment to non-discrimination • Evidence of diversity awareness at Parish • Deep Dive on specific procedures to ensure equality issues are examined and responded to
4	Precept not linked to business plan	Insufficient funds to deliver Business Plan	3	x	3	9		<ul style="list-style-type: none"> • Each committee to have clear plans for 3 years • 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
5	HR Related Litigation	Financial impact Reputational Risk	2	x	3	6		<ul style="list-style-type: none"> • Use HMRC Basic Tools • Diligent HR Policy Use eg Lone working policy • Effective delegation • Appraisal / Training Needs Analysis • Training provision and recording • Grandparenting system for appraisals • Effective HR Committee
6	Inadequate bank account provision	Reliance on Cheques Clerk purchasing limited	1	x	1	2		<ul style="list-style-type: none"> • Use Internet based account • Clerk access to the accounts • Access to statements • Clerk to have a purchasing card

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7	Bank account with excess of £85K	Financial loss	1	x	1	2		<ul style="list-style-type: none"> Two separate bank accounts held
8	Corruption	Litigation and financial Loss Reputational Risk	2	x	1	2		<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 Provision of decision matrix for councillors in meetings Excellent practice in cross parish involvement in planning applications Appropriate purchasing and compliance with regulations (including concessions)
9	Inappropriate Procurement	Litigation and financial Loss Reputational Risk	2	x	1	2		<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)
10	Breach of GDPR Breach of ICO regulations in relation to FOIs	Loss of data which harms an individual Litigation	3	x	2	6		<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
11	Accounting malpractice Fraud	Loss of income Reputational Risk	4	x	1	4		<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
12	Breach of Health and Safety Law or tenet thereof	Loss of life Litigation Reputational Risk	1	x	2	2		<ul style="list-style-type: none"> Staff Training Audit of all service areas / provision Due Diligence of inspections Action Plan implementation Engagement within Estates Committee Reporting to Parish

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13	Prevention of Breach of Health and Safety Law or Tenet	Loss of life Litigation Reputational Risk	1	x	2	2		<ul style="list-style-type: none"> Defibrillator provision and reporting to SWAST First Aid boxes regularly reviewed PAT Testing Electrical Surveys Water Temperature Surveys Fridge Temp Surveys Review Accident Book Sanitary Bin contract Sharps disposal contract
14	Mismanagement of Council Asset	Loss Litigation related to Asbestos or Legionella	2	x	2	4		<ul style="list-style-type: none"> Planned and preventative maintenance regimens Regular inspection and reporting on outcomes Identified risks acted upon and mitigated Health and Safety Diligence Staff Training and sense of accountability Routine Testing and recording Improved CCTV monitoring
15	Lack of Council functionality	Lack of Governance	2	x	3	6		<ul style="list-style-type: none"> Training Focus on outcome focussed discussion Use code of conduct and standing orders diligently; Challenge intimidation and filibustering. Promote appropriate transparency Promote organisational confidentiality
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
17	Lack of Public Confidence	Lack of community engagement	2	x	3	6		<ul style="list-style-type: none"> Policy of engagement Appropriate social media output Excellent web-based information Challenge of misinformation Acts that show activity are communicated eg Car Park Replacement of benches, New Gym Equipment and work with football teams
18	Poor Moral of Councillors and Staff	Loss of Councillors, staff and contractors	2	x	3	6		<ul style="list-style-type: none"> Concentrate on the work in hand and achievements Challenge issues which lead to negative impact Record Progress

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19	Scrutiny of Planning Applications	Loss of public confidence, in appropriate planning decisions.	2	x	2	4		<ul style="list-style-type: none"> • Formalise Planning Committee, to meet monthly to visit sites and prepare recommendation to full Council • Provide guidelines to councillors • Training for Clerk and Councillors • Engage with Planning Dept • Use of Social Media
20	Lack of training of Councillors	Poor decision making Inappropriate conduct Inefficient working of the Council	2	x	3	6		<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
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	2	x	2	4		<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 the Police • Use of Cornwall Legal Support when required • Use of Insurance Lawyers when required • Protection of staff by Council
22	Parish meetings overburdened	Potential for hasty or poor decision making Pressing matters deferred	1	x	3	3		<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.
23	Reputational Risk created by trolling	Strong Community Engagement	1	x	3	3		<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
24	Loss of functioning parish as a result of	Reputational Risk Risk of loss of Clerk	1	x	1	1		<ul style="list-style-type: none"> • Manage all risks and decision making in line with Transparency Code

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	Councillors - interim Cornwall Tenure							
25	Inadequate policy and procedural framework	Illegal or less than best practice working Inefficient working of the Council Litigation	1	x	1	1		<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
26	Lack of evidence of training of staff	Fully trained and competent workforce aimed at delivering the needs of the parish	1	x	1	1		<ul style="list-style-type: none"> Health and safety training Manual handling training lifting and handling training Water safety training Risk Assessment Training CiICA qualification for Clerk RoSPA Inspection qualification
27	Lack of resilience of office due to clerk sickness / absence	Lack of Business Continuity	1	x	4	4		<ul style="list-style-type: none"> Use of Locums / Councillor appointment (CALC / SLCC) Access to ITC Policy for locum appointment in emergency
28	Cyber security Cloud Back E mail for Councillors	Compliance with GDPR Management of Hacking Remote working and encrypted back up	4	x	4	16		<ul style="list-style-type: none"> Proposal to Parish to extend Insurance to include Cyber Cover (also includes virus protection) iCloud (or similar) back up with internet provider used to provide Broadband at the Pavilion New Webmaster to provide Councillor e mails
29	Water supply at the Allotments	Compliance with water safety regulations	2	x	4	8		<ul style="list-style-type: none"> Enhancements to water supply from the mains to be addressed with alacrity.