

## LEINTWARDINE GROUP PARISH COUNCIL

### GOVERNANCE AND MANAGEMENT RISK REGISTER ACTION PLAN

| Ref | Strategic Risks Identified   | Risk Rating | Control Actions   |
|-----|--|-------------|---|
| RR1 | Insufficient resources to meet obligations due to shortfall in the annual budget, in balances and any loan options | Medium/High | <ul style="list-style-type: none"> <li>• Ensure adequate budgeting and precept setting process to be put in place</li> <li>• Budgetary controls and frequent monitoring to be put in place</li> <li>• Accurate estimates obtained regarding potential costs of projects and of delivering services</li> <li>• Independent internal auditor appointed</li> </ul> |
| RR2 | Sustained poor performance or perceived/actual operational failures causes loss of confidence in Parish Council    | Medium      | <ul style="list-style-type: none"> <li>• Staff and Councillor training</li> <li>• Regular reviews of services delivered</li> <li>• Identify areas of concern at an early stage</li> <li>• Clear roles and responsibilities of both staff and councillors</li> </ul>   |
| RR3 | Failure to deliver improvements throughout the Parish Council estate   | Medium      | <ul style="list-style-type: none"> <li>• Development of realistic achievable projects</li> <li>• Continuous investment programme into parish assets</li> <li>• Ensure budget provisions in place for projects</li> </ul>  |
| RR4 | Misconduct of Staff and Councillors (corruption, fraud etc)  | Medium      | <ul style="list-style-type: none"> <li>• Training and support for staff and councillors</li> <li>• Robust internal audit system in place</li> <li>• Review policies regularly</li> <li>• Appoint well trained staff</li> <li>• Fidelity insurance in place</li> <li>• Annual review of financial regulations</li> </ul>   |
| RR5 | Changes in operational environment and legislation catches the Parish Council unaware                              | Low         | <ul style="list-style-type: none"> <li>• Ensure Councillors and staff keep up to date with latest legislation;</li> <li>• Provide email advice and information from HALC;</li> <li>• Consider subscription with SLCC;</li> <li>• Invest in sector specific journals.</li> </ul>   |
| RR6 | Major operational interruption prevents Parish Council from delivering services (Business continuity)              | Medium      | <ul style="list-style-type: none"> <li>• Adequate insurance cover in place;</li> <li>• Develop Business Continuity Plan;</li> <li>• Contingency funding in budget/reserves needs to be built up for replacement and repairs;</li> <li>• Robust back-up system of storage of important files and records</li> </ul>  |
| RR7 | Catastrophic failure of Council's IT systems   | Low         | <ul style="list-style-type: none"> <li>• Off-site back-up facility may be considered</li> <li>• Electronic back ups carried out regularly</li> </ul>  |

| Ref | Strategic Risks Identified   | Risk Rating | Control Actions  |
|-----|--|-------------|--|
| RR8 | Damage, graffiti, vandalism to outside areas and property<br><br>Personal injury through accidents<br><br>Damage to fences and gates | Low/Med     | <ul style="list-style-type: none"> <li>• Insurance cover on play areas, property and assets;</li> <li>• Public liability insurance in place</li> <li>• Areas maintained by contractors</li> <li>• Regular Electrical Appliance Tests</li> <li>• Proactive monitoring by Councillors</li> </ul> |
| RR9 | Damage, graffiti, vandalism to Cemetery and memorials.<br><br>Personal injury through accidents                                      | Low/Med     | <ul style="list-style-type: none"> <li>• Material damage cover plus public liability insurance</li> <li>• Maintained by professional contractor;</li> <li>• Annual check of memorials to identify any in a dangerous condition;</li> <li>• Introduce inspection to the Cemetery;</li> </ul>    |