

PARISH COUNCIL
GOVERNANCE AND MANAGEMENT RISK REGISTER

Reviewed and Re-adopted 08/09/2008

	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 *Needs of those in business Plan	M	H	*Business plans in operation *In year budget reviews *Feedback from surveys	Annually Quarterly As requested	Unexpected expense	Sue Reeder
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	Quarterly Annually Each meeting	Matter raised at meeting	Sue Reeder
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 descriptions *Appraisal system	Annually Annually Annually	Loss of staff member	Tam Dougan

(Note - Chairman/Clerk can consult with Chairs of Committees as appropriate)

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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	Sue Reeder
5	Failure to meet the requirements for Quality status	*Status rejected *Cash withheld *Responsibilities reduced	M	H	*Monitor requirements for Quality Status	As required		Sue Reeder/ Tam Dougan
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	Sue Reeder

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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	Bi-annual	Following incident	Sue Reeder

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8	The provision of services being carried out under agency/partnership agreements with principal authorities	*Loss of reputation *Poor public image	L	M	*Clear statement of management responsibility for each service *Regular scrutiny of performance against Targets	Annually	Review of adequacy of insurance cover provided by suppliers	Sue Reeder/ Tam Dougan
9	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	Sue Reeder

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17	Damage or loss to Council owned property by third party or act of God Insufficient protection of physical assets owned by the Council - buildings, furniture, equipment etc. Legal liability as a consequence of asset ownership	*High cost of repair *Loss of Assets *Disruption *Damage to public property or person	M L M L	L M M H	*Insurance cover *Good Fire Alarm *Good Burglar Alarm *Clear Staff Monitoring and auditing procedures *Maintain an up to date register of assets *Regular maintenance arrangements for physical assets *Annual review of risk and adequacy of insurance cover	Annually	Police report or damage report View asset register Review of management arrangements regarding insurance cover (loss or damage)	Sue Reeder

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18	Damage to third party property or individual due to Service of Amenity provided	*Claim against Council	L	L	*Public Liability Insurance *Comprehensive event planning *Regular checks of facilities *Ensure all amenities/facilities are maintained to appropriate level	As required	As reported Review of Insurance Cover Review of adequacy of insurance cover provided	Sue Reeder
19	Loss of cash through fraud or dishonesty	*Reduction in available funds *Loss of reputation	L	H	*Clear financial procedures *Adequate insurance cover *Town Clerk not involved in operation of funds	Annually Annually	On a Loss Review Insurance Cover (fidelity guarantee)	Sue Reeder / Tam Dougan

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20	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	Sue Reeder / Tam Dougan
21	Problems due to borrowing or lending. Banking arrangements, including borrowing or lending.	*Failure of third party to repay loan *Inability of Council to repay a loan	L	L	*Include in annual budget *Clear Standing Orders *Prepare, adopt and adhere to codes of practice for procurement and investment	Quarterly reviews	Review of internal controls in place and their documentation Review of minutes to ensure legal powers Review of minutes	Sue Reeder

Complying with restrictions on borrowing							
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22	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	Sue Reeder
23	Keeping proper financial records in accordance with	Inadequate financial control	L	H	Regular scrutiny of financial records and proper arrangements for the	Annually	Review of internal controls in place and their documentation	Sue Reeder

	statutory requirements				approval of expenditure			
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