**SUNNINGHILL & ASCOT PARISH COUNCIL**

**GOVERNANCE AND MANAGEMENT RISK REGISTER (2022)**

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|  | **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 budgetary stakeholders | M | H | * Timely & considered budgetary forward planning * Regular budget reviews | Annually  Quarterly | Unexpected expense | Clerk/Lead Member for Finance |
| 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 | * Clerk * Lead Member for Finance * Chairman |
| 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  Annually  Annually | Loss of staff member | * Clerk * Chairman |

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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 | Clerk  Chairman |
| 5 | 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 | Clerk  Chairman |
| 7 | Ensure Council complies with law in particular:  • Health and Safety  • Equal Opportunities  • Data Protection | * Fines and Penalties from regulation bodies * Employee action for negligence of grievance | M | H | * Clear Policies and procedures * Regular review of law | Bi-annual | * Following incident | Clerk |

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|  | * Human Rights * Disability and Discrimination * Employment Law | * Loss of reputation |  | H |  |  |  |  |
| 8 | The provision of services being carried out under agency/partner-ship 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 | Clerk |
| 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 | Every full council meeting | Review of minutes to ensure legal powers in place, recorded and correctly applied | Clerk |
| 10 | Proper, timely and accurate reporting of Council business in the Minutes | * Confusion and misunderstandings * Actions not reflecting intentions of Council | M | H | * Approval by committee and full council * Minutes properly numbered and paginated with a master copy kept in safekeeping | Monthly | Check minute numbers run consecutively. | Clerk |

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| 11 | Meeting the laid down timetables when responding to consultation invitation | * Affect reputation * Ineffectual involvement | L | L | Documented procedures to deal with responses to consultation requests | Annually | Consultation questions  Non-participation | Chairman |
| 12 | Council lacks relevant skills and commitment | * Council fails to achieve its purpose * Decision making by-passes Council * Poor value for precept money | L | H | * Training for Councillors * Close review of attendance | * Annually. * At first intake of new Councillors especially * Every meeting | HALC training reminders | Chairman |
| 13 | Council becomes dominated by one or two individuals or cliques form | * Conflicts of interest * Pursuit of personal agendas * Decisions made outside Council | L | H | Clear Standing Orders regarding conduct of meeting and Conflict of Interests | Annually | * Adverse press articles * Complaints * Incidents at meetings | Chairman |
| 14 | Councillors benefiting from being on the Council | * Affect reputation * Conflicts of Interest | L | M | * Clear Standing Orders * Open system of payment | * Annually * All meetings | * Adverse press articles | Clerk |

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| 15 | Failure to register Members’ interests, gifts etc | * Member could make inappropriate gains * Could affect reputations | L | M | Procedures in place for recording and monitoring Members interests and gifts | Annually | Test of disclosures  Complaint about members | Clerk |
| 16 | Lack of maintenance of Council owned property | * High cost of repair * Injury to third party leading to claims * Damage to property | M | H | * Building survey * Stock condition survey * Regular routine maintenance * Insurance cover | Annually | * Unexpected incident | Clerk |
| 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) | Clerk |

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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 | Clerk  Chairman of  L&C |
| 19 | Loss of cash through fraud or dishonesty | * Reduction in available funds * Loss of reputation | L | H | * Clear financial procedures * Adequate insurance cover * Clerk not involved in operation of funds | Annually  Annually | On a Loss Review Insurance Cover (fidelity guarantee) | Clerk  Lead member for Financ |
| 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 | Lead Member for Finance |

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| 21 | Problems due to borrowing or lending. Banking arrangements, including borrowing or lending.  Complying with restrictions on borrowing | * 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. |  |  | Lead Member for Finance  Chairman |
| 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 | Clerk  Chairman |

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| 23 | Keeping proper financial records in accordance with statutory requirements | Inadequate financial control | L | H |  | Annually | Review of internal controls in place and their documentation | Clerk |

Adopted:

Minute Ref:

Review Date: