**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
 | QuarterlyAnnuallyEach 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
 | AnnuallyAnnuallyAnnuallyAnnuallyAnnually | 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 | ClerkChairman |
| 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
 | ClerkChairman |
| 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 questionsNon-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 disclosuresComplaint 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 GodInsufficient 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
 | MLML | LMMH | * 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 reportView asset registerReview 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 CoverReview of adequacy of insurance cover provided | ClerkChairman ofL&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
 | AnnuallyAnnually | On a Loss Review Insurance Cover (fidelity guarantee) | ClerkLead member for Financ |
| 20 | Inadequacy of PreceptEnsuring 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 FinanceChairman |
| 22 | Failure to use grants for intended purposesEnsuring 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 | ClerkChairman |

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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: