

**SUNNINGHILL & ASCOT PARISH COUNCIL
GOVERNANCE AND MANAGEMENT RISK REGISTER (2024)**

	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	<ul style="list-style-type: none"> • Lack of direction and prioritisation • Needs of budgetary stakeholders 	M	H	<ul style="list-style-type: none"> • Timely & considered budgetary forward planning • Regular budget reviews 	Annually Quarterly	Unexpected expense	Clerk/Lead Member for Finance
2	Poor reporting to Council	<ul style="list-style-type: none"> • Poor quality decision making • Council becomes ill informed 	M	H	<ul style="list-style-type: none"> • Timely and accurate financial reporting • Clear instructions to staff • Regular project reports 	Quarterly Annually Each meeting	Matter raised at meeting	<ul style="list-style-type: none"> • Clerk • Lead Member for Finance • Chairman
3	Loss of key staff	<ul style="list-style-type: none"> • Failure in budgetary controls • Correspondence backlog 	M	H	<ul style="list-style-type: none"> • Succession Planning • Clear office procedures • Clear budgetary procedures • Up to date job descriptions • Appraisal system 	Annually Annually Annually Annually	Loss of staff member	<ul style="list-style-type: none"> • Clerk • Chairman

	Risk	Impact	Likelihood	Severity	Control Action Internal Controls	Review Frequency	Alternative Review Trigger/Internal Audit Assurance	Responsible Person
4	Failure to respond to electors' wish to right of inspection	<ul style="list-style-type: none"> • Loss of confidence • Loss of reputation 	L	L	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • Information not passed on in a timely manner • Deadlines missed • Lack of achievement 	M	M	<ul style="list-style-type: none"> • Clear Standing Orders • Clear job descriptions 	Annually	<ul style="list-style-type: none"> • Major incident • Complaints 	Clerk Chairman
7	Ensure Council complies with law in particular: <ul style="list-style-type: none"> • Health and Safety • Equal Opportunities • Data Protection 	<ul style="list-style-type: none"> • Fines and Penalties from regulation bodies • Employee action for negligence of grievance 	M	H	<ul style="list-style-type: none"> • Clear Policies and procedures • Regular review of law 	Bi-annual	• Following incident	Clerk

	Risk	Impact	Likelihood	Severity	Control Action Internal Controls	Review Frequency	Alternative Review Trigger/Internal Audit Assurance	Responsible Person
	<ul style="list-style-type: none"> • Human Rights • Disability and Discrimination • Employment Law 	<ul style="list-style-type: none"> • Loss of reputation 		H				
8	The provision of services being carried out under agency/partnership agreements with principal authorities	<ul style="list-style-type: none"> • Loss of reputation • Poor public image 	L	M	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • Confusion and misunderstandings • Actions not reflecting intentions of Council 	M	H	<ul style="list-style-type: none"> • 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

	Risk	Impact	Likelihood	Severity	Control Action Internal Controls	Review Frequency	Alternative Review Trigger/Internal Audit Assurance	Responsible Person
11	Meeting the laid down timetables when responding to consultation invitation	<ul style="list-style-type: none"> • Affect reputation • Ineffectual involvement 	L	L	Documented procedures to deal with responses to consultation requests	Annually	<ul style="list-style-type: none"> • Consultation questions • Non-participation 	Chairman
12	Council lacks relevant skills and commitment	<ul style="list-style-type: none"> • Council fails to achieve its purpose • Decision making by-passes Council • Poor value for precept money 	L	H	<ul style="list-style-type: none"> • Training for Councillors • Close review of attendance 	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • Adverse press articles • Complaints • Incidents at meetings 	Chairman
14	Councillors benefiting from being on the Council	<ul style="list-style-type: none"> • Affect reputation • Conflicts of Interest 	L	M	<ul style="list-style-type: none"> • Clear Standing Orders • Open system of payment 	<ul style="list-style-type: none"> • Annually • All meetings 	<ul style="list-style-type: none"> • Adverse press articles 	Clerk

	Risk	Impact	Likelihood	Severity	Control Action Internal Controls	Review Frequency	Alternative Review Trigger/Internal Audit Assurance	Responsible Person
15	Failure to register Members' interests, gifts etc	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • High cost of repair • Injury to third party leading to claims • Damage to property 	M	H	<ul style="list-style-type: none"> • Building survey • Stock condition survey • Regular routine maintenance • Insurance cover 	Annually	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • High cost of repair • Loss of Assets • Disruption • Damage to public property or person 	M L M L	L M M H	<ul style="list-style-type: none"> • 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

	Risk	Impact	Likelihood	Severity	Control Action Internal Controls	Review Frequency	Alternative Review Trigger/Internal Audit Assurance	Responsible Person
18	Damage to third party property or individual due to Service of Amenity provided	<ul style="list-style-type: none"> • Claim against Council 	L	L	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • Reduction in available funds • Loss of reputation 	L	H	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • 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

	Risk	Impact	Likelihood	Severity	Control Action Internal Controls	Review Frequency	Alternative Review Trigger/Internal Audit Assurance	Responsible Person
21	Problems due to borrowing or lending. Banking arrangements, including borrowing or lending. Complying with restrictions on borrowing	<ul style="list-style-type: none"> • Failure of third party to repay loan • Inability of Council to repay a loan 	L	L	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • Lack of funds for project for which grant was intended • Investigation into the use of funds 	L	L	<ul style="list-style-type: none"> • 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

	Risk	Impact	Likelihood	Severity	Control Action Internal Controls	Review Frequency	Alternative Review Trigger/Internal Audit Assurance	Responsible Person
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: 07 May 2024
Minute Ref: 8759
Review Date: May 2025