

Ash Parish Council

GOVERNANCE AND MANAGEMENT RISK REGISTER

**Adopted by Ash Parish Council 14 May 2018
Reviewed May 2019 (Added Title Page)**

ASH PARISH COUNCIL
GOVERNANCE AND MANAGEMENT RISK REGISTER - APRIL 2019

	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 annual plan *See note 19 re precept	L (1)	H (3)	*Business plans in operation *In year budget reviews *Feedback from surveys	Annually Quarterly As requested	Unexpected expense	Clerk/RFO Chairman
2	Poor reporting to Council	*Poor quality decision making *Council becomes ill informed	L (1)	H (3)	*Timely and accurate financial reporting *Clear instructions to staff	Monthly Annually	Matter raised at meeting	Clerk/ Chairman
3	Loss of key staff	*Failure in budgetary controls *Correspondence backlog	L (1)	H (3)	*Succession Planning *Clear office procedures *Clear budgetary procedures *Up to date job descriptions *Appraisal system	Annually Annually	Loss of staff member	Clerk

(Note - Chairman/Clerk will 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 (1)	L (1)	*Clear Standing Orders and Operating Protocols *Documented procedures to deal with enquiries from the public *Ensure inspection period advertised in accordance with current legislation	Annually	Approach by elector to auditor	Clerk
5	Poor document control	*Information not passed on in a timely manner *Deadlines missed *Lack of achievement	L (1)	M (2)	*Clear Standing Orders *Clear job descriptions	Annually	Major incident Complaints	Clerk
6	Council doesn't comply with law in particular: *Health and Safety *Employment Law * Data Protection	*Fines and Penalties from regulation bodies *Employee action for negligence or grievance *Loss of reputation	L (1)	H (3)	*Clear Policies and procedures *Regular review of law and advice sought when required: Employment Solicitor or use of Sage HR facility *Independent Data Protection Officer	Annually	Following incident Risk Assessments COSHH Assessments Publication Scheme on website and updated	Clerk

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7	The provision of services being carried out under agency/partnership agreements with principal authorities	*Loss of reputation *Poor public image	L (1)	M (2)	*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
8	Ensuring all business activities are within legal power	*Illegal expenditure or activity	L (1)	H (3)	*Recording of activities in the minutes. Ash PC currently holds the General Power of Competence	Monthly	Review of minutes to ensure legal powers in place, recorded and correctly applied. Qualified Clerk	Clerk
9	Proper, timely and accurate reporting of Council business in the Minutes	*Confusion and misunderstandings *Actions not reflecting intentions of Council	L (1)	H (3)	*Approval by committee and Council and signed *Minutes properly numbered and paginated with a master copy kept in safekeeping	Monthly	Check minute and page numbers run consecutively Minutes kept in locked fire proof safe	Committee Administrator
10	Meeting the laid down timetables when responding to consultation invitation	*Affect reputation *Ineffectual involvement	L (1)	L (1)	*Documented procedures to deal with responses to consultation requests	Annually	Consultation questions Non-participation	Clerk

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11	Council lacks relevant skills and commitment	*Council fails to achieve its purpose *Decision making by-passes Council *Poor value for precept money	L (1)	H (3)	*Training for Councillors *Close review of attendance	Annually. At first intake of new Councillors especially Every meeting	Training reminders	Clerk
12	Council becomes dominated by one or two individuals or cliques form	*Conflicts of interest *Pursuit of personal agendas *Decisions made outside Council	L (1)	H (3)	*Clear Standing Orders regarding conduct of meeting and Conflict of Interests	Annually	*Adverse press articles *Complaints *Incidents at meetings	Chairman/ Clerk
13	Councillors benefiting from being on the Council	*Affect reputation *Conflicts of Interest	L (1)	M (2)	*Clear Standing Orders *Open system of payment *Code of Conduct	Annually All meetings	Adverse press articles	Clerk
14	Failure to register Members' interests, gifts etc	*Member could make inappropriate gains *Could affect reputations	L (1)	M (2)	*Procedures in place for recording and monitoring Members interests and gifts		Test of disclosures Complaint about members	Clerk

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15	Lack of maintenance of Council owned property	*High cost of repair *Injury to third party leading to claims *Damage to property	L (1)	H (3)	*Planned building surveys and maintenance contracts in place *Regular routine maintenance *Insurance cover *Ear marked reserves	Annually	Unexpected incident	Clerk
16	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	L (1) L (1) L (1) L (1)	H (3) H (3) H (3) H (3)	*Insurance cover *Fire Alarm *Intruder 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 Maintain asset register Review of management arrangements regarding insurance cover (loss or damage) Business continuity plan Tree survey and risk assessments	Clerk

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17	Damage to third party property or individual, due to service or amenity provided	*Claim against Council	L (1)	L (1)	*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
18	Loss of cash through fraud or dishonesty	*Reduction in available funds *Loss of reputation	L (1)	H (3)	*Clear financial procedures *Adequate fidelity guarantee insurance cover	Annually Annually	On a Loss Review Insurance Cover (fidelity guarantee)	RFO/ Clerk
19	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 (1)	M (2)	Regular in-year budget progress reports Reporting to principle authority in format as required	Every A,F & A meeting Annually	Unexpected event ie flooding	RFO/ Clerk/ Council

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20	Problems due to borrowing or lending. Bank 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 (1)	L (1)	*Include in annual budget *Clear Standing Orders *Prepare, adopt and adhere to codes of practice for procurement and investment *Spread investment risk, Moody ratings	Quarterly reviews Annual review of investment and strategy	Review of internal controls in place and their documentation Review of minutes to ensure legal powers Review of minutes	RFO/ Clerk
21	Failure to use grants for intended purposes Ensuring the proper use of funds granted under specific powers of general competence or under s137	*Lack of funds for project for which grant was intended *Investigation into the use of funds	L (1)	L (1)	*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	RFO/ Clerk
22	Keeping proper financial records in accordance with statutory requirements	Inadequate financial control	L (1)	H (3)	Regular scrutiny of financial records and proper arrangements for the approval of expenditure	Annually	Review of internal controls in place and their documentation	RFO/ Clerk

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23	Failure of IT systems or security Loss of electronic records and communication tools	Potential 2-3 day shutdown of work which depends on electronic records Potential delay to council meetings or council business	L (1)	H (3)	Server in locked cupboard in locked room Air temperatures monitored Daily backups in place Password protected access to systems On call IT support company able to access server remotely	Ongoing and annual GDPR compliance and upgrades completed May 2018	Maintenance of server security and agreement Maintenance of 9 server batteries Daily back up discs taken off site overnight and then stored in fire proof safe Business continuity plan e.g. Relocate offices with remote access to IT Paper copies of minutes and budgets	Clerk

LEGEND

Likelihood	Highly Likely (3)	Medium (3)	High (6)	High (9)
	Possible (2)	Low (2)	Medium (4)	High (6)
	Unlikely (1)	Low (1)	Low (2)	Medium (3)
		Negligible (1)	Moderate (2)	Severe (3)
			Impact	

RISKS REQUIRING FURTHER MITIGATION ARE:

AT 2 APRIL 2019 – NONE.

Signed: _____
Clerk to the Council

Date of Next Review: _____