

Ash Parish Council



Governance and Risk Register 2025-2026

Ash Centre
Ash Hill Road
Ash
Surrey
GU12 5DP
Tel: 01252 328287
Fax: 01252 319338

E-mail: office@ashpcsurrey.gov.uk

Adopted by Ash Parish Council	8 December 2025
Review Date	9 November 2026

**ASH PARISH COUNCIL
GOVERNANCE AND MANAGEMENT RISK REGISTER - NOVEMBER 2025**

	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 Chair
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 As required	Matter raised at meeting	Clerk/RFO Chair
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 Daily Annually Annually Annually	Loss of staff member	Clerk/RFO

(Note - Chair/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 does not hold the General Power of Competence	Monthly	Review of minutes to ensure legal powers in place, recorded and correctly applied.	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 Monthly	Check minute and page numbers run consecutively. Signed minutes kept in locked fireproof safe.	Clerk
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	Chair/ 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 in Rialtas software *Regular maintenance arrangements for physical assets *Annual review of risk and adequacy of insurance cover	Annually	Police report or damage report Maintain and update asset register.in Rialtas Software. Review of management arrangements regarding insurance cover (loss or damage) Survey of properties for insurance evaluation every three years. 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, Bank insolvency or dishonesty	*Reduction in available funds *Loss of reputation	L (1)	H (3)	*Clear financial procedures *Adequate fidelity guarantee insurance cover Keeping the day to day bank account under the FSCS £85,000 Limit.	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 principal authority in format as required	Every A, F & A meeting Annually	Unexpected event i.e., 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	Annually	Review of internal controls in place and their documentation	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	<p>Failure of IT systems or security</p> <p>Loss of electronic records and communication tools</p>	<p>Potential 2-3 day shutdown of work which depends on electronic records.</p> <p>Potential delay to council meetings or council business</p>	L (1)	H (3)	<p>Staff using SharePoint and two factor identification for added security.</p> <p>BT Fibre link connection installed for business continuity.</p> <p>Air temperatures monitored.</p> <p>Daily backups in place</p> <p>Uninterruptable Power Supply (UPS) Installed</p> <p>Password protected access to systems.</p> <p>On call IT support company able to access server remotely</p>	Ongoing and annual	<p>Maintenance of SharePoint security and agreement</p> <p>Maintenance and testing of Uninterruptable Power Supply (UPS)</p> <p>Daily back up discs are stored in fireproof safe.</p> <p>Business continuity plan e.g.</p> <p>Relocate offices with remote access to IT.</p> <p>Paper copies of minutes and budgets</p>	Clerk

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24	<p><u>COVID 19</u> Variants and Re-infection risks.</p> <p>Council Staff and Councillors Becoming ill.</p> <p>Transmitting virus</p>	<p>Potential shutdown of The Centre impacting on work for Parish Officers and Councillors</p>	L (1)	M (3)	<p>Working positions are set to be more than 2m apart.</p> <p>Instructions to sanitise (materials provided) personal work surfaces are not shared in accordance with the current guidelines enforced at that time.</p> <p>Staff given leave to take inoculations.</p> <p>Reduction in the number of persons permitted into each meeting room to be put in place to ensure 2m spacing and social distancing is adequate in accordance with the current guidelines</p>	As required by Government Guidelines	<p>Adjusted to meet Parish & Government Guidelines</p> <p>Adjusted to meet Parish & Government Guidelines</p> <p>In accordance with Government Guidelines</p> <p>Adjusted to meet Parish & Government Guidelines</p>	Clerk

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					<p>enforced at that time.</p> <p>The wearing of Face Masks is in accordance with the current guidelines enforced at that time.</p> <p>Hand Sanitiser is to be made available to be used in all rooms in accordance with the current guidelines enforced at that time.</p> <p>Entrance and exit routes are to be clearly marked for one way system in accordance with the current guidelines enforced at that time.</p>		<p>Adjusted to meet Parish & Government Guidelines</p> <p>Adjusted to meet Parish & Government Guidelines</p> <p>Adjusted to meet Parish & Government Guidelines</p> <p>Adjusted to meet Parish & Government Guidelines</p>	

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					<p>The hirer must agree and adhere to the maximum number of persons permitted into meeting rooms allowing for 2m spacing in accordance with the current guidelines enforced at that time.</p> <p>Full list of all attendees for each booking must be made available for track and trace purposes in accordance with the current guidelines enforced at that time.</p>		Adjusted to meet Parish & Government Guidelines	

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25	<p>The Council ensures that it can tackle any staff issue. For example:</p> <p>Constructive dismissals</p> <p>Dismissals on medical grounds</p> <p>Dismissals due to gross misconduct</p> <p>Dismissal during the probationary period</p> <p>Severance or redundancy pay.</p> <p>Dismissing staff within 2 years of employment.</p>	<p>Costs the Council in legal fees, damages and time wasted. if a worker makes a claim for unfair dismissal</p> <p>Research shows that presenteeism is hugely costly to employers.</p> <p>Managing HR well not only saves money in both the short and longer term, but also contributes to the development of an engaged and productive workforce.</p> <p>.</p>	Low (2)	Medium (3)	<p>The Council employs suitable a HR Partner to advise on all serious HR issues.</p> <p>Giving staff appropriate leave for medical and dentistry appointments to improve the overall health and wellbeing of staff.</p> <p>This Council protects their workers' health and safety on their return to work, especially when they have become more vulnerable as a result of their illness or injury.</p>	Ongoing and annual	Review of internal controls in place and their documentation	Clerk

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	<p>Employees forced by the Council back to work through punitive policies that punish workers for being sick.</p> <p>Working days are lost to work related injuries and illness such as stress/mental health and musculoskeletal disorders (MDS)</p> <p>Long term sickness absence creates a shortage of staff to manage day to day business activities.</p>	<p>Causes increased stress to the staff currently at work fulfilling their duties.</p>			<p>The Council tries to eliminate by good management of the causes of sickness absence.</p> <p>This Council employs temporary / agency staff to cover long term sickness absence to reduce stress to other working staff.</p>	<p>Ongoing and annual</p> <p>Ongoing and annual</p>	<p>Review of internal controls in place and their documentation</p> <p>Review of internal controls in place and their documentation</p>	<p>Clerk</p> <p>Clerk</p>

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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 November 2025 – NONE.

Signed: A.Watmore
Clerk to the Council

Date of Next Review: November
2026