

SHAW-cum-DONNINGTON PARISH COUNCIL

GOVERNANCE and MANAGEMENT RISK REGISTER

	Risk	Impact	Likelihood	Severity	Control Action Internal Controls	Review Frequency	Alternative Review Trigger/Internal Audit Assurance	Responsible Person
			L = Low, M = Medium, H = High					
1	Lack of forward planning and budgetary controls	Lack of direction and prioritisation	M	H	In year budget reviews	Annually Quarterly As requested	Unexpected expense	Clerk
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 as required	Matter raised at meeting	Clerk/Chairman /Committee Chairmen
3	Loss of key staff	• Failure in budgetary controls • Correspondence backlog • Lack of administration	H	H	• Succession Planning • Clear office procedures • Clear budgetary procedures • Up to date job descriptions • Appraisal system • Electronic backup (see clause 22) • Document store (see clause 5)	Annually	Loss of staff member	Chairman
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	Chairman/Clerk
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 • All documents available electronically to clerk, chair and at least one other councillor	Annually	Major incident Complaints	Clerk
6	Accidents or injury to staff, councillors and volunteers	• Claim against Council	L	L	• Public Liability Insurance • Event risk assessments • Ensure all amenities/facilities are maintained to appropriate level	As required	Review of adequacy of insurance cover provided	Chairman/Clerk

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7	Ensure Council complies with law/regulations in particular: • Health and Safety • Equal Opportunities • Data Protection • Human Rights • Disability & Discrimination • Employment Law • HMRC regulations	• Fines and Penalties from regulation bodies • Employee action for negligence of grievance • Loss of reputation	M	H	• Clear Policies and procedures • Regular review of law	Annually	Following incident	Chairman/Clerk
8	The provision of services being carried out under agreements with West Berkshire Council	• Loss of reputation • Poor public image	L	M	• Clear statement of management responsibility for each service • Regular monitoring of performance	Annually	Public complaints	Chairman/Clerk
9	Ensuring all activities are within legal power	Illegal expenditure	L	L	General Power of Competence is in place until May 2027. If the General Power of Competence not in place, ensure to record in the minutes the precise power under which expenditure is being approved where necessary	Monthly	Review of minutes to ensure legal powers in place, recorded and correctly applied	Chairman/Clerk
10	Proper, timely and accurate reporting of Council business in the Minutes	• Confusions and misunderstandings • Actions not reflecting the intentions of the Council	M	H	• Approval by the Council • Minutes properly numbered and paginated with a master copy kept in safekeeping	Monthly	Check Minute numbers run consecutively	Chairman/Clerk
11	Meeting the laid down timetables when responding to consultations.	• Affect reputation • Ineffectual involvement	L	L	Documented procedures to deal with responses to consultation requests	Annually	• Consultation questions • Non-participation	Chairman/Clerk

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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	NALC/BALC training reminders	Chairman/Clerk
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 meetings • Documented Code of Conduct	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 • Published Register of Members Interests • Open system of payment • Declaration of any agenda item interests	Annually All meetings	Adverse press articles	Chairman/Clerk
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	Chairman/Clerk
16	Lack of maintenance of Council owned property	• High cost of repair • Injury to third party leading to claims • Property damage	M	H	• Regular routine maintenance inspections • Insurance cover	• Quarterly RoSPA inspection of play equipment • Annually	• Unexpected incident • Report from hirers or Groundsman	Chairman/Clerk

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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	• Insurance cover • 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 • Bi-annual check of pavilion	• Police report or damage report • View asset register • Review of management arrangements regarding insurance cover (loss or damage)	Chairman/Clerk
18	Damage to third party property or individual due to Service of Amenity provided	Claim against Council	L	L	• Public Liability Insurance • Regular checks of facilities • Ensure all amenities/facilities are maintained to appropriate level	As required	Review of adequacy of insurance cover provided	Chairman/Clerk
19	Loss of cash through fraud or dishonesty	• Reduction in available funds • Loss of reputation	L	H	• Documented financial regulations and procedures • Adequate insurance cover	Annually	Review of Insurance Cover (fidelity guarantee)	Chairman/Clerk
20	Loss of funds through ill-considered investment	• Reduction in available funds • Loss of reputation	L	H	• Investment Policy reviewed annually • Investment Advisory Group meeting annually to consider and recommend investments to Council	Annually	Receipt of large amounts of CIL	Chairman/Clerk
21	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	• Clear budgetary procedures • Regular in-year budget progress reports	Annually Quarterly	Unexpected event	Chairman/Clerk

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22	Failure to use grants for intended purposes	• Lack of funds for project for which grant was intended • Investigation into the use of funds	L	L	• Ensure funds properly ring fenced • Clear, documented financial regulations & procedures • Follow up on use of funds • Record clearly in minutes	Annually	Review of minutes	Chairman/Clerk
23	Keeping proper financial records in accordance with statutory requirements	Inadequate financial control	L	H	Regular scrutiny of financial records and proper arrangements for the approval of expenditure	Annually	Review of internal controls in place and their documentation	Clerk
24	Loss or corruption of electronic records/data	• Poor quality decision making • Council becomes ill informed • Information not passed on in a timely manner • Deadlines missed	M	H	All files and documents kept on Dropbox Cloud. All such data will be accessible to the clerk and at least two councillors at all times.	Monthly	Computer/system/software malfunction	Clerk
25	Lack of a quorum at monthly Council meeting	• Decisions delayed • Payments not authorised. • Deadlines missed (e.g. Annual Return) with possible financial consequences	M	M	Pre-ensure as far as possible that an appropriate number of Councillors are available on the date of meeting. Meeting to be re-arranged at the earliest possible date if a quorum is unlikely on the scheduled date.	Monthly	Councillor illness or other unavoidable personal emergency	Chairman/Clerk
26	Website off-line No effective virus protection	• Lack of information for parishioners • Corruption of website • Cost of re-instating website	L	L	Website managed by provider, and annual fee paid to maintain it.	Ongoing	Regular review of website and reports from users	Clerk