

Foxholes Parish Council Governance & Management Risk Register

Reviewed July 2022

| | Risk | Impact | Likelihood | Severity | Control Action Internal Controls | Review Frequency | Alternative Review Trigger/Internal Audit Assurance | Responsible Person(s) |
|----|--|--|------------|----------|---|---------------------|--|--------------------------|
| 1 | Lack of forward planning & budgetary controls. | Lack of direction and prioritising. | M | H | Business plans in operation. In year budget reviews. | Annually. | Unexpected expense. | Chair/Clerk |
| 2 | Poor reporting to council | Poor quality decision making. Council becomes ill informed. | M | H | Timely & accurate reporting. Clear instructions to staff. Regular project reporting. | Each meeting | Matters raised at meeting. | Clerk/Chair |
| 3 | Loss of key staff | Failure in budgetary controls. Correspondence backlog. | M | H | Succession planning. Clear procedures. | Annually. | Loss of staff member | Chair |
| 4 | Failure to respond to electors wish to right of inspection. | Loss of confidence. Loss of reputation | L | L | Clear Standing Orders. Documented procedures to deal with enquiries from the public. | Annually. | Approach by elector to auditor. | Chair/Clerk |
| 5 | Failure to meet the requirements for Quality Status | Lack of elector confidence. | L | L | Monitor requirements for Quality Status. | As required | Possible future legalisation. | All |
| 6 | 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. | Chair/Clerk |
| 7 | Ensure council complies with law, in particular: Health & Safety: Equal Opportunities: Data Protection: Human Rights: Disability & Discrimination: Employment Law. | Fines & Penalties from regulation bodies. Employee action for negligence or grievance. Loss of reputation. | M | H | Clear Policies and procedures. Regular review of law. | Annually. | Following incident | All |
| 8 | The provision of services being carried out under agency/partnership agreements with principal authorities. | Loss of reputation. Poor public image. | L | M | Clear statement of management responsibility for each service. Regular scrutiny of performance. | Annually. | Review of adequacy of insurance cover provided by suppliers. | Chair/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 meeting. | Review of minutes to ensure legal powers in place, recorded & correctly applied. | Councillors. |
| 10 | Proper, timely and accurate reporting of Council business in the minutes. | Confusion and misunderstandings. Actions not reflecting intentions of Council | L | H | Approval by Council. Minutes pages properly numbered with a master copy kept for safe keeping. | Every meeting. | Check page numbers run consecutively. | Clerk |
| 11 | Meeting the laid down timetables when responding to consultation invitation. | Affect on reputation. Ineffectual involvement. | L | L | Documented procedures to deal with responses to consultation requests. | Annually. | Consultation questions. | All |

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| 12 | Council lacks skills and commitment. | Council fails to achieve its purpose. Decision making bypasses Council. Poor value for precept money. | L | H | Training for Councillors. Close review of attendance. | Annually. | Training reminders. | All |
| 13 | Council becomes dominated by one or two individuals or cliques from. | 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. | All |
| 14 | Councillors benefiting from being on the Council | Affect reputation. Conflicts of Interest. | L | M | Clear Standing orders. | All meetings | Adverse press articles. | All |
| 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. | As required | Test of disclosures. Complaint about members. | All |
| 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. | All |
| 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 etc. Legal liability as a consequence of asset ownership. | High cost of repair. Loss of assets. Disruption. Damage to public property or person. | M | H | Insurance cover. Consider fire & burglar alarms. 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). | Chair/Clerk |
| 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 cover. Review of adequacy of insurance cover. | Chair/Clerk |
| 19 | Loss of cash through fraud or dishonesty. | Reduction in available funds. Loss of reputation. | L | H | Clear financial procedures. Adequate insurance cover. | Annually. | On a loss review insurance cover (fidelity guarantee). | Chair/Clerk |
| 20 | 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 contingences. | L | M | Regular in-year budget progress reports. | Every meeting. | Unexpected event i.e. Flooding. | All |

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| 21 | Problems due to borrowing of lending. Banking arrangements, including borrowing or lending. Complying with restrictions on borrowing. | Failure of third party to repay loan. Inability of Council to repay loan. | L | L | Include in annual budget. Clear Standing orders. Prepare, adopt and adhere to codes of practice for procurement and investment. | Every meeting. | Review of internal controls in place and their documentation. Review of minutes to ensure legal powers. | Chair/Clerk |
| 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. | Lack of funds for project for which grant was intended. Investigation into the use of funds. | L | L | Ensure funds property ring fenced. Clear financial procedures. Follow up on use. Record clearly in minutes. Maintain a separate record for S137 expenditure. | Annually. | Review of minutes. | Chair/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 |