

Adopted:
Reviewed:

UFFCULME 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
1	Lack of forward planning and budgetary controls	*Lack of direction and prioritisation *Needs of those in business Plan	M	H	*Business plans in operation *In year budget reviews *Feedback from surveys	Annually Quarterly As requested	Unexpected expense	
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	Matter raised at meeting	
3	Loss of key staff	*Failure in budgetary controls *Correspondence backlog	M	H	*Succession Planning *Clear office procedures *Clear budgetary procedures *Up to date job descriptions *Appraisal system	Annually	Loss of staff member	

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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	
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	Annually	Major incident Complaints	
6	Ensure Council complies with law in particular: *Health and Safety *Equal Opportunities *Data Protection *Human Rights *Disability and Discrimination *Employment Law	*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	
7	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 against Targets	Annually	Review of adequacy of insurance cover provided by suppliers	

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8	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	Monthly	Review of minutes to ensure legal powers in place, recorded and correctly applied	
9	Proper, timely and accurate reporting of Council business in the Minutes	*Confusion and misunderstandings *Actions not reflecting intentions of Council	M	H	*Approval by committee and Town Council *Minutes properly numbered and paginated with a master copy kept in safekeeping	Monthly	Check minute numbers run consecutively	
10	Meeting the laid down timetables when responding to consultation invitation	*Affect reputation *Ineffectual involvement	L	L	Deal with responses to consultation requests as part of Full Council	Annually	Consultation questions Non-participation	
11	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 especially Every meeting	DALC training reminders	

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12	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 meeting and Conflict of Interests	Annually	*Adverse press articles *Complaints *Incidents at meetings	
13	Councillors benefiting from being on the Council	*Affect reputation *Conflicts of Interest	L	M	*Clear Standing Orders *Open system of payment	Annually All meetings	Adverse press articles Reports to Monitoring Officer	
14	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		Test of disclosures Complaint about members Reports to Monitoring Officer	
15	Lack of maintenance of Council owned or Custodial Trustee 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	

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16	Damage or loss to Council owned or Custodial Trustee 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 M L	L M M H	*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)	
17	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 provided	

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18	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	Regular in-year budget progress reports	Every meeting	Unexpected event i.e. flooding	
19	Problems due to borrowing or lending. Banking 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	L	*Include in annual budget *Clear Standing Orders *Prepare, adopt and adhere to codes of practice for procurement and investment	Quarterly reviews	Review of internal controls in place and their documentation Review of minutes to ensure legal powers Review of minutes	

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20	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	*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	
21	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	