

**WENDOVER 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 WPC Community Action Plan | M | H | * Current WPC Community Action Plan valid until 2021 *In year I&E and budget reviews | Annually Quarterly As requested | Unexpected expenses | Finance Committee with recommendations to Full Council if outside delegated powers. |
| 2 | Poor reporting to Council | *Poor quality decision making *Council becomes ill informed | M | H | *Timely and accurate financial reporting *Clear instructions to staff/use of actions logs *Regular project reports | Monthly/ Quarterly Daily Monthly/ Quarterly | Matters raised and mounted at meetings | Clerk and/or Deputy Clerk/RFO |
| 3 | Loss of key staff | *Failure in budgetary controls *Correspondence backlog *Pressures on other staff | M | H | *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 and Staffing Committee |
| 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 *Staff aware of procedures to deal with enquiries from the public | Annually | Approach by elector to auditor | Clerk |

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| 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 *Regular policy reviews (2 year minimum) | Annually Annually Monthly | Major incident/s Complaints | Clerk |
| 6 | Failure to ensure the Council complies with law in particular: Health & Safety, Equal Opps, Data Protection, Human Rights, Disability & Discrimination, and 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/guidance from NALC/BLAC *External review by Ellis Whittam for HR and H&S related policies and procedures *H&S Checks via EW compliance portal | Monthly Monthly Annually Weekly | Following incident | Clerk & Councillors |
| 7 | The provision of services being carried out under agency/partnership agreements with principal authorities is not done correctly or in line with the agreement | *Loss of reputation *Poor public image | L | M | *Clear statement of management responsibility for each service *Regular scrutiny of performance against Targets (KPI's) | Annually Quarterly | Review of adequacy of insurance cover provided by suppliers Complaints | Clerk |

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| 8 | Ensuring all business activities are within legal power | *Illegal expenditure | L | H | *Recording in the minutes the precise power and account code under which expenditure is being approved | 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 | M | H | *Approval by Council or Committee *Minutes properly numbered and paginated with a master copy kept in safekeeping *Agenda and Minutes training for staff | Monthly | Check minute numbers run consecutively | Clerk and/or staff clerking meeting |
| 10 | Meeting the laid down timetables when responding to consultation invitations | *Affect reputation *Ineffectual involvement | L | L | Documented procedures to deal with responses to consultation requests | Annually | Consultation questions Non-participation | Clerk & Councillors |
| 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 and meetings | Annually & when new Councillors join Every meeting | BALC training reminders | Clerk and Councillors |

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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 *Clear Code of Conduct | Annually | Adverse press articles Complaints Incidents at meetings | Clerk and Councillors |
| 13 | Councillors benefiting from being on the Council | *Affect reputation *Conflicts of Interest | L | M | *Clear Standing Orders *Open system of payments and expenses | Annually All meetings | Adverse press articles | Clerk and Councillors |
| 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 | All meetings | Test of disclosures Complaint about members | Clerk and Councillors |
| 15 | Lack of maintenance of Council owned property | *High cost of repair *Injury to third party leading to claims *Damage to property | M | H | *Building surveys *Asset condition surveys *Regular routine maintenance *Insurance cover | Annually Weekly | Unexpected incident | Clerk and Grounds team |

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| 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 | M L M L | L M M H | *Insurance cover *Fire 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 Weekly | Police report or damage report View asset register Review of management arrangements regarding insurance cover (loss or damage) | Clerk and Grounds team |
| 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 | Clerk and Grounds team |

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| 18 | Loss of cash through fraud or dishonesty | *Reduction in available funds *Loss of reputation | L | H | *Clear financial procedures *Adequate insurance cover *Review of all finance related reports *Use of external internal auditor | Annually Annually Quarterly Bi- Annually | On a Loss Review Insurance Cover (fidelity guarantee) | Clerk, Deputy Clerk/RFO and Councillors |
| 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 | M | Regular in-year budget and general progress reports | Monthly PC Meeting Quarterly Finance Meeting | Unexpected event i.e. flooding | Clerk, Deputy Clerk/RFO and Councillors |
| 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 *Maintain a separate record for s137 expenditure | Annually | Review of minutes | Clerk and Deputy Clerk/RFO |

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| 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 *Internal and External Audit | Monthly and Quarterly meetings Bi-Annually | Review of internal controls in place and their documentation | Clerk and Deputy Clerk/RFO |

L= Low Risk M= Medium Risk H=High Risk

| Document History | | |
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| Status | Date | Version |
| Reviewed by Finance Committee | 20/08/2019 | 3 |
| Reviewed by Finance Committee each quarter – last review date | 02/07/2020 | 3 |
| New format drafted by Deputy Clerk, adopted by Finance Committee | 18/08/2020 | 4 |
| Reviewed by Finance Committee | 17/08/2021 | 4 |