

**WENDOVER PARISH COUNCIL**  
**GOVERNANCE AND MANAGEMENT RISK REGISTER**

	<b>Risk</b>	<b>Impact</b>	<b>Likelihood</b>	<b>Severity</b>	<b>Control Action Internal Controls</b>	<b>Review Frequency</b>	<b>Alternative Review Trigger/Internal Audit Assurance</b>	<b>Responsible Person</b>
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 2023  *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	H	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	<ul style="list-style-type: none"> <li>*Information not passed on in a timely manner</li> <li>*Deadlines missed</li> <li>*Lack of achievement</li> </ul>	M	M	<ul style="list-style-type: none"> <li>*Clear Standing Orders</li> <li>*Clear job descriptions</li> <li>*Regular policy reviews (2 year minimum)</li> </ul>	<ul style="list-style-type: none"> <li>Annually</li> <li>Annually</li> <li>Monthly</li> </ul>	<ul style="list-style-type: none"> <li>Major incident/s</li> <li>Complaints</li> </ul>	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	<ul style="list-style-type: none"> <li>*Fines and Penalties from regulation bodies</li> <li>*Employee action for negligence of grievance</li> <li>*Loss of reputation</li> </ul>	M	H	<ul style="list-style-type: none"> <li>*Clear policies and procedures</li> <li>*Regular review of law/guidance from NALC/BLAC</li> <li>*External review by Work Nest for HR and H&amp;S related policies and procedures</li> <li>*H&amp;S Checks via Work Nest compliance portal</li> </ul>	<ul style="list-style-type: none"> <li>Monthly</li> <li>Monthly</li> <li>Annually</li> <li>Weekly</li> </ul>	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	<ul style="list-style-type: none"> <li>*Loss of reputation</li> <li>*Poor public image</li> </ul>	L	M	<ul style="list-style-type: none"> <li>*Clear statement of management responsibility for each service</li> <li>*Regular scrutiny of performance against Targets (KPI's)</li> </ul>	<ul style="list-style-type: none"> <li>Annually</li> <li>Quarterly</li> </ul>	<ul style="list-style-type: none"> <li>Review of adequacy of insurance cover provided by suppliers</li> <li>Complaints</li> </ul>	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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