

**CHEPPING WYCOMBE PARISH COUNCIL
GOVERNANCE, MANAGEMENT and BUSINESS CONTINUITY RISK REGISTER**

	Risk	Impact	Likelihood	Severity	Control Action Internal Controls	Review Frequency & Responsible Person
1	Lack of forward planning and budgetary controls	*Lack of direction and prioritisation * Spending exceeds budget	L	L	*Business plans in operation *In year budget reviews *Feedback from surveys	Annually by FGP in Budget setting Process Review at each F & GP meeting F & GP chair
2	Poor reporting to Council	*Poor quality decision making *Council becomes ill informed	M	M	*Timely and accurate financial reporting *Clear instructions to staff *Regular project reports	Quarterly Annually Each meeting Clerk
3	Loss of key staff	*Failure in budgetary controls *Correspondence backlog	M	M	*Clear office procedures *Clear budgetary procedures *Up to date job descriptions *Appraisal system *Member contact with Clerk & Warden	Annually Clerk

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 Clerk
5	Failure to meet the requirements for Quality status	*Status rejected *Cash withheld *Responsibilities reduced	H		M		*Monitor requirements for Quality Status	As required F & GP Committee
6	Poor document control	*Information not passed on in a timely manner *Deadlines missed *Lack of achievement *Archiving records unmanageable	M		M		*Clear Standing Orders *Clear job descriptions *Information Management Plan	Annually Clerk
7	Ensure Council complies with law in particular: *Health and Safety *Equal Opportunities *Data Protection *Human Rights *Disability and Discrimination	*Fines and Penalties from regulation bodies *Employee action for negligence or grievance *Loss of reputation	L		H		*Clear Policies and procedures *Regular review of law *Dissemination of information from NALC and BALC	Continuous Review Clerk

	*Employment Law								
8	The provision of services being carried out under agency/partnership agreements with principal authorities unclear and/or not meeting agreed standards	* Loss of reputation * Poor public image	L	M		*Clear statement of management responsibility for each service *Regular scrutiny of performance against Targets	Annually 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	Monthly Clerk		
10	Proper, timely and accurate reporting of Council business in the minutes	*Confusion and misunderstandings *Actions not reflecting intentions of Council	L	M		*Approval by committee and Council *Minutes properly numbered and paginated with a master copy kept in safekeeping *Minutes issued in a timely and clear manner	Annually F & GP Chair		
11	Meeting the laid down timetables when responding to consultation	*Affect reputation *Ineffectual involvement	L	L		*Documented procedures to deal with responses to consultation requests	Annually Clerk		

12	invitation 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 Buying in expertise	Annually. At first intake of new Councillors especially Every meeting Clerk
13	Councillors benefiting from being on the Council	* Reputation * Conflicts of Interest	L	M	* Clear Standing Orders * Open system of payment	Annually All meetings
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	
15	Lack of maintenance of Council owned property	* High cost of repair * Injury to third party leading to claims * Damage to property	L	H	* Building survey * Stock condition survey * Regular routine maintenance * Insurance cover	Annually
16	Damage or loss to Council	* High cost of repair * Loss of Assets	M	M	* Insurance cover * Good Fire Alarm	Annually

	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	*Disruption *Damage to public property or person				<ul style="list-style-type: none"> * Good Burglar Alarm * Effective fireproof safe * Off-site storage of back-up computer files * 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 	
17	Damage to third party property or individual due to Service of Amenity provided	*Claim against Council	L		L	<ul style="list-style-type: none"> * Public Liability Insurance * Comprehensive event planning * Regular checks of facilities * Ensure all amenities/facilities are maintained to appropriate level 	As required
18	Loss of cash through fraud or dishonesty	*Reduction in available funds *Loss of reputation	L		H	<ul style="list-style-type: none"> * Clear financial procedures * Adequate insurance cover * Parish Clerk not involved in operation of funds 	Annually Annually
19	Inadequacy of Precept Ensuring the adequacy of the	*Services not provided *Lack of confidence in Council *Inability to carry out	L		M	* Regular in-year budget progress reports	Every F & P meeting

	annual precept within sound budgeting arrangements	functions * Insufficient funds for contingencies					
20	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 * Bankruptcy of Bank or investment companies	L	L		* Include in annual budget * Clear Standing Orders * Prepare, adopt and adhere to codes of practice for procurement and investment * Reviewing bank performance and investment returns	Quarterly reviews Annually
21	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 s.137 expenditure	Annually
22	Keeping proper	* Inadequate financial				* Internal and external auditing of	Quarterly

	financial records in accordance with statutory requirements	control	L	H	financial records * In-house audits * Proper arrangements for the approval of expenditure	
23	LED Lighting Project	Inadequate financial control Health & Safety issues				

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