

CLYFFE PYPARD PARISH COUNCIL
GOVERNANCE, FINANCE AND MANAGEMENT RISK REGISTER
 Adopted at Parish Council meeting – 26th May 2022

	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	M	H	*3-year rolling forecast / Business plan used when preparing annual budget (last year, current year, and next year) *In year budget reviews *Feedback from surveys	Annually Each Parish Council meeting As required	Unexpected expense	Clerk / Chairman
2	Poor reporting to Council	*Poor quality decision making *Council becomes ill informed	M	H	*Timely and accurate financial reporting *Regular project reports	Each Parish Council meeting Each Parish Council meeting as required	Matter raised at meeting	Clerk
3	Loss of key staff	*Failure in budgetary controls *Correspondence backlog	M	H	*Succession Planning *Clear Standing Orders, Financial Regulations, and other procedure instructions	Annually	Loss of staff member Inform Democratic Services at Wiltshire Council of the change of details who will alter their central website Tel: 0300 456 0100	Clerk / Chairman

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							(suggest Chairman becomes the published point of contact in interim). Contact WALC for advertising of interim Clerk if needed Tel: 01380 729549	
4	Failure to respond to electors' wish to right of inspection	*Loss of confidence *Loss of reputation	L	L	*Clear Standing Orders and Financial Regulations *Compliance with instructions from External Auditor for exercise of public rights * Publication Scheme * WALC guidance to be followed for dealing with other enquiries from the public	Annually	Approach by elector to auditor	Clerk
5	Ensure Council complies with law in particular: *Health and Safety *Equal Opportunities	*Fines and Penalties from regulation bodies *Employee action for negligence of grievance *Loss of reputation	M	H	*Clear Standing Orders *Receipt of updates on changes to law received from WALC/NALC and acted upon as required	Annually As required	Incident reported	Clerk

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	*Data Protection / GDPR *Human Rights *Disability and Discrimination *Employment Law							
6	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 for any new or unusual payments	Regular Parish Council meeting	Review of minutes to ensure legal powers in place, recorded and correctly applied	Clerk / Internal Auditor
7	Proper, timely and accurate reporting of Council business in the Minutes	*Confusion and misunderstandings *Actions not reflecting intentions of Council	M	H	*Approval by Parish Council *Minutes properly numbered with a master copy kept in safekeeping	Each Parish Council meeting	Check minute numbers run consecutively	Clerk
8	Meeting the laid down timetables when responding to consultation invitations	*Affect reputation *Ineffectual involvement	L	L	* Awareness of consultation timescales to ensure timely responses	As required	Consultation questions Non-participation	Clerk
9	Council lacks relevant skills and commitment	*Council fails to achieve its purpose *Decision making by-passes Council	L	H	*Training available for Councillors and Clerk from WALC	As required	WALC training reminders	Clerk

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		*Poor value for precept money			*Close review of meeting attendance	Every Parish Council meeting		
10	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 meetings and Conflict of Interests	Annually	*Adverse press articles *Complaints *Incidents at meetings	Clerk
11	Councillors benefiting from being on the Council	*Affect reputation *Conflicts of Interest	L	M	*Clear Standing Orders *Open system of approving payments	Annually All Parish Council meetings	Adverse press articles	Clerk
12	Failure to register Members' interests etc.,	*Member could make inappropriate gains *Could affect reputations	L	M	*Instructions given to new Councillors on how to register Disclosable Pecuniary Interests with Wiltshire Council *Procedures in place for recording Members interests in minutes	When new Councillor takes office All Parish Council meetings	Test of disclosures Complaint about members	Clerk
13	Lack of maintenance of Council owned property	*High cost of repair *Injury to third party leading to claims *Damage to property	M	H	*Insurance cover *Ensure all amenities / facilities are maintained to appropriate level	Annually Monthly	Unexpected incident	Clerk
14	Damage or loss to Council owned	*High cost of repair *Loss of Assets *Disruption	M L M	L M M	*Insurance cover *Maintain an up to date register of assets	Annually	Police report or damage report	Clerk

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	property by third party or act of God Insufficient protection of physical assets owned by the Council - Legal liability as a consequence of asset ownership	*Damage to public property or person	L	H	*Regular maintenance arrangements for physical assets *Annual review of risk and adequacy of insurance cover		View asset register Review of management arrangements regarding insurance cover (loss or damage)	
15	Damage to third party property or individual due to Service of Amenity provided Use of Contractors to carry out Council works	*Claim against Council	L L	L H	*Public Liability Insurance *Regular checks of facilities *Ensure all amenities/facilities are maintained to appropriate level *Careful vetting of contractors during the selection process to ensure suitability and competence for the works to be undertaken	Annually Monthly As required	Unexpected incident Unexpected incident	Clerk

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	and instructions				*Ensure contractor has adequate public liability insurance			
16	Loss of cash through fraud or dishonesty	*Reduction in available funds *Loss of reputation	L	H	*Clear financial procedures in Financial Regulations *Adequate insurance cover *No payments are made in cash *Annual independent audit of accounts *Clerk is not a cheque signatory *All payments authorised by the Council and recorded in the minutes *Clear procedures in place for use of Internet Banking	Annually Annually	On a Loss Review Insurance Cover (fidelity guarantee)	Clerk
17	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 Parish Council meeting	Unexpected event	Clerk

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18	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 properly ring- fenced in Earmarked or Restricted Reserves *Clear financial Regulations *Follow up on use *Record clearly in minutes	Annually	Review of minutes	Clerk / Internal Auditor
19	Keeping proper financial records in accordance with statutory requirements	Inadequate financial control	L	H	* Clear procedures in Financial Regulations *Regular scrutiny of financial records and proper arrangements for the approval of expenditure	Quarterly	Review of internal controls in place and their documentation	Clerk / Appointed Councillor

Date of next review: May 2023

Date of meeting at which document reviewed and any amendment to document approved	Details of amendment