

**CHALFONT ST GILES PARISH COUNCIL
GOVERNANCE AND MANAGEMENT RISK REGISTER 2022/2023**

	Risk	Impact	Likelihood	Severity	Control Action Internal Controls	Review Frequency	Alternative Review Trigger/Internal Audit Assurance	Respon- sible Person
1	Failure of Unitary Council to distribute precept monies in April and October	Parish Council unable to carry out functions because of lack of funding.	L	H	Always keep a general reserve of around six months running costs.	Annually during budget setting	Unexpected expense	Clerk and Chairman/ G&GP Chairman
2	Lack of forward planning and budgetary controls	-Lack of direction and prioritisation -Needs of those in business Plan	M	H	-In year budget reviews	Quarterly and As requested	Unexpected expense	Clerk and F&GP Chairman
3	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	Monthly Annually Each meeting	Matter raised at meeting	Clerk and Chairman

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4	Loss of key staff	-Failure in budgetary controls -Correspondence backlog -Failure to complete grounds maintenance duties, -Failure to comply with Devolved Service Contract	M	H	-Succession Planning -Clear office procedures -Clear budgetary procedures -Up to date job descriptions -Appraisal system	Annually	Loss of staff member	Clerk and Councillor Chamberlain and Hr Committee for HR Matters
5	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	Clerk

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6	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	Clerk Chairman of the Council
7	-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	Annual	Following incident	Clerk and all Councillors

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8	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	Clerk and Chairman of F&GP
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	Review of minutes to ensure legal powers in place, recorded and correctly applied or General Power of Competence	Clerk and Chairman of the Council
10	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 Parish Council -Minutes properly numbered with a master copy kept in safekeeping	Monthly	Check minute numbers run consecutively	Clerk and Committee Chairmen

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11	Meeting the laid down timetables when responding to consultation invitation	-Affect reputation -Ineffectual involvement	L	L	Documented procedures to deal with responses to consultation requests	When required	Consultation questions Non-participation	Clerk
12	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	BALC training reminders	Clerk
13	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 or when required	-Adverse press articles -Complaints -Incidents at meetings	Clerk and Chairman of the council

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14	Councillors benefiting from being on the Council	-Affect reputation -Conflicts of Interest	L	M	-Clear Standing Orders -Code of conduct -Open system of payment	Annually All meetings	Adverse press articles	Clerk and Chairman of Council/Committee
15	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	Annually or as required	Test of disclosures Complaint about members	Clerk and Chairman of the Council
16	Lack of maintenance of Council owned 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	Clerk and Head Groundsman

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17	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 -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)	Clerk, Chairman of F&GP Committee and Head Groundsman

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18	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
19	Loss of cash through fraud or dishonesty	-Reduction in available funds -Loss of reputation	L	H	-Clear financial procedures -Adequate fidelity insurance cover	Annually	On a Loss Review Insurance Cover (fidelity guarantee)	Clerk
20	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	Quarterly – or as requested in-year budget progress reports	Every F & GP meeting	Unexpected event ie flooding	Clerk and Chairman of F&GP

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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 s137 expenditure	Annually or as required	Review of minutes	Clerk and Chairman of F&GP Committee
22	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	Bi Annually at internal audit	Review of internal controls in place and their documentation	Clerk and Chairman of F &GP Committee

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23	Loss of Office Accommodation	Clerk unable to perform office duties	L	H	-Comply with office licence terms and conditions -Alternative office working space -work from home available in short term	Annually	Unexpected event causing loss of office accommodation (fire)	Clerk, Council

This risk register was adopted on: February 2022

By Chairman of the Finance and General Purposes
Committee.
