

Babraham Parish Council

Governance and Management Risk Register

History

		Signed (Chair)	Signed (Clerk)	Minute
Implemented	July 2004			
Reviewed	Annually 2004-18			
Reviewed	11 April 2019			1904/23
Reviewed	9 April 2020			2004/13
Reviewed	10th June 2021			

	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 business Plan	M	H	*Business plans in operation *In year budget reviews *Feedback from surveys	Annually Quarterly As requested	Unexpected expense	Clerk
2.	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	Quarterly Annually Each meeting	Matter raised at meeting	Clerk
3.	Loss of key staff	*Failure in budgetary controls *Correspondence backlog	L	H	*Succession Planning *Clear office procedures *Clear budgetary procedures *Up to date job descriptions *Appraisal system	Annually Annually Annually As needed Annually	Loss of staff member	Clerk

	Risk	Impact	Likelihood	Severity	Control Action Internal Controls	Review Frequency	Alternative Review Trigger/Internal Audit Assurance	Responsible Person
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	Approach by elector to auditor	Clerk
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 *Leases and documents kept with Clerk	Annually	Major incident Complaints	Clerk
6.	Ensure Council complies with law in particular: *Health and Safety *Equal and Diversity *Data Protection *Human Rights *Disability and Discrimination *Employment Law *Freedom of Information	*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 *Staff work from home and are appropriately insured	Annually	Following incident	Clerk
7.	The provision of services being carried out by contractors are duly insured	*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 and or contractors	Clerk
8.	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 *Legal advice be sought where necessary	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 the Parish Council *Minutes properly numbered and paginated	Monthly	Check minute numbers.	Clerk

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					with a master copy kept in safekeeping *Made available on noticeboard and website			
10.	Meeting the laid down timetables when responding to consultation invitation	*Affect reputation *Ineffectual involvement	L	L	*Respond within given timetable. *Request extension if not possible to meet deadline (planning)	Annually	Consultation questions Non-participation	Clerk
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 / Clerk *Close review of attendance	Annually. At first intake of new Councillors especially Every meeting	SALC training reminders	Clerk
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	Annually	*Adverse press articles *Complaints *Incidents at meetings	Chairman
13.	Councillors benefiting from being on the Council	*Affect reputation *Conflicts of Interest	L	M	*Clear Standing Orders and Code of Conduct. *Open system of payment			
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 *Included as an agenda item in May and October			
15.	Lack of maintenance of Council owned property	*High cost of repair *Injury to third party leading to claims *Damage to property	M	H	*Stock condition survey *Regular routine maintenance *Insurance cover			
16.	Damage or loss to Council owned property	*High cost of repair	M	L	*Insurance cover			

	Risk	Impact	Likelihood	Severity	Control Action Internal Controls	Review Frequency	Alternative Review Trigger/Internal Audit Assurance	Responsible Person
	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	*Loss of Assets *Disruption *Damage to public property or person	L M L	M M H	*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 *Annual inspection of trees in Pocket Park			
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	Review of Insurance Cover Review of adequacy of insurance cover provided	Clerk
18.	Loss of cash through fraud or dishonesty	*Reduction in available funds *Loss of reputation	L	H	*Clear financial procedures *Adequate insurance cover *No petty cash system	Annually Annually	On a Loss Review Insurance Cover (fidelity guarantee)	Clerk
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	Quarterly budget progress reports. Precept derived from previous and planned expenditure.	Every F & P meeting Budget meeting annually. Quarterly reviews.	Unexpected event i.e. flooding	Clerk
20.	Complying with VAT regulations.	*Claiming VAT which is not owed.	L	L	Use helpline if needed. VAT claims calculated by Clerk. Auditor to provide double check.	Bi-annually	HMRC disagreeing with claim.	Clerk

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21.	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	L	L	*Include in annual budget *Clear Standing Orders *Prepare, adopt and adhere to codes of practice for procurement and investment	Quarterly reviews	Review of internal controls in place and their documentation Review of minutes to ensure legal powers Review of minutes	Clerk
22.	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	M	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	Review of minutes	Clerk
23.	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	Annually	Review of internal controls in place and their documentation	Clerk
24.	COVID-19 risks; processes and meetings	Interrupted processes and record keeping Risk of health of Cllrs, Clerk and public	L	M	Council implements robust mechanisms for payments and signatures Return to face-to-face meetings when safe to do so	As advised by Government, quarterly	Change in Government advice	Clerk

Approved at Council Meeting 10th June 2021

Signed (Chair):

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