EAST GARSTON PARISH COUNCIL - GOVERNANCE AND MANAGEMENT RISK REGISTER

	Risk	Impact		Severity	Control action Internal Controls	Review Frequency	Alternative Review Trigger Internal Audit Assurance	Responsible Person(s)
1	Lack of forward planning and budgetary controls	Lack of direction and prioritisation	M	H	Annual spending forecast and budgetary reviews	Annually at APM. Bimonthly	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	Bimonthly	Matter raised at meeting	Clerk. Project responsible councillors
3	Loss of key staff	Failure in budgetary controls. Correspondence backlog	M	H	Succession Planning Clear Office Procedures Clear budgetary procedures Up to date job descriptions	Annually	Loss of Clerk	Chairman. 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	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	Annually	Major incident complaints	Clerk
6	Ensure Council complies with law. in particular • Health & safety • Equal Opportunities • Data protection including GDPR and Privacy Notice • Human Rights • Disability and Discrimination • Employment law • Transparency regulations	Fines & penalties from regulation bodies. Employee action for negligence or grievance. Loss of reputation	M	H	Clear policies and procedures. Regular review of law.	Annually	Following incident	Clerk
7	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

8	Ensuring all business activities are within legal powers	Illegal expenditure	L	H	Recording in the minutes the precise power under which expenditure is being approved.	Bi-monthly	Review of minutes to ensure legal powers in place, recorded and correctly applied	Clerk Councillors
9	Proper, timely and accurate reporting of Council business in the minutes	Confusion and Misunderstanding. Actions not reflecting intentions of Council	M	H	Approval by Parish Council Minutes properly dated and paginated and backups maintained	Bi-monthly	Check minutes run consecutively	Clerk. Chairman
10	Meeting the laid down timetables when responding to consultation Invitation	Affect reputation Ineffectual involvement			Documented procedures to deal with responses to consultation requests	Annually	Consultation queries Non-participation	Clerk
11	Council lacks relevant skills and commitment	Council fails to achieve its purpose. Decision making bypasses 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. Chairman
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 meetings and conflicts of interests. Declaration of interests kept on file	Annually	Adverse press articles. Complaints. Incidents at meetings	Clerk. Chairman
13	Councillors benefiting from being on Council	Affect reputation. Conflicts of interest.	L	M	Clear standing orders. Open system of payment Declaration of interests kept on file	Annually. At all meetings	Adverse press articles.	Clerk. Chairman
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 member's interests and gifts.	Annually	Test of disclosures. Complaints about members	Chairman
15	Lack of maintenance of Council owned property	High cost of repair. Injury to 3rd party leading to claims. Damage to property	M	H	Stock condition survey. Regular routine maintenance. Insurance cover	Annually	Unexpected incident	Clerk Councillors
16	Damage or loss to Council owned 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	High cost of repair Loss of assets Disruption Damage to public property or person	M L L H	L M L H	Insurance cover. Maintain an up to date register of assets. Regular maintenance arrangements for physical Assets. Annual review of risk. Adequacy of insurance cover	Annually	Police report or damage report. View asset register. Review of management arrangements regarding insurance cover (loss or damage)	Clerk Councillors

17	Damage to third party property or individual due to service or 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 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	Annual	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	Regular in-year budget progress reports	Every meeting	Unexpected event (e.g. flooding)	Clerk
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 loan	L	H	Include in annual budget. Clear standing orders. Prepare, adopt and adhere to codes of practice for procurement and investment.	Annually	Review of internal controls in place and their documentation. Review of minutes to ensure legal powers. Review of minutes	Clerk
21	Failure to use grants/donations 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.	Annually	Review of minutes	Clerk
22	Keeping proper financial records.	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 Chairman

Reviewed by the Council at its Meeting held on 15th May 2025.

Chairman...........D. [signature]..........

Clerk..........[signature]..........