

BLOXHAM PARISH COUNCIL
GOVERNANCE AND MANAGEMENT RISK REGISTER 2024/2025

| | 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 | 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 | Each meeting | Matter raised at meeting | Chairman |
| 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 *Appraisal system | Annually | Loss of staff member | Staffing Committee |

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| 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 | Failure to meet the requirements for Quality status | *Status rejected *Cash withheld *Responsibilities reduced | M | H | *Monitor requirements for Quality Status | As required | | Clerk |
| 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 |

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| 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 | Bi-annual | Following incident | Clerk |

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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 |
| 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 | Clerk |
| 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 Town Council *Minutes properly numbered and paginated with a master copy kept in safekeeping | Monthly | Check minute numbers run consecutively | Clerk |

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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 | Annually | 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 | OALC training reminders | Clerk/ Chairman |
| 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 | *Adverse press articles *Complaints *Incidents at meetings | Chairman |

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| 14 | Councillors benefiting from being on the Council | *Affect reputation *Conflicts of Interest | L | M | *Clear Standing Orders *Open system of payment | Annually All meetings | Adverse press articles | Individual Councillor |
| 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 | | Test of disclosures Complaint about members | Individual Councillor |
| 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 | Parish Council |

| | | | | | Control Action | Review | Alternative Review | Responsible |
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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 *Good Fire Alarm *Good Burglar Alarm *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 |

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**BLOXHAM PARISH COUNCIL
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| | | | | | | | Assurance | |
|----|---|--|---|---|---|--------------------------|---|----------------|
| 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 insurance cover * Clerk not involved in operation of funds | Annually Annually | On a Loss Review Insurance Cover (fidelity guarantee) | Parish Council |

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| 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 | Regular in-year budget progress reports | Quarterly reviews | Unexpected event ie flooding | Parish Council |
| 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 | Parish Council |

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| 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 | 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 | Review of minutes | Parish Council |
| 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 |

Updated: May 2024