



KENTS HILL & MONKSTON PARISH COUNCIL

GOVERNANCE AND MANAGEMENT RISK REGISTER

	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	<ul style="list-style-type: none"> * Lack of direction and prioritisation * Needs of those in Business Plans 	M	H	<ul style="list-style-type: none"> * 3 year plan being drafted. * In year budget reviews * Feedback received 	Annually Quarterly As received	Unexpected expense Projects not being completed or prioritised	Clerk
2.	Poor reporting to Council	<ul style="list-style-type: none"> * Poor quality decision making * Council becomes ill informed * Lack of communication which could cause low morale, work not being carried out, or work being duplicated 	M	H	<ul style="list-style-type: none"> * Timely and accurate financial reporting * Clear instructions to Officers * Regular project reporting * Detailed reporting to Council, Officers, and the public to ensure good communications 	Monthly Weekly Monthly Monthly	Matters raised at meetings	Clerk
3.	Loss of key staff	<ul style="list-style-type: none"> * Failure in budgetary controls * Backlog of work * Access issues if passwords not known * Pressure on other Officers * Low morale 	M	H	<ul style="list-style-type: none"> * Succession planning * Clear office policies & procedures * Clear budgetary procedures * Up-to-date job descriptions * Work manuals * Cross training of Officers * Regular Performance management reviews * Training plans & budget 	Annually Annually Annually Annually Annually Ongoing Annually Annually	Loss of Officer(s)	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	<ul style="list-style-type: none"> * Loss of confidence * Loss of reputation 	L	L	<ul style="list-style-type: none"> * Clear Standing Orders and operating protocols * Documented procedures to deal with enquiries from the public 	Annually	Approach by elector to auditor or Monitoring Officer	Clerk
5.	Failure to meet the requirements for quality status	<ul style="list-style-type: none"> * Status rejected or withdrawn * Need to change stationery if status lost 	L	M	<ul style="list-style-type: none"> * Monitor requirements for Quality Status and ensure they are met at all times – once status achieved 	Annually		Clerk
6.	Poor document control	<ul style="list-style-type: none"> * Information not passed on in a timely manner * Deadlines missed * Lack of achievement * Inefficiencies 	L	M	<ul style="list-style-type: none"> * Clear Standing Orders * Clear job descriptions * Document retention policy * Good filing systems in place 	Annually	<ul style="list-style-type: none"> * Major incident * Complaints * Loss of documentation 	Clerk
7.	Ensure Council complies with law, in particular: <ul style="list-style-type: none"> * Health & Safety * Equal opportunities * Data protection / GDPR * Human Rights * Disability & Discrimination * Employment Law * Local government law * Payroll laws 	<ul style="list-style-type: none"> * Fines & penalties * Officer action for negligence of grievance * Loss of reputation * Financial loss 	M	H	<ul style="list-style-type: none"> * Clear policies & procedures in place * Regular review of the laws * Officer training * Contractors in place where necessary 	Annually	Following incident	Clerk

	Risk	Impact	Likelihood	Severity	Control action Internal controls	Review frequency	Alternative review trigger / Internal audit assurance	Responsible person
8.	Ensuring all business activity is within legal power	* Illegal activity * Illegal expenditure	L	H	* Recording in the minutes of the precise power under which expenditure is approved	Monthly	Review of minutes to ensure legal powers minuted and correctly applied	Clerk
9.	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
10.	Proper, timely, and accurate reporting of Council business in minutes	* Confusion and misunderstanding * Lack of communication * Actions not reflecting intentions of Council	M	H	* Approval by Council and committees * Minutes properly numbered and paginated with a master copy kept	Monthly	* Check minute numbers run consecutively * Check minutes are signed	Clerk
11.	Meeting the laid down timetables when responding to consultation invitations	* 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 bypasses Council Poor value for precept money	L	H	* Training plans for Officers * Training plans for Members * Close review of attendance	Annually At first intake of new Members Every meeting	* NALC training reminders * SLCC training reminders	Clerk

	Risk	Impact	Likelihood	Severity	Control action Internal controls	Review frequency	Alternative review trigger / Internal audit assurance	Responsible person
13.	Council becomes dominated by one or two individuals, or cliques form	* Conflicts of interest * Pursuit of personal agendas * Decisions made outside of Council	H	H	* Clear Standing Orders * Clear Code of Conduct * Adoption of Civility & Respect pledge	Annually	* Adverse press articles * Complaints * Incidents at meetings * Resignations	Clerk & Chairman
14.	Councillors benefitting from being on the Council	* Affect reputation * Conflicts of Interest * Financial loss	L	H	* Clear Standing Orders * Open & transparent payment system * Declaration of Interest register	Annually Monthly Each meeting	Adverse press articles	Clerk
15.	Failure to register Members interests, gifts etc.	* Member could make inappropriate gains * Affect reputation	L	M	* Procedures in place for recording and monitoring * Members interests and gifts declared	Annually As and when	* Test of disclosures * Complaints about Members	Clerk
16.	Lack of maintenance of Council owned property	* High cost of repair * Injury to third party leading to claims * Damage to property * Loss of service if machines out of action	M	H	* Building survey * Stock condition report * Regular routine maintenance * Insurance cover	Annually	Unexpected incident	Clerk
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	Annually As and when required	* As reported * Review of insurance cover * Review of adequacy of insurance cover provided	Clerk

	Risk	Impact	Likelihood	Severity	Control action Internal controls	Review frequency	Alternative review trigger / Internal audit assurance	Responsible person
18.	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	<ul style="list-style-type: none"> * High cost of repair * Loss of assets * Disruption * Damage to public property or person 	M L M L	L M M H	<ul style="list-style-type: none"> * Insurance cover * Good fire alarm * Good burglar alarm * CCTV * Clear Officer 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	<ul style="list-style-type: none"> * Police report * Damage report * View asset register * Review of management arrangements regarding insurance cover (loss or damage) 	Clerk
19.	Loss of cash through fraud or dishonesty	<ul style="list-style-type: none"> * Reduction in available funds * Loss of reputation * Potential dismissal of Officer 	L	H	<ul style="list-style-type: none"> * Clear financial procedures * Adequate insurance cover * Try to avoid cash payments / petty cash wherever possible * Second person to check / present 	Annually As and when	<ul style="list-style-type: none"> * Loss review * Insurance cover (fidelity guarantee) 	Clerk
20.	Inadequacy of precept. Ensuring the adequacy of the annual precept within sound budgeting arrangements	<ul style="list-style-type: none"> * Services not provided * Lack of confidence in Council * Inability to carry out functions * Insufficient funds for contingencies 	L	M	<ul style="list-style-type: none"> * Regular in-year budget process reports * Officer training 	Every Council meeting	Unexpected event / natural disaster	Clerk

	Risk	Impact	Likelihood	Severity	Control action Internal controls	Review frequency	Alternative review trigger / Internal audit assurance	Responsible person
21.	Problems due to borrowing or lending. Banking arrangements, including borrowing or lending. Complying with restrictions on borrowing.	Inability of Council to repay loan	L	M	* Include in annual budget * Clear Standing Orders * Prepare, adopt, and adhere to codes of practice for procurement and investment	Quarterly reviews	* Review on 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 or CIL.	* 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 * S137 & CIL separate expenditure record * Grants policy	Each meeting 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 Proper arrangements for the approval of expenditure	Annually	Review of internal controls in place and their documentation	Clerk