



Risk Identified	Risk Level (Potential Impact)	Control Measures	Additional Comments	Risk Level after Control Measures
<b>Business Continuity</b>				
Major incident affecting Newtown Linford	High	<ul style="list-style-type: none"> <li>Refer to Resilience Partnership via Charnwood Borough Council</li> <li>Clerk trained in Emergency Centre Response</li> <li>Clerk to determine appropriate action following contact with Resilience Officers</li> <li>Refer residents to CAR volunteers for assistance where appropriate</li> <li>Actively monitor communications</li> </ul>	<ul style="list-style-type: none"> <li>Limited flood defences available from the Village Hall</li> <li>Consider information to be cascaded to residents in partnership with other agencies</li> </ul>	Low
Pandemic or epidemic e.g. influenza virus, meningitis	High	<ul style="list-style-type: none"> <li>Refer to Government Guidance</li> <li>Staff/Councillor absenteeism – ensure access to Parish Council documents, emails and online banking is available to Councillors in the event the Clerk is incapacitated</li> <li>Reduce number of Parish Council meetings where necessary and in accordance with guidance and Standing Orders</li> <li>Ensure a Scheme of Delegation to the Clerk is in place should the Council be unable to hold a meeting or not quorate</li> </ul>	<ul style="list-style-type: none"> <li>Explore the possibility of a Locum Clerk in the event of prolonged absence</li> </ul>	Low
Severe weather events e.g. high winds, snow, heat wave, drought	Low	<ul style="list-style-type: none"> <li>Consider postponing Parish Council meetings in inclement weather</li> </ul>	<ul style="list-style-type: none"> <li>Use of weather forecast for longer term decisions</li> </ul>	Low
Utilities disruption e.g. gas, electricity or water supply	Low	<ul style="list-style-type: none"> <li>Contact relevant utility service for immediate and longer term picture</li> </ul>		Low
Broadband and telephone failure at the Parish Council Office	High	<ul style="list-style-type: none"> <li>BT Service allows use of an emergency mini-hub</li> <li>Clerk to relocate to Village Hall where possible in the event of prolonged downtime</li> </ul>	<ul style="list-style-type: none"> <li>Consider back-up mobile phone</li> </ul>	Low

Fire affecting the Parish Council Office or Village Hall	<b>Medium</b>	<ul style="list-style-type: none"> <li>• Premises management checks</li> <li>• Evacuation procedures</li> <li>• Consider an alternative venue for Parish Council meetings</li> <li>• Ensure Parish Council hardcopy records are held in a fire proof receptacle</li> <li>• Back up of electronic files to external hard drive</li> <li>• Clerk to ensure access to all files is available via Cloud/Email folders/Website</li> <li>• Archive historic records with Leicester, Leicestershire and Rutland Records Office</li> </ul>	<ul style="list-style-type: none"> <li>• Inform residents and partner agencies if service is disrupted.</li> </ul>	<b>Low</b>
Staff absence	<b>Medium</b>	<ul style="list-style-type: none"> <li>• Staff/Councillor absenteeism – ensure access to Parish Council documents, emails and online banking is available to at least one Councillor in the event the Clerk is incapacitated</li> <li>• Parish Council's quorum is 4 Councillors</li> </ul>	<ul style="list-style-type: none"> <li>• Explore the possibility of a Locum Clerk in the event of prolonged absence</li> </ul>	<b>Low</b>
Website – out of date or risk of being hacked by third party	<b>Low</b>	<ul style="list-style-type: none"> <li>• Clerk ensures content is updated</li> <li>• Clerk ensure website conforms to Web Content Accessibility Guidelines 2.1 AA Standard.</li> <li>• Website is maintained by reputable local web service</li> </ul>	<ul style="list-style-type: none"> <li>• Existing procedures adequate</li> </ul>	<b>Low</b>
<b>Finance</b>				
Financial loss through fraud, theft, poor accounting systems or error (including banking)	<b>High</b>	<ul style="list-style-type: none"> <li>• Bank balances and breakdown of receipts and payments produced and approved at each full Parish Council meeting</li> <li>• Monthly reconciliation</li> <li>• Two signatories required for cheques</li> <li>• Clerk/RFO and one Councillor have access to online bank facilities</li> <li>• Secure online banking procedures in place</li> <li>• VAT identified by RFO and reclaimed at least annually</li> <li>• Insurance in place to cover any resulting financial losses and annual review of insurance policy/assets register</li> <li>• Limited petty cash kept</li> <li>• Experienced, trained Clerk/RFO</li> <li>• Annual review of effectiveness of Internal Auditor</li> <li>• Financial regulations reviewed annually or more frequently in response to regulatory change</li> </ul>		<b>Low</b>

		<ul style="list-style-type: none"> <li>• Periodic review of banking arrangements to secure best possible terms and conditions</li> <li>• All new staff and Councillor appointments subject to DBS checks if post requires access to online banking facilities</li> </ul>		
Financial loss/inability to replace assets if Parish Council does not have adequate insurance cover	<b>Medium</b>	<ul style="list-style-type: none"> <li>• Annual review of Parish Council owned assets</li> <li>• Adequate insurance purchased following a competitive procurement process</li> <li>• Process payment promptly for annual premium</li> <li>• Employers and Public Liability to £10 million is a necessity</li> <li>• Review insurance provision annually</li> </ul>	<ul style="list-style-type: none"> <li>• Include % increase in budget</li> <li>• Consider a 3 year insurance saving plan</li> </ul>	<b>Low</b>
Precept & budget setting – inaccurate & inadequate for PC to carry out Statutory duties	<b>High</b>	<ul style="list-style-type: none"> <li>• Parish Council to determine the precept required through budget forecasts produced by the RFO at the December meeting</li> <li>• Parish Council to ensure adequacy of precept in order for the Council to carry out its statutory duties</li> <li>• Costs of new projects proposed are calculated before inclusion in budget</li> <li>• Council Tax Base Rate is considered</li> <li>• Precept request form to be submitted to Charnwood Borough Council by the Clerk in January each year</li> <li>• Parish Council to maintain between 3 and 12 months running costs in General Reserves</li> <li>• In year unplanned expenditure approved only if General Reserves allow</li> <li>• Stringent Financial Regulations in place</li> </ul>	<ul style="list-style-type: none"> <li>• Consider other funding sources or Public Works Loan Board if necessary</li> <li>• Correct any deficit via budget planning over subsequent years</li> </ul>	<b>Low</b>
Unexpected significant expenditure requirement	<b>High</b>	<ul style="list-style-type: none"> <li>• Parish Council has between 3 and 12 months running costs in General Reserves for such circumstances</li> <li>• Resort to other funding sources or Public Works Loan Board</li> <li>• Correct any deficit via budget planning over subsequent years</li> <li>• Parish Council reviews budget prepared by the RFO in advance of precept being set</li> </ul>		<b>Low</b>
Financial records and reporting – inadequate records	<b>Medium</b>	<ul style="list-style-type: none"> <li>• Bank balances and breakdown of expenditure produced and approved at each full Parish Council meeting</li> <li>• The Parish Council have Financial Regulations in place which set out the requirements</li> </ul>	<ul style="list-style-type: none"> <li>• Review Financial Regulations annually</li> </ul>	<b>Low</b>

Annual Governance Accounting Return Part 3 – inaccurate or incomplete	<b>High</b>	<ul style="list-style-type: none"> <li>• Submit within time frame as determined by the External Auditor</li> <li>• AGAR is completed and submitted to the Internal Auditor for completion and signing off</li> <li>• Meeting held to approve accounts in time for submission to External Auditor</li> <li>• Clerk to attend training as required</li> </ul>	<ul style="list-style-type: none"> <li>• Review dates on receipt of AGAR and guidance</li> </ul>	<b>Low</b>
Best value for works – accountability, work awarded through tender process, overspend on services	<b>Medium</b>	<ul style="list-style-type: none"> <li>• The Parish Council has Financial Regulations which set out the requirements and values for contracting works.</li> <li>• Project budgets closely monitored</li> </ul>	<ul style="list-style-type: none"> <li>• Review Financial Regulations annually</li> </ul>	<b>Low</b>
Legal Powers – illegal activity or payments	<b>High</b>	<ul style="list-style-type: none"> <li>• All activity and payments within the powers of the Parish Council to be resolved at full Council meetings</li> </ul>		<b>Low</b>
Election – costs	<b>Low</b>	<ul style="list-style-type: none"> <li>• Parish Elections are held every four years; next in 2027. Costs only if a contested election and as such the Council should not seek to minimise these</li> </ul>	<ul style="list-style-type: none"> <li>• Include sufficient reserves in budget for each election year</li> </ul>	<b>Low</b>
<b>Operations/Legal</b>				
Data Protection – non compliance	<b>High</b>	<ul style="list-style-type: none"> <li>• The Parish Council has a Data Protection Policy which sets out the requirements in accordance with GDPR</li> <li>• The Parish Council is registered with the ICO</li> <li>• Experienced and trained Clerk in Data Protection issues</li> <li>• Data held limited</li> <li>• Security measures in place e.g. shredding</li> <li>• Confidential reports or correspondence highlighted to Councillors or Clerk anonymises data where appropriate</li> <li>• ICT security in place including password protected documents where required</li> </ul>	<ul style="list-style-type: none"> <li>• Ensure annual renewal with the Information Commissioner’s Office</li> </ul>	<b>Low</b>
Compensation Claims resulting from (alleged) negligent act or accidental omission by the Council or its employee(s)	<b>High</b>	<ul style="list-style-type: none"> <li>• Proper conduct of meetings and decision making in accordance with Standing Orders and advice from Clerk or other expert where necessary e.g. duty of care tree inspections</li> <li>• Training for Councillors and staff</li> <li>• Insurance policy in place</li> <li>• Thorough documentation of all inspections of PC maintained sites</li> </ul>		<b>Low</b>
Failure to represent community interest adequately in relation to	<b>Medium</b>	<ul style="list-style-type: none"> <li>• Parish Council recognised by other agencies for consultation and information</li> <li>• Membership of professional bodies – NALC, LRALC, SLCC</li> </ul>		<b>Low</b>

matters likely to impact significantly on the Parish		<ul style="list-style-type: none"> <li>Parish Council website and social media provide information to residents on key issues in a timely manner</li> <li>Extraordinary Parish Council meetings called when necessary</li> <li>Clerk monitors CBC and LCC Committees for impact on the parish</li> <li>Parish Council has representation on a number of associated bodies such as the Village Hall Committee and Village Magazine Committee</li> <li>Councillors are residents, representative of most areas across the parish</li> <li>Parish Council consults with residents on a number of issues e.g. Traffic Survey, park facilities and improvements</li> </ul>		
Freedom of Information – non compliance	<b>High</b>	<ul style="list-style-type: none"> <li>The Clerk will react to requests for information as necessary and in accordance with the Freedom of Information Act</li> <li>Clerk to keep records of all FOI requests and responses</li> </ul>	<ul style="list-style-type: none"> <li>A substantial request under FOI could result in a number of additional hours work. Consider imposing a fee to supplement the additional hours work</li> </ul>	<b>Low</b>
Health & Safety – failure to ensure H&S Laws	<b>High</b>	<ul style="list-style-type: none"> <li>Risk assessments carried out and regularly reviewed</li> <li>Clerk qualified in Occupational H&amp;S in the Workplace and Risk Assessment Practices and Procedures</li> <li>Parish Council property maintained and inspected regularly</li> <li>Hazard warnings and cordons used in emergency situations to alert members of the public and restrict access</li> </ul>		<b>Low</b>
Illegal activity or decision making	<b>High</b>	<ul style="list-style-type: none"> <li>Standing Orders and Financial Regulations in place and reviewed annually</li> <li>Experienced and trained Clerk and undertakes training updates</li> <li>New Councillor training provided</li> <li>Councillors adhere to Members' Code of Conduct</li> <li>Appropriate Powers referenced where necessary</li> </ul>		<b>Low</b>
Maintenance – poor state of assets of amenities	<b>High</b>	<ul style="list-style-type: none"> <li>Parish Council owned and maintained assets are regularly inspected and maintained</li> <li>All repairs and relevant expenditure is actioned/authorised in accordance with Parish Council policies and procedures.</li> <li>Assets are insured</li> <li>Asset register is reviewed annually</li> </ul>	<ul style="list-style-type: none"> <li>Existing procedures adequate</li> <li>Includes park equipment, street furniture, grounds maintenance contracts</li> </ul>	<b>Low</b>

		<ul style="list-style-type: none"> <li>Procurement through tender process in accordance with requirements</li> </ul>		
Members interests and conduct – failure to declare, conflict of interests, poor conduct	<b>High</b>	<ul style="list-style-type: none"> <li>Declarations of interest by members at full Parish Council meetings</li> <li>Register of members' interests forms reviewed every 6 months</li> <li>Councillors adhere to Members' Code of Conduct</li> <li>Advice available from Clerk and Monitoring Officer</li> </ul>	<ul style="list-style-type: none"> <li>Existing procedures adequate</li> <li>Members take responsibility to update register</li> <li>Clerk to issue reminder to Councillors</li> </ul>	<b>Low</b>
Minutes/agendas/notices and Statutory Documents – accuracy & legality	<b>Medium</b>	<ul style="list-style-type: none"> <li>Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to legal requirements</li> <li>Minutes are approved and signed at the next Council meeting</li> <li>Agenda published according to legal requirements with 3 clear days' notice, including Saturdays</li> <li>Business conducted at Council meetings is managed by the Chairman, or in their absence, the Vice-Chairman</li> </ul>	<ul style="list-style-type: none"> <li>Existing procedures adequate</li> <li>Members adhere to Code of Conduct</li> </ul>	<b>Low</b>

Risk Register compiled by: \_\_\_\_\_ Date: \_\_\_\_\_

Date of Review: \_\_\_\_\_ Comments: \_\_\_\_\_

Risk Register and Business Continuity Plan to be reviewed annually and approved at the Annual Meeting of the Parish Council in May of each year.

RISK RATING	ACTION REQUIRED
<b>Low – Possibility of minor injury only</b>	<b>No further action</b>
<b>Medium – Possibility of significant injury</b>	<b>If it is not possible to lower the risk further, consider the risk against the benefit. Monitor risk assessments at this rating more regularly and closely.</b>
<b>High – Possibility of serious injury/fatality</b>	<b>Identify further controls to reduce the risk rating.</b>