

**QUENIBOROUGH PARISH COUNCIL**  
**Risk Register 2024**



Risk(s) Identified	Risk Level (Potential Impact)	Control Measure	Additional Comments	Risk Level after Control Measures
<b>Business Continuity</b>				
Major incident affecting Queniborough	High	<ul style="list-style-type: none"> <li>• Refer to Resilience Partnership via Charnwood Borough Council</li> <li>• Clerk to determine appropriate action following contact with Resilience Officers</li> <li>• Actively monitor communications</li> </ul>	<ul style="list-style-type: none"> <li>• Limited flood defences available from the Parish Office</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>• Deputy Clerk to take on duties where possible</li> <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>• Clerk to work from home 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

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Fire affecting the Parish Council Office	Medium	<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>	Low
Staff absence	Medium	<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>	Low
Website – out of date or risk of being hacked by third party	Low	<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 services</li> </ul>	<ul style="list-style-type: none"> <li>Existing procedures adequate</li> </ul>	Low
<b>Finance</b>				
Financial loss through fraud, theft, poor accounting systems or error (including banking)	High	<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, Deputy Clerk and two Councillors have access to online bank facilities</li> <li>Secure online banking procedures in place</li> <li>VAT identified by RFO and reclaimed quarterly</li> <li>Insurance in place to cover any resulting financial losses and annual review of insurance policy/assets register</li> </ul>		Low

Risk(s) Identified	Risk Level (Potential Impact)	Control Measure	Additional Comments	Risk Level after Control Measures
		<ul style="list-style-type: none"> <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> <li>• Periodic review of banking arrangements to secure best possible terms and conditions</li> </ul>		
Financial loss/inability to replace assets if Parish Council does not have adequate insurance cover	Medium	<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>	Low
Precept & budget setting – inaccurate & inadequate for PC to carry out Statutory duties	High	<ul style="list-style-type: none"> <li>• Parish Council to determine the precept required through budget forecasts produced by the RFO at the November Budget 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>	Low

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Unexpected significant expenditure requirement	High	<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>		Low
Financial records and reporting – inadequate records	Medium	<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>	Low
Annual Governance Accounting Return Part 3 – inaccurate or incomplete	High	<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>	Low
Best value for works – accountability, work awarded through tender process, overspend on services	Medium	<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>	Low
Legal Powers – illegal activity or payments	High	<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>		Low
Election – costs	Low	<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>	Low
<b>Operations/Legal</b>				

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Data Protection – non compliance	High	<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>• 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>	Low
Compensation Claims resulting from (alleged) negligent act or accidental omission by the Council or its employee(s)	High	<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>		Low
Failure to represent community interest adequately in relation to matters likely to impact significantly on the Parish	Medium	<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> <li>• Parish Council website 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 associated bodies such as the Village Hall Committee</li> <li>• Councillors are residents, representative of most areas across the parish</li> </ul>		Low

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		<ul style="list-style-type: none"> <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	High	<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>	Low
Health & Safety – failure to ensure H&S Laws	High	<ul style="list-style-type: none"> <li>Risk assessments carried out and regularly reviewed</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>		Low
Illegal activity or decision making	High	<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>		Low
Maintenance – poor state of assets of amenities	High	<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 registered is reviewed annually</li> <li>Procurement through tender process in accordance with requirements</li> </ul>	<ul style="list-style-type: none"> <li>Existing procedures adequate</li> <li>Includes park equipment, street furniture, grounds maintenance contracts</li> </ul>	Low

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Members interests and conduct – failure to declare, conflict of interests, poor conduct	High	<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>	Low
Minutes/agendas/notices and Statutory Documents – accuracy & legality	Medium	<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>	Low

Risk Register compiled by: Rachel Barlow Skinner (Clerk)

Date: 22 May 2024 Min No 24-16

Date of Review: May 2025

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
Low – Possibility of minor injury only	No further action
Medium – Possibility of significant injury	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.
High – Possibility of serious injury/fatality	Identify further controls to reduce the risk rating.