



Welshampton and Lyneal Parish Council

Risk Register March 2026

“The greatest risk facing a Council is not being able to deliver the activity or services expected of it”

This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. In conducting this exercise, the following plan was followed:

- Identify the areas to be reviewed.
- Identify what the risk may be.
- Evaluate the management and control of the risk and record all findings.
- Review, assess and revise if required.

Profiling of Risk

Risk profiling uses data collected on risk through identification processes to “score” the level of risk posed by the process/objectives. Risk is profiled according to its likelihood and severity:

Likelihood

Remote	Little or no likelihood
Unlikely	Some likelihood
Likely	Significant likelihood
Very likely	Near certainty

Severity

Major	Total service failure, high financial loses, possible national media criticism, local media interest or possible fatalities/severe injuries.
Serious	Short-term total service failure or prolonged partial failure, possible local media interest, possible financial losses or injuries.
Significant	Short-term partial failure, no media interest, limited financial losses or disruption to service provision.
Minor	An annoyance that does not disrupt service provision or has only a localised impact contained within the service affected. No media or public knowledge of incident.

4 – Major	LOW	MEDIUM	HIGH	HIGH
3 – Serious	LOW	MEDIUM	MEDIUM	HIGH

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2 – Significant	LOW	LOW	MEDIUM	MEDIUM
1 – Minor	LOW	LOW	LOW	LOW
Severity Likelihood	1 – Remote	2 – Unlikely	3 – Likely	4 - Very likely

Once the likelihood and severity of the risk have been assessed they are plotted on the risk profiling grid above and the risk rating defined e.g. If a risk has a likelihood of 3 – Likely and a severity of 4 – Major, the risk rating will be 3 x 4 = 12. This would mean the risk is high and would require a treatment plan.

Areas of Risk

Management

Topic	Risk	H/M/L	Controls	Additional Mitigation Required
Business Continuity	Being unable to continue routine business and activities due to an unexpected event	L	All current files and records are kept securely in the Clerk’s office. Automated secure daily back-ups on Backblaze. In the event of the Clerk being indisposed the Chair would contact SALC.	Existing procedure adequate.
Business Activities Legal Powers	Illegal activity	L	Adoption of General Power of Competence reviewed and agreed May 2025.	Existing procedure adequate
Business Activities Procedures	Non-compliance	L	Model Standing Orders adopted and reviewed annually.	Existing procedure adequate
Insurance	Non-compliance Adequacy Cost	L L L	Specialist broker utilised to advise Adequate levels of cover reviewed annually Bi-annual review undertaken.	Existing procedure adequate.
Minutes/Agendas/Notices	Legality Accuracy	L L	Documents produced and displayed in accordance with legal requirements and adopted Standing Orders. Draft minutes placed on website as soon as possible after meeting	Existing procedure adequate



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Topic	Risk	H/M/L	Controls	Additional Mitigation Required
			Minutes are approved and signed at the next Council meeting.	
Freedom of Information Act	Non-compliance Excessive time required to respond to requests	L M	The Council adopts the Information Commissioner's model publication scheme together with published procedures. All possible public documents are available to view on website which avoids the need for a FOI request. There may be a requirement for additional time for the Clerk if a substantial request is received.	Existing procedure adequate.
Data Protection	Registration Non-compliance Excessive time required to respond to requests	L L M	Registered with Information Commissioner which automatically renews annually The required statutory approach to data in that personal data is handled fairly, lawfully, and securely to protect individual privacy is adopted There may be a requirement for additional time for the Clerk if a substantial subject access request is received.	Existing procedure adequate.
Transparency Code	Non-compliance	L	Subscription to SALC (NALC) and SLCC to allow notification of updates	Existing procedure adequate
Rights of Inspection	Non-compliance	L	Regular review of website.	Existing procedure adequate
Policy and Documentation Control	Non-review of policies and documents in required timescale	L	Review schedule in place.	Existing procedure adequate
Employees	Non-compliance with employment law Loss of Clerk Illegal actions undertaken by staff Non-comply with Health and Safety Law	L L L L	Clerk has a contract of employment and role description Internal audit review. Subscription to SALC (NALC) and SLCC to allow notification of updates Business continuity plan is place – see above Employers' liability insurance in place The Clerk has been provided with relevant training, reference books, access to assistance and legal advice required to undertake the role. Performance monitored annually No legal requirement to undertake H&S check of the Clerk's home office (under 5 employees)	Existing procedure adequate
Council Records – Paper	Loss through theft, fire, damage	L	Council records from 2016 stored securely at the Clerk's	Existing procedure



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Topic	Risk	H/M/L	Controls	Additional Mitigation Required
			office. Older Parish records are stored at Shropshire Council Archives. Insurance cover in place	adequate
Council Records – Electronic	Loss through: Theft, fire, damage Fault/loss of computer	L L	The Parish Councils electronic records are stored on the Clerk's PC with automated secure daily back-up on Backblaze. Insurance cover in place	Existing procedure adequate
Ad hoc provision of amenities, facilities and events	Risk/damage to third party(ies) and/or property	L	Public liability insurance held covers all organised Parish Council activities subject to risk assessments and copies of partner's public liability insurance where applicable.	Existing procedure adequate

Financial

Topic	Risk	H/M/L	Controls	Additional Mitigation Required
Precept	Adequacy of precept Requirements not submitted to Shropshire Council. Payment delayed by Shropshire Council	L L L	Monthly monitoring of financial position at Council meetings. Budget discussions commence in November for approval at January meeting. Shropshire Council provides precept request form which is returned and receipt acknowledged in January. Unallocated reserves remain at a level to fund 3 months anticipated expenditure	Existing procedures adequate
Financial Procedures General	Non-compliance Fraud	L L	Financial Regulations adopted, and reviewed annually, which set out the requirements. Notification of statutory returns (eg Annual Governance and Accountability Return) and publication of documents deadlines are received annually and diarised. System of Internal Control which is reviewed annually.	Existing procedures adequate
Financial Records	Inadequate records Financial irregularities	L L	Financial Regulations adopted, and reviewed annually, which set out the requirements. System of Internal Control which is reviewed annually.	Existing procedure adequate.
Banking	Inadequate check of balances	L	Monthly reconciliation prepared by Clerk and agreed/signed at Council meeting.	Existing procedures adequate.



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Topic	Risk	H/M/L	Controls	Additional Mitigation Required
	<p>Illegal expenditure</p> <p>Non-approved payments</p> <p>Loss through non-banking of receipts</p> <p>Investments/Reserves not managed adequately leading to loss of capital and income</p>	<p>L</p> <p>L</p> <p>L</p> <p>L</p>	<p>Adoption of General Power of Competence reviewed and agreed May 2025.</p> <p>All payments reported to Council for approval. Two approved Councillors authorise every cheque and initial cheque stubs. Signatories ensure that the cheque agrees with the amount and the payee named on the invoice and initial the invoice.</p> <p>All cheque/cash receipts are banked within 5 working days.</p> <p>Reserves monitored to ensure spread of balances across banks.</p> <p>Ensure minimum balance required for day-to-day financial management in current account.</p>	
Petty Cash	Loss through theft or dishonesty	L	No current use of petty cash.	
VAT	<p>Loss of income from non-reclaiming of qualifying VAT.</p> <p>Repayment of claim due to non-compliance</p>	<p>L</p> <p>L</p>	<p>Subscription to SALC (NALC) and SLCC to allow notification of HMRC updates.</p> <p>VAT invoices for qualifying expenditure obtained.</p> <p>Independent review through internal audit.</p>	Existing procedure adequate
Financial Internal Controls	Non-compliance leading to fraud	L	<p>Annual Council review of Internal Controls.</p> <p>Independent review through internal audit.</p> <p>Fidelity cover in place</p>	Existing procedures adequate
Grants Paid	<p>Power to pay</p> <p>Improper use of public funds</p>	<p>L</p> <p>L</p>	<p>Adoption of General Power of Competence reviewed and agreed May 2025.</p> <p>Approval by Council subject to Community Grant Policy criteria, completed application form and supporting information.</p>	Existing procedure adequate
Grants Received	Repayment of grant due to non-compliance of terms and conditions.	L	<p>Grant applications approved by Council following review of terms and conditions.</p> <p>Application of grant monitored and reported to Council.</p>	Existing procedure adequate
Best Value Accountability	Work awarded correctly	L	Financial Regulations and Standing Orders adopted, and reviewed annually, which set out the requirements for procurement and contracts.	Existing procedure adequate
Employment Payments and	Salary paid incorrectly through	L	Hours agreed in employment contract and subsequent	Existing procedure

Topic	Risk	H/M/L	Controls	Additional Mitigation Required
Associated Costs	incorrect hours/rate		amendments.	adequate
	Wrong deduction of NI or Tax	L	Additional hours agreed by Council when required. Salary rates are reviewed annually by the Council. Use of HMRC's free payroll software 'Basic PAYE Tools' to calculate payroll and payments to HMRC	
	Unpaid Tax & NI	L	Independent review through internal audit.	
Election costs	Election costs greater than reserve.	L	Allocation for an earmarked reserve for an uncontested election in place.	Existing procedure adequate
	Risk of a contested election is greater in an election year.	M	Shropshire Council normally invoices the financial year following the election process. However, this may not be the case due to its financial crisis. Allocation of costs of a contested election to be put in place.	

Digital

Topic	Risk	H/M/L	Controls	Additional Mitigation Required
Cybersecurity	Malicious activity that targets digital assets, networks, and systems, such as ransomware, malware, and phishing attacks.	M	Firewall security, Protective systems (anti- virus), software updating regime in place Digital risks training in place	
Third-party risk	Vulnerabilities introduced by external partners, that have access to the Council's systems or data	M	The Parish Councils electronic records are stored on the Clerk's PC with automated secure daily back-up on Backblaze. Councillors have council specific email accounts (gov.uk). Held on server on government approved company. Personal devices have firewall security, Protective systems (anti- virus), software updating regime in place.	
Reputational risk	Any threat that could damage the Council's public image, including social media campaigns, disinformation, and	M	Proactively monitor online information using internal OSINT campaigns, implement robust social media policies, and secure accounts with privacy settings and strong passwords.	



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Topic	Risk	H/M/L	Controls	Additional Mitigation Required
	exposure of damaging information found online through a technique called open-source intelligence (OSINT).			
Cloud technology risk	Vulnerabilities related to storing data and running applications on remote servers, which can include service outages and data breaches.	M	Third parties used employ data encryption, robust access management with MFA, and network segmentation, alongside a zero-trust model and continuous monitoring.	

Physical Equipment or Areas

Topic	Risk	H/M/L	Controls	Review/Assess/Revise
Custodian Trustee of Welshampton Parish Hall	Resignation of Parish Hall Management Committee	L	Ensure annual report received from committee. Ensure 2 representatives of the Council are nominated for the committee.	Existing procedure adequate
	Insufficient funds to maintain premises and contents to required standard.	M	Ensure annual financial report received from committee. Consider financial assistance if required.	
Custodian Trustee of Welshampton Sports Courts	Damage	L	Annual review of assets undertaken.	
Assets	Loss or damage	M	Annual review of assets undertaken. Actual assets, e.g. streetlights and notice boards, are not insured as individual items but as street furniture and identified on Asset Register.	Existing procedure adequate
	Risk/damage to third party(ies) and/or property	M	Assets under excess amount of £250 self-insured. Public liability insurance held covers all usual Parish Council activities	
Maintenance	Poor performance of assets Loss of use Risk to third parties	L L L	Annual review of assets undertaken. All assets owned by the Parish Council are maintained as required. All repairs and relevant expenditure for these repairs are actioned/authorised in accordance with the current procedures of the Parish Council.	Existing procedure adequate



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Councillor Propriety

Topic	Risk	H/M/L	Controls	Review/Assess/Revise
Councillors Interests	Failure to maintain registers and declaring a pecuniary or personal interest could lead to invalidating decisions made by the Council.	L	Members' interest forms held electronically by Shropshire Council's monitoring officer. Latest update May 2025. Standing Item on Council meeting agenda to declare any interest in business to be discussed whether or not declared to monitoring officer.	
	Legal and Criminal Action	L		
Gifts and Hospitality	Failure to declare acceptance of gifts or hospitality in accordance with Hospitality Gifts and Policy could lead to accusations under the Bribery Act 2010	L	Standing Item on Council meeting agenda to declare any acceptance of gifts or hospitality in accordance with Gifts and Hospitality Policy	
	Legal and Criminal Action	L		
Code of Conduct and Dignity at Work <i>See also notes below</i>	<i>To Councillors:</i> Legal and Criminal Action Disciplinary Action Damage to Reputation <i>To the Council:</i> Legal Costs and Financial Penalties. Damage to Reputation and Public Trust Difficulty in Defending Claims Undermined Governance and Effectiveness Increased Scrutiny	M	Promote a Positive Culture: Foster a workplace culture of civility, respect, and courtesy through clear communication and leading by example. Implement and Enforce Policies: Have robust Dignity at Work and Code of Conduct policies in place and ensure they are clearly communicated. Address Issues Promptly: Respond swiftly and seriously to concerns and complaints of breaches. Provide Training: Offer regular training to councillors and officers on their responsibilities under the codes and relevant legislation	

Reputational Risk

When reviewing the risks identified in the Register the Council has also considered the impact on its reputation as the corporate community leader.

Reputational risk is the damage to an organisation's character or brand that can arise from

- service failures - poor quality, safety concerns, or failure to deliver.



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- misleading communications - deceptive advertising or false statements to stakeholders
- poor stakeholder experience - inadequate service or unresolved complaints.
- data breaches - security incidents that expose sensitive personal or Council data.
- Councillor/employee misconduct - unprofessional behaviour by Councillor or employees
- environmental and social issues - failing to meet environmental standards or engaging in socially irresponsible practices

All these areas can result in negative local and media coverage.

A council which holds a strong reputation of managing risk will

- build trust - effective management fosters trust and credibility with the community, employees, other stakeholders and partners
- protect its future ability to act as a community leader - a strong reputation is a critical success factor when seeking to develop its services and activities

Register reviewed 11 March 2026

Next scheduled review date March 2027

Notes

Code of Conduct and Dignity at Work

Risks To Councillors:

Legal and Criminal Liability: Harassment, bullying, or other misconduct can lead to unlawful discrimination claims (no compensation cap) or, in severe cases, criminal prosecution, resulting in fines or imprisonment.

Disciplinary Action: Councillors may face formal disciplinary processes, with potential outcomes ranging from warnings to more severe sanctions depending on the nature and severity of the breach.

Damage to Reputation:

Individual reputations can be severely damaged, impacting future political or professional opportunities

To the Council:

Legal Costs and Financial Penalties: Defending complaints and tribunals is costly and time-consuming, with no cap on compensation for successful discrimination claims.

Damage to Reputation and Public Trust: Breaches of conduct erode public trust and can damage the council's reputation within the community it serves.

Difficulty in Defending Claims: An unhealthy organizational culture, where unacceptable behaviour is tolerated or poorly managed, makes it harder for the council to successfully defend claims.

Undermined Governance and Effectiveness: A failure to uphold codes of conduct or dignity can disrupt council operations, affect morale, and undermine the council's ability to function effectively and make decisions in the public interest.

Increased Scrutiny: Non-compliance can lead to increased scrutiny from the Local Government and Social Care Ombudsman and potentially the police, especially if it involves criminal matters.