



## HEATHFIELD AND WALDRON PARISH COUNCIL - Risk Management Policy Statement

### Risk Assessment Rating

LIKELIHOOD	Highly probable 76-99%	4				
	Probable 51-75%	3				
	Possible 26-50%	2				
	Unlikely 1-25%	1				
			<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>
			Minor	Moderate	Serious	Major
			<b>IMPACT</b>			
<b>FINANCIAL IMPACT</b>			Loss of up to £1000	Loss of up to £10,000	Loss of up to £50,000	Loss of over £50,000
	and/or					
<b>REPUTATIONAL IMPACT</b>			Minimal / localised damage to reputation	Damage to reputation within the village	Damage to reputation within the region	National damage to reputation; intervention by Government
	and/or					
<b>HEALTH &amp; SAFETY IMPACT</b>			No health and safety impact	Minor injury, possibly requiring treatment by health care professional	Serious injuries	Fatality or life-changing injuries

## Risk Appetite and Approaches to Managing Risk

<b>LIKELIHOOD</b>	Highly Probable 76-99%	4		TREAT (take action to reduce risk exposure by introducing measures / controls)		Terminate (i.e. stop the activity that generates the risk)
	Probable 51-75%	3				
	Possible 26-50%	2				
	Unlikely 1-25%	1	Tolerate (an informed view reached that the risk is accepted)			Transfer (usually via insurance or other contractual arrangement)
			1	2	3	4
			Minor	Moderate	Serious	Major
<b>IMPACT</b>						

Risk Rating	Risk Appetite and Action
Green	Risks rated as <b>GREEN</b> are within the risk appetite of the Council. It is unlikely that further additional measures are required to control these risks. These risks may be <b>tolerated</b> by the Council
Amber	Risks rated as <b>AMBER</b> are within the risk appetite of the Council, however further additional measures may be needed to <b>treat</b> (i.e. control) the risks and so reduce exposure OR to consider risk <b>transfer</b> e.g. via insurance, franchising or other contractual arrangement. The Council must be periodically advised of amber risks and the action planned and/or taken to control them.
Red	Risks rated as <b>RED</b> go beyond the risk appetite of the Council. Immediate action is required to bring the risk within the Council's risk appetite or, if this is not possible or desired, to <b>terminate</b> the activity that creates the risk. The Council must be immediately advised of red risks and regularly updated on the action planned and taken to control them until they are within the risk appetite of the Council. Any action taken must be in accordance with the Council's Standing Orders and Financial Regulations.
Gross	The GROSS risk rating is calculated as the impact score x likelihood score, therefore giving a range of risk scores from a minimum of 1, (1x1) to a maximum score of 16, (4x4). The actions to be taken will depend upon the overall level of gross risk score.
Net	The NET risk is the risk remaining after the operation of the Controls in Place and other mitigating actions (as defined on the Risk Register) have taken effect. This is the risk which HWPC is content to "live with".

## RISK ASSESSMENT REGISTER 2025-2026

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee		
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating				
<b>FINANCE</b>										
Loss of reputation and risk of failed external audit through poor accounting/poor internal controls	4	2	8	Documented procedures for accounting arrangements and internal control procedures checked at regular intervals by members  Regular budget monitoring reports of full activity to Committee and full Council  Regular contact with external auditors and other representative bodies to identify new requirements  Two internal audits undertaken in a year and members audit throughout the year with an appointed councillor.	4	1	4	Financial training given to new members  Review of the comments from internal and external auditors and take appropriate actions.  Councillors given training on understanding financial paperwork given to them.  Members audit undertaken at regular intervals	30/09/2025	Finance and General Purpose Committee and RFO
Loss of reputation and resources due to inadequate control and application of funds	4	2	8	Properly timed and formatted process for budgeting and raising precept  Budget takes account of forward planning initiative  3-year budget plan produced Committee assess levels of reserves to maintain security for the future	4	1	4	Monthly accounts forwarded to chairs of committees  Accounts assessed at committee meetings	31/12/2025	Finance and General Purpose Committee and RFO

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee	
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating			
				Regular checking of bank balances against accounts and internal audit and internal control systems; multiple cheque signing procedures and separation of duties and fidelity insurance cover  Members audit					
Loss of cash through dishonesty and theft	4	2	8	Insurance cover in place for Fidelity Guarantee to cover members and officers.  Petty cash checked regularly  Two signatories are required on all payments by authorised signatories.	4	1	4	Bank mandate to remove former signatories who are no longer on the council.  Members audit checking that procedures are in place	30/09/2025  Finance and General Purpose Committee and RFO
Risk of consequential loss of income	3	1	3	Insurance cover in place for insurable risks and reviewed at Finance and General purpose committee  All bank account reserves to be minimum of 50% of the precept where possible.  Financial performance of all activity reviewed monthly to enable any issues to be speedily addressed.	3	1	3	Income from assets or leases reviewed at Leisure, Amenities and Burials Committee meetings  Regular communication with the NHSPS which is the free holder on the Community Centre	March 2025  Finance and General Purpose Committee and RFO

Risks Identified	Controls in Place			Additional controls required	Timeframe	Responsible officer/ Committee	
	Impact	Likelihood	Gross Risk rating				Impact
Annual return submitted late	4	1	4	<p>The Clerk/RFO is aware that the AGAR is to be approved by full council and submitted no later than the statutory deadline. Council members are aware of the financial procedures and approval of the AGAR as this is outlined within the Governance Review Document of Policies and Procedures.</p>	<p>Clerk/RFO to book the internal audit and present the documents to the Full Council to ensure the Accounting Statements are prepared in advance of the council meeting prior to the deadline announced by the external auditor.</p> <p>2 internal audits and members audit carried out through the year and 1 external audit.</p>	April/May annually	Clerk, RFO and Full Council
<p>Inadequate Insurance</p> <p>Libel or slander claims received</p>	3	2	6	<p>The council's insurance has been renewed 1 April 2025. The insurance is currently with Zurich Municipal, who specialise in parish council insurance and is on a long term 5 year plan.</p> <p>The RFO will strive to get three quotes to be presented to the council no later than the March's Meeting when renewal is due.</p> <p>The council has adequate insurance cover in place for libel or slander claims.</p> <p>Insurance cover is checked at the mid year internal audit.</p>	<p>RFO also checks Parish Council owned assets annually through a risk assessment and this is reviewed at the Leisure, Amenities and Burials Committee.</p> <p>To monitor and review and report any claims to the correct committee.</p>	February/March 2025	Clerk, RFO and Full Council

Risks Identified	Controls in Place			Additional controls required	Timeframe	Responsible officer/ Committee				
	Impact	Likelihood	Gross Risk rating				Impact	Likelihood	Net Risk rating	
Bank mistakes, losses and charges	3	2	6	Bank reconciliations are undertaken monthly. Any banking mistakes will be discovered by the RFO on receipt of the bank statement and reported to the Finance and General Purpose Committee.	1	1	1	To review and monitor	At members audit and Full Council meetings	Finance and General Purpose Committee (FGP) and RFO
Non-Compliance with HMRC Regulations and Pension Contributions	3	2	6	Payroll is outsourced to James Todd & Co Accountancy who calculate HMRC and Pension Contributions. The local ALC, & NALC keep the clerk abreast of changes in regulations	3	1	3	Clerk to stay up to date with requirements and assess with internal auditor	31/03/2025	Clerk, RFO and staffing Committee and FGP
Incorrect VAT Claim and/or submission of a late claim	1	3	3	RFO scrutinizes all invoices received to assess whether they can be validly included in the VAT claim. VAT is automatically calculated using the RBS Omega Accounting Rialtas Software.  HWPC is not registered for VAT and VAT claims are reclaimed on a quarterly basis as an organisation not registered for VAT	1	2	2	VAT Claim to be submitted no later than one month and seven days following the end of an accounting period. Our accounting periods are: • 1st April – 30 June. • 1st July – 30 September. • 1st October – 31 December. • 1st January – 31 March.  Submit August, November, February, May	Quarterly end of each month, July 2025, October 2025, January 26 and April 26	RFO and FGP Committee
Damage to or loss of assets including loss due to damage of property.	2	4	8	CCTV is in place at sites in the Parish. Liaison with the police if necessary.  Weekly checks of playground equipment	2	3	6	Asset register to be updated to include management controls for responsibility.  RFO annual check carried out to confirm physical existence	Grounds Maintenance Contractor checks monthly.	Clerk, RFO and Ground Maintenance Contractor

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee		
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating				
				Asset Register policy developed and followed				and condition of all assets in compliance with the Financial Regs. Grounds Maintenance Contractor also carries out periodic check through the parish.  Fire alarm checked weekly at Community Centre and Office	ROSPA annually  RA check annually in June	
				Prompt assessment and implementation of necessary security measures						
				Lettings policies for different buildings with biennial reviews						
				Established process for maintenance and renewal.						
				Grounds Maintenance Contractor will highlight any issues when inspecting, annual inspection by Rospa and by Councillors and admin staff						
Council overspends	3	3	9	Areas of spend closely monitored by RFO and each Committee with Delegated authority to spend. Regular reporting to Council. Decisions taken when risk of overspend arises. General Reserves are monitored.	1	1	1	To review and monitor	Monthly	Clerk, RFO and Council members
Precept inadequate to meet financial commitments	3	2	6	Precept calculated with regard to Council's projections and existing commitments in conjunction with the RFO, Finance and General Purpose Committee and Full Council. Provision exists for	1	1	1	To review and monitor	Monthly and annual meeting in October/November 2025	Clerk, RFO and Council members

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee		
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating				
				shortfall in precept income as part of the General Reserves. Earmarked Reserves back up for maintenance.						
Breach of Financial Regulations	3	2	6	<p>Members and officers are required to comply with Financial Regulations. Qualified clerk/RFO and in post. Auditors advise of areas of weakness where necessary.</p> <p>Review of Governance and Policies incorporating the financial framework in May 2025 by internal auditors with identifies areas for improvement presented to council and actioned.</p> <p>Financial Regulations in place and updated adopted by full council in May 2025.</p>	1	1	1	<p>Members and Staff to be provided with training on the regulations where necessary.</p> <p>Members to undertake own review of control environment. Core policies reviewed at least annually.</p>	<p>May Full Council meeting or where necessary</p>	<p>Clerk, RFO and Council members</p>
Non-payment to employees and suppliers due to online bank mandate changes	3	2	6	<p>Bank Mandates are being updated with new signatories when required.</p> <p>Least of signatories on file and to be reviewed and kept up to date. Also, online authoriser is up to date and adequate.</p>	3	1	3	<p>To review &amp; Monitor</p>	<p>Quarterly within member's audit</p> <p>Annual by internal and external audit completed in October,</p>	<p>Clerk, RFO and Council members</p>

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee		
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating				
							May and September			
Loss of Funds from the council's deposit account.	2	2	4	The fund is designed for parish councils and is very low risk. Reviewed quarterly.	2	2	4	To review & monitor	Quarterly within member's audit	Clerk, RFO and Council members
<b>IT Associated Risks</b>										
Loss of reputation, loss or damage to data, assets or property, financial theft or loss, and breach of legal requirements	4	3	12	Regularly review all aspects of IT security, technical, procedural and physical  Periodically review, test and document system backups and disaster recovery planning  Regularly review systems and software performance, capacity & expected growth  Periodically review policies and processes against regulations	2	3	6	Council has contracted an IT company to make sure measures are in place and complaint  Periodically review IT company and procedures	Annually by the end of the financial year 31/03/2025	Clerk, RFO and Council members
Council records - electronic Loss through: Theft, fire, damage corruption of computer	4	3	12	System backed up on a daily basis and council have IT contractor in place. Accounts system is backed up and stored securely via the shared drive on the network.	2	1	2	Staff responsible for passwords and following IT policy	Annually by the end of the financial year 31/03/2025	All Staff

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee		
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating				
				Shared drives networked on authorised staff laptops and computers only.						
Corporate memory loss arising from staff or member loss of office / resignation	2	2	4	Documents recorded on the shared network. Council documents in order and secured in office.	2	1	1	Procedure to be developed for dealing with staff leavers to include documenting knowledge.	Annually by the end of the financial year 31/03/2025	Clerk and staff
Excessive FOI requests	3	3	9	Public and press welcome to attend parish council meetings and take part in public participation.  Agendas, minutes and meeting reports are uploaded onto the website.  Complaints policy includes vexatious policy	3	2	6	Expenditure over £500 to be published on the parish council website at least annually.  Model ICO publication scheme to be reviewed. FOI policy to be reviewed regularly. Vexatious request/complaints policy to be drafted and adopted. Officers and Members to undertake specific FOI training.	By end of financial year 31/03/2025  As per schedule	Clerk & RFO
Breach of data protection/ information security.	2	3	6	Clerk aware of the principles of data protection. ICO & ESALC for advice. Contractual clause for officers to maintain confidentiality. Accounting software, laptop and confidential documents are password protected. Officer personal records are stored securely. Breaches are required to be reported to the clerk.	2	2	4	Consider whether specific areas of shared drive require further security.	By end of financial year 31/03/2025	Clerk and staff

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee		
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating				
Business Continuity- Cyber Attack / IT Security	4	3	12	Reliability of Firewall and security of IT systems could compromise security, Increase in hacking. Firewall and security on IT equipment are regularly updated. Regular updates provided from outside IT consultants. Phising training for staff around finance/payment requests/approvals	2	3	6	To review & Monitor	IT company monitor this regularly weekly and annual checks	Clerk and all staff members
<b>General</b>										
Loss of reputation through poor actions of the Council  Adverse press coverage  Leaked confidential documents provided to the press.  Poor relationships with partners (including Wealden District Council)	3	3	9	Standing Orders for business of council and training sessions with members  All meetings have provision for the public to have time to make comments, and all meetings are open to the public with few exceptions.  No confidential marked documents to be provided to Cllrs. Confidential communications to be printed and made available to Cllrs at meetings and collected prior to the end of the meeting.  Surveys undertaken to obtain members of the public's opinions	3	2	6	Public and press welcome to attend/film Council meetings.  Social media updated by staff, Press and Media policy to be developed and adopted as required.	Regular monitoring of social medias when necessary.	Clerk and all staff members and all council members

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee		
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating				
				Committee structure retains ability to address all activities and delegated power to act.						
				Clerk and members involved in various external groups and bodies to retain awareness of new developments and opportunities and current practice						
				County Councillors are asked to attend meetings and submit reports for meetings where required.						
<p>Loss of resources and reputation through claims under Health and Safety legislation to include:</p> <p>Member of public, staff or Cllrs injured at the Community Centre, sports field, grounds or events organised by the council, or by assets. Risk of fire, injury to staff,</p>	4	2	8	<p>Documented risk assessments for the various operational activities of the Council undertaken by staff and contractors as well as exposure of public to various potential risks.</p> <p>Taking part in H &amp; S training initiatives when they become available and documenting activity.</p> <p>All members and staff aware of their H&amp;S responsibilities. Insurers are consulted on an appropriate level of cover which is procured with the insurer's stipulations fulfilled.</p>	4	1	4	<p>Community assets to be checked at least annually to ensure they are in good state of repair and repaired or removed if not.</p> <p>H&amp;S checklist to be completed and retained for activity-based risk assessment.</p> <p>Professional health and safety support services to be considered and appropriate insurance for health and safety prosecution indemnity if not in place with existing insurers. GMC, staff and councillors to carry out an inspection of the</p>	<p>Annually June through Risk assessment</p> <p>Weekly RA for HCC carried out by Caretaker</p>	Clerk and all staff members and all council members

Risks Identified	Impact	Likelihood	Gross Risk rating	Controls in Place	Impact	Likelihood	Net Risk rating	Additional controls required	Timeframe	Responsible officer/ Committee
<p>residents, Cllrs and visitors.</p> <p>And include</p> <p>Maintenance of buildings</p> <p>Equipment</p>				<p>Public &amp; employers liability insurance in place. Accident book in place to record logs. Contractors required to state liability insurance status prior to securing work with the council.</p> <p>Fire alarm tests and health and safety compliance checks take place and are logged accordingly.</p> <p>New members advised of their H&amp;S responsibilities (e.g. fire escapes and measures induction undertaken).</p> <p>Planned programme of testing electrical/gas and safety equipment in place. Including 5-year electrical testing, fire alarm, extinguisher and emergency lighting checks.</p> <p>Any remedial works arising from annual inspections of the fire alarms, emergency lighting and fire extinguishers are carried out. All hire hirers and pitch users are aware of their health and safety obligations which forms part of the booking terms and conditions.</p>				Sports Ground & Pavilion as required.		

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee	
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating			
				Planned maintenance schedule is worked to, with a view to developing a five-year maintenance plan in due course.  Reactive repairs carried out. Repaired or replaced as required.					
Loss or serious damage to office buildings and or equipment resulting in inability to deliver council administration, to include:  Legionella, asbestosis or other similar condition.	4	2	8	Adequate fire insurance maintained – ability to rent other premises short term, access and fire detection systems in place  Disaster Recovery Plan  Insurance of major equipment and ability to replace at short notice when required  Business interruption insurance considered and reviewed when required.  Legionella and cleaning servicing regime is in place for Office, Community Centre and Pavilion.	4	1	4	Annually June through Risk assessment  Weekly RA for HCC carried out by Caretaker	All staff members and councillors
Business Continuity Major Incident – The risk of business disruption e.g. flooding, civil	3	2	6	Emergency Plan is in place for incidents such as flooding, fire, gas leaks etc. Work with neighbouring parishes. Good relationship with Police and Fire and Rescue. Staff work from home with access to	1	2	2	To review and monitor – update emergency & resilience plan	31/3/25  Clerk

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee		
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating				
unrest, fire, postal bomb, pandemics				files. Virtual meetings can take place if required.						
Identity fraud	2	3	6	Regular review and update passwords and protocols	1	3	3	To review and monitor	By end of financial year 31/03/2025	All Staff
Children attending meetings	1	1	1	Parent or carer responsible for child at all times.  Child to leave with parent or carer whilst confidential items being discussed  Doors to be closed to reduce risk	1	1	1	Review and monitor to avoid interruptions to meetings.	At each meeting where necessary copy of schedule of meeting	Clerk, RFO and Council members
Members of the public using inappropriate behaviour at meetings	2	3	6	Explain unacceptable behaviour will not be tolerated  Stop the meeting for a brief period  Police called if felt appropriate	1	3	3	Where required topics to be discussed in confidential closed sessions	At each meeting where necessary copy of schedule of meeting	Clerk, RFO and Council members
Virtual meetings	1	1	1	Ensuring security measures are in place.  Member of the public muted outside the public session	1	1	1	These are only open to members of the public in exceptional circumstances and any misuse they can be cautioned then removed from the meeting.	If virtual meetings are agreed to resume instead of physical meetings	Clerk of committee meetings.
Council meeting - Failure to achieve quorum at	4	2	8	Qualified Clerk in post and in attendance to take minutes.	4	1	4	Members to give advance notice of absence.	At each meeting where	Clerk, RFO and Council members

Risks Identified	Impact	Likelihood	Gross Risk rating	Controls in Place	Impact	Likelihood	Net Risk rating	Additional controls required	Timeframe	Responsible officer/ Committee
meetings or not minuted correctly.  Properly constituted meetings				<p>Procedure in place to check for apologies in advance of the meeting.</p> <p>Attendance recorded as part of minute taking to evidence a quorum.</p> <p>Minutes and agendas published as per legal requirements.</p> <p>Minutes and agenda produced in prescribed method, minutes approved at the next meeting.</p> <p>Council registered for and to progress through the Local Council Award Scheme. All agendas are issued and displayed in accordance with the Local Government Act 1972.</p> <p>Council meets regularly and always receives and approves Minutes of meetings held since the last meeting including all committee minutes.</p> <p>Minutes made available to press and public via Council's website</p>				Meetings rescheduled as required.	necessary copy of schedule of meeting	

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee	
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating			
<b>Staff and members</b>									
Confidential breach by members of the council and staff	2	3	6	Data or policy breach protocols on place. Councillor training Staff induction training Councillor and employee Code of Conduct	1	3	3	IT policies and protocols in place and regularly reviewed Annual checks by end of financial year 31/03/2025	Clerk, RFO and Council members
Loss of staff resulting in inability to undertake administrative functions and enact the business of the council Including staff absence due to sickness	2	3	6	Use of national pay scales and regular review of pay arrangements and responsibilities Good exchange process between staff and key members, freedom to express views; opportunities for initiative taking and reward  Regular discussions with Clerk about needs of staff in the workplace; taking account of legislative requirements.  Monitoring of similar work and pay/conditions that apply at the time elsewhere  Monitoring of staff issues and age profile  Flexible working requests	1	3	3	Staff meetings Regular Staff Sub Committee meetings Checks made after resignations	Clerk, all staff and Council members

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee		
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating				
Attacks on staff	2	4	8	All staff have mobile phone app.  Council have adopted lone worker policy which is in operation.	2	2	4	Staff be trained in how to avoid or diffuse confrontational situations.	Monthly staff meetings or where necessary to check on staff	Clerk, all staff and Council members
Inadequate capacity to fulfil the Council's objectives due to loss of knowledge.	4	2	8	Knowledge with the Clerk/RFO and other members of the council to support business continuity. Current councillors have a good mix of experience and historical knowledge. Good record keeping	3	2	6	Succession planning and business continuity, develop and adopt a formal business continuity plan and record useful information and background knowledge.	At each meeting where necessary copy of schedule of meeting	Clerk, all staff and Council members
Inadequate training	3	3	9	Clerk/RFO is qualified and has a continued professional development plan.  All staff given required training and continued development training.  Training available and required for new Cllrs.  Ongoing training offered by the local ESALC and Internal Auditors.  Some training delivered by WDC- Wealden District Council e.g. members code of conduct.	3	2	6	Clerk/RFO to attend training courses provided by the SLCC and ESALC where relevant as well as any other relevant courses.  Finance training can be provided by Rialtas for managing the financial system.  Officers to receive sufficient professional and on-the-job training to ensure they can fulfil their roles.  Officer appraisal to take place on regular basis to include	Review annually through current Councillors and attendance at meetings	Clerk and Staffing sub committee

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee		
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating				
							identifying development needs (e.g. coping with change)			
Loss of Experienced Clerk or other Employees due to Employment Tribunal claim	3	3	9	Legal expenses insurance cover with the Zurich Insurance. Cover includes Legal Expenses, Limit of indemnity £200,000 Employment disputes and compensation awards.  Members are aware of abiding by their code of conduct in their role as councillors.  Civility and Respect Pledge adopted. Professional HR consultancy service can be sought if necessary.  Employment Contracts and Employee handbook reviewed to ensure that are up to date with NALC model policies including Grievance and Disciplinary procedures.	3	2	6	To review and monitor.	Checks made after resignations	Clerk and Staffing sub committees
<b>GOVERNANCE</b>										
Conflict of interest not declared or dealt with appropriately for members and officers and	3	3	9	Standing Orders contain procedure for recording and dealing with member and officer conflicts of interest.	3	2	6	Members Code of Conduct is reviewed against the latest Model Code of Conduct annually.	At each meeting where necessary copy of	Clerk and Staffing sub committee

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee		
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating				
Members failing to behave in accordance with the member code of conduct.				Standing agenda items to receive declarations for interests for members and officers.  Monitoring Officer (RDC) maintains register of interests which is published on HWPC website.  Code of conduct adopted by council. Monitoring Officer and Local ESALC able to advise clerk or members with queries.				The council have signed up to civility and respect pledge. Members encouraged to regularly review code of conduct to ensure new interests are declared	schedule of meeting	
Risk of disqualification – 6-month rule	3	1	3	Attendance is registered at each meeting on the minutes to monitor.  Rules for eligibility to stand as a Cllr are in the Cllr co-option policy and are checked in election year or via application to be co-opted.	3	1	3	Clerk to monitor attendance	At each meeting where necessary copy of schedule of meeting	Clerk
Spend and activity in areas in which the Council has no power (ie Council behaves ultra vires)	3	2	6	Qualified Clerk in post with a good knowledge of the scope of the Council's legal powers. Access ESALC and NALC resources to provide guidance on legal issues and access to legal topic notes.  All proposed payments scrutinized.  The council has adopted the General Power of Competence.	1	1	1	RFO to give regular reports to all committees	Quarterly at Finance and General Purpose Committee Meetings as per schedule.	Clerk, RFO and Members

Risks Identified	Controls in Place			Additional controls required	Timeframe	Responsible officer/ Committee				
	Impact	Likelihood	Gross Risk rating				Impact	Likelihood	Net Risk rating	
Loss of 'General Power of Competence'	2	4	8	Requisite number of members are elected (either by ballot or unopposed by-election). Qualified Clerk in post.	2	3	6	Clerk person specification requires the relevant CILCA qualification.  A new Clerk would be required to undertake the CILCA training if not already qualified. Eligibility for GPC to be declared at full council meeting.	Review after resignation of Councillors and Clerk	All members
Referendum or by-election required following a vacant seat arising from resignation or death	2	2	4	Provision maintained for the cost of a by- election. SPC are responsible for notifying a vacant seat to RDC. Process for advertising the vacancy followed	1	1	1	To review and monitor.	Review after resignation of Councillors	Clerk + Full Council
Non-compliance with the Local Government Data Transparency Code	3	4	12	Current website in place with current agendas, minutes and reports uploaded. AGAR documentation uploaded and Standing Orders and Financial Regulations and policies. Checked at mid-year internal audit.	2	4	8	New council website fully populated  Review to be carried out to ensure data is uploaded in accordance with the Transparency Code.	Monthly checks by RFO, members audit carried out quarterly and internal and external audits carried out annually all before the end of the	Clerk and Staff

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee	
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating			
							financial year 31/03/2025		
<b>Health &amp; Safety</b>									
<p>Loss or serious damage of other property owned by the Council resulting in -Fire, flood or other peril affects premises or equipment</p> <p>Actions of third parties resulting in loss of use of premises</p>	3	4	12	<p>Insurance in place. Flooding risk is small other than from water tanks. Fire risk assessments regularly undertaken and acted on.</p> <p>Adequate arrangements for insurance cover, adequate access and fire detection systems and fire warden appointed by people hiring buildings.</p> <p>Contact with users and operators of premises to ensure proper guidance on use and security</p>	1	4	4	<p>To review and monitor</p> <p>Weekly fire RA</p> <p>Annual RA carried out in June 2025</p>	All Staff
<p>Staff, councillors and public illness and loss of reputations due to inadequate measures put in place and recommended controls are not undertaken to</p>	4	3	12	<p>Follow government guidelines and recommendations and implement them, update when necessary.</p> <p>Regularly monitor guidance</p> <p>Agendas have been amended to highlight to members of the public and councillors to stay at home if</p>	1	3	3	<p>To review and monitor</p> <p>At each meeting where necessary copy of schedule of meeting</p>	All Staff and members

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee		
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating				
reduce the risk of a virus.				they feel unwell and not to attend if they feel unwell.						
<b>CBD – Community and Business Development Committee</b>										
Loss of reputation and risk of failed business venture or enterprise	3	3	9	Regular reporting of initiatives to full Council. Plan presented to committee to include financial implications, risk and impact assessments Adequate advice sought regarding legal and other processes and implications  Public support demonstrated through proper consultation and ongoing publication of information  Regular contact with internal auditors and other representative bodies to identify new requirements	3	2	6	Documents presented to members to be complete and factual and informative where possible.  Consultation and open discussions with the public as well as available information.  Questions regarding agenda items asked prior to meetings to give enough time to source answers to avoid delay in responses and ventures.	At each meeting where necessary copy of schedule of meeting	Committee members and clerk of committee
Loss of reputation due to failed event	3	3	9	Proper planning in place including timescales, research, action plans, marketing etc  Risk assessments, insurance, use of experienced people, allocation of tasks, action plan and timelines	3	2	6	Budget and funds considered and monitored throughout organising of event.  Monitor help required and make sure sufficient help is	Whilst organising an event	Event organiser and members

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee		
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating				
				Obtain feedback from attendees, follow-up meeting Speak to target audience prior to planning event, consider accessibility needs Have an alternative plan in case required Permissions and licences applied for well in advance				available by staff, members and volunteers.		
<b>Planning and Highways</b>										
Loss of reputation through poor actions of PH – Planning Applications	3	3	9	Standing Orders for business of council and training sessions with members All meetings have provision for the public to make comments, and all meetings are open to the public with few exceptions. Comments taken into account by Committee Adherence to Code of Conduct particularly relating to applications which could be seen to directly or indirectly affect Members.	2	2	4	Members to familiar themselves with correct procedures to avoid complaints or incorrect actions. Planning committees' meetings advertised on website, social media, Office and noticeboard to avoid members of the public feeling that they do not have a place to speak at meetings or communicate with members. Emails for correspondence also made available. Members to review applications prior to meeting	At each meeting where necessary copy of schedule of meeting	Committee members and clerk of committee

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee		
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating				
				Treating all applications on their own merit						
				Awareness of need to treat similar applications in a like manner Previous comments available to members when considering amended applications						
				Timetable of meetings set in advance to ensure deadlines can be met						
				Additional meetings held when required						
Loss of reputation through poor actions of PH – Street Lighting matters	3	3	9	Appropriate reporting procedures through contractors employed by the Council	2	3	6	Regular review of lighting system and contract and contractors	At each meeting where necessary copy of schedule of meeting	Committee members and clerk of committee
				Awareness of appropriate requirements for lighting columns in each instance				Repairs taken to committee for review and approval		
				Appropriate consultation with affected residents regarding proposals for new lighting schemes						
				Regard given to siting of columns and impact of lighting in each instance						

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee	
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating			
				Adequate budget provision through annual precept setting exercise					
Loss of reputation through poor actions of PH – Highway matters	3	2	6	<p>Liaison meetings held between 3-6 months with ESCC at which highway matters can be raised</p> <p>Information given to local residents emphasising Council's role as consultee only</p>	2	2	4	<p>Advice and help on social media for members of the public</p> <p>At each meeting where necessary copy of schedule of meeting</p>	Committee members and clerk of committee and staff member who published on social media
<b>Leisure, Amenities and Burials Committee (LAB)</b>									
Financial loss due to problems with a contractor	2	4	8	<p>Financial Regulations to be followed for tendering or obtaining quotations to properly quantify all costs and achieve VFM</p> <p>Process for checking references and work history of potential contractors</p> <p>Assessment made in relevant cases to obtain specialist advice or support to monitor or manage a contract</p> <p>Visual checks carried out by HWPC administration, Councillors or 3rd party when work has been</p>	2	3	6	<p>Reviews and recommendations taken into account</p> <p>Members who have specialised skills to be asked for advice.</p> <p>Warranty and reference to work should be recorded for future reference.</p> <p>Review of works after each incident</p>	Committee members and clerk of committee

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee		
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating				
				completed, to assess delivery of contract						
Loss of reputation due to property management problems – hiring disputes, condition of various facilities	2	3	6	<p>Biennial comprehensive and regularly reviewed lettings policies Written documentation for all users</p> <p>Regular contact with various agencies on requirements from legislation</p> <p>Written process for handling complaints against the Council</p> <p>Comprehensive financial strategy in place to meet needs and review of budget requirement on an annual basis and review of expenditure at committee meeting</p> <p>Regular and timely communication links at all levels to handle and respond to publicity issues</p>	1	3	3	<p>Make sure regulations meet issues arising Clarify conditions of use with hirers</p> <p>Regular inspections by caretaker and report problems to Administrative Staff</p>	<p>Quarterly inspections and annual inspection carried out in June 2025</p>	<p>Committee members and clerk of committee</p>
Loss of reputation due to inadequate provision of new facilities of all categories and lack of use by the public	2	3	6	<p>Arranging press releases, publicity on social media and website</p> <p>Taking opportunities to maintain high profile of Council at all times</p> <p>Maintaining representative Councillors or others on local bodies and groups</p>	1	3	3	<p>Improve public awareness of facilities and services.</p> <p>Encourage Council involvement in local activities.</p> <p>Address complaints about engagement with public views.</p>	<p>Quarterly inspections and annual inspection carried out in June 2025 Also, assets reviewed at</p>	<p>All Staff and members</p>

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee		
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating				
				Assessment made in each case of how to best assess public wishes and requirements  Ensuring all views received are considered by the Council and specific issues are addressed				Ensure Council meets community needs.  various meeting they relate to as per schedule.		
<b>Asset &amp; Burial Grounds</b>										
Inability to provide adequate burial facilities	3	1	3	Detailed map of available burial plots and reviewed regularly.  Burial areas at Theobalds Green will meet future need for foreseeable future  Computer system installed to map burial site	3	1	3	Quarterly inspections to manage area and check availability  Review protocols annually and update where necessary.	Quarterly inspections and annual inspections carried out in June 2025 Also reviewed at Leisure, Amenities and Burials Committee as per schedule	Committee members, clerk of committee and Burials officer
Loss of reputation and possible exposure to financial	3	2	6	Awareness of national guidelines and legislation Annual review of insurance cover	3	1	3	Review and make sure procedures are clear and undertaken	Annual review of charges	Committee members, clerk of committee

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee		
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating				
compensation claims by burial ground workers, visitors or public				Quarterly hand-testing of memorials and headstones by staff and Councillors on a regular basis and in accordance with latest guidance.  All stonemasons to be NAMM/BRAMM registered  Shoring equipment available for use by gravediggers and adequate training provided to new gravediggers  Headstones need to be anchored  Written communication to EROB owners				Controls updated due to changes in claims incidence or national position  Controls updated following changes to inspection guidance.  Controls enhanced following identification of loose headstones.  Controls reinforced to address misuse of equipment.	February 2025	and Burials officer
Loss of reputation through incident with friends and relatives of deceased	3	2	6	Biennial reviews of all regulations to accommodate possible need for change  Rules and regulations enforced fairly, and any variances brought to Committee for decision  New working party set up to decide on requests for memorials and headstones  Written EROB transfer procedures	3	1	3	Controls updated due to increased requests for regulatory variations.  Controls reinforced following repeated regulation changes.  Controls enhanced following complaints from family or friends.	Quarterly inspections and annual inspections carried out in June 2025 Also reviewed at Leisure, Amenities and Burials Committee	Committee members, clerk of committee and Burials officer

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee		
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating				
				Cross-referenced Rialtas to Burial Grounds Record Books				as pr schedule		
Loss of reputation and exposure to financial claims following loss of statutory records	4	2	8	<p>Clear system for handling burials and supporting procedures at all stages including checking of nameplates on coffins at time of burial</p> <p>Knowledge of national and statutory requirements</p> <p>Biennial review of retention arrangements for critical documents</p>	4	1	4	<p>Records duplicated and securely stored on a backup system.</p> <p>Annual review of record-keeping systems to ensure an adequate audit trail.</p>	<p>Quarterly inspections and annual inspections carried out in June 2025</p> <p>Also reviewed at Leisure, Amenities and Burials Committee as pr schedule</p>	Committee members, clerk of committee and Burials officer
Loss of revenue due to poor control systems, inappropriate fee scales or theft	2	2	4	<p>Detailed procedures with solid audit trail and 6 monthly internal audits</p> <p>Annual review of fees and charges and comparison with neighbouring authorities Strong internal control systems with independent checking and separation of duties</p>	2	1	2	<p>Regular account balancing implemented.</p> <p>Controls updated to address fee variations.</p> <p>Controls strengthened following reconciliation issues.</p>	<p>Quarterly inspections and annual inspections carried out in June 2025</p> <p>Also reviewed at Leisure, Amenities and Burials Committee as pr schedule</p>	Committee members, clerk of committee and Burials officer



Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee		
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating				
Loss of reputation due to inadequate provision or mismanagement of allotments	3	2	6	Allotments at Theobalds Green to be monitored to ensure continued take up  Allotment Association set up to deal with day to day management in consultation with plot holders  Representation by Parish Council at AGM  Terms and conditions and policies made in consultation with Allotment Association and having regard to national guidelines and those imposed by neighbouring Councils  Deposit taken at beginning of rental and regular inspections undertaken and letters sent where required	3	1	3	Address complaints about lack of provision.  Resolve management issues effectively.  Ensure terms and conditions are properly applied.  Control costs for site clearance and reallocation.	Quarterly inspections and annual inspections carried out in June 2025 Also reviewed at Leisure, Amenities and Burials Committee as per schedule	Committee members, clerk of committee and Allotment officer
<b>Trees</b>										
Falling trees/branches and debris	3	4	12	Regular inspections and tree surveys.  Tree management policy implemented.	3	3	9	Ensure works required are carried out within the specific timeframe  Report any unauthorised work to the correct authority	Surveys carried out every 3 years and regular checks by	Committee members and clerk of committee

Risks Identified	Controls in Place			Additional controls required			Timeframe	Responsible officer/ Committee	
	Impact	Likelihood	Gross Risk rating	Impact	Likelihood	Net Risk rating			
							Grounds Maintenance Contractor		
<b>Bus Shelters</b>									
Impact damage/age and weather-Vandalism/Accident damage	2	2	4	Regular inspections and cleaning Relevant insurance	2	2	4	To review and monitor Regular checks by Grounds Maintenance Contractor	Committee members and clerk of committee