

This document has been produced to enable Hadstock Parish Council to assess the risks it faces and satisfy itself that it has taken adequate steps to minimise them.

### Financial

Subject	Risk(s) identified	H/M/L	Management/ Control of risk	Review/Action/Scope
Precept	Adequacy of precept Submission in time	L	Draft budget carefully prepared and discussed in detail before agreeing. Clerk to keep aware of relevant announcements and key dates.	<ol style="list-style-type: none"> <li>1) Receipt of Precept is noted in the Parish Council Minutes.</li> <li>2) <b>First Payment has yet to be made by UDC. No risk if second payment received for year.</b></li> </ol>
Budget	Adequacy of budget Election costs Reserves	L	Budget report prepared for each Council meeting. Sufficient reserves to be held to meet election costs.	<ol style="list-style-type: none"> <li>1) Members to notify the Clerk in good time of any likely changes in expenditure.</li> <li>2) Reduce unbudgeted expenditure by better awareness of costs such as maintenance.</li> <li>3) Successful grant funding is helpful</li> </ol>
Financial records	Inadequate records Irregularities	L	Clerk to update records regularly, and Chair to review them for anomalies or irregularities. Paper and electronic records kept. Chair signs bank reconciliation at each meeting Laptop backed up Use of Accounting programme <b>for 2023/24 accounting</b>	<ol style="list-style-type: none"> <li>1) Bank reconciliation undertaken monthly and presented to Council.</li> <li>2) Financial report and budget monitoring presented and discussed at every meeting</li> <li>3) <b>HPC have used an excel spreadsheet historically. HPC will be using Scribe for accounting from April 2023. This is backed up by server</b></li> </ol>
Financial loss	Fraud Mistakes/oversight Bank charges Inadequate financial control	L	As above, and Clerk to keep aware of relevant changes in regulations or bank charges. Annual internal audit and review with auditor. Payments only made by cheque. 2 signatories required	<ol style="list-style-type: none"> <li>1) Arrangements were made with the internal auditor to provide all detail required whilst observing lock down procedure due to Covid-19</li> <li>2) Fraud within Parish Council is not a concern. As a general rule. However last year a cheque for £450.00 was paid into another account. Barclays and Lloyds investigated. Either Fraud or human error but not by HPC Full amount returned to Parish Council</li> <li>3) As a result of (2) Parish Council are seriously investigating Internet Banking with Unity Bank</li> <li>4) <b>HPC reconsidered this and resolved not to change. The single issue of the cheque being paid into another account had never happened previously. This was remedied by Clerk paying future cheques directly into contractors account at High Street Branch and emailing receipt as evidence.</b></li> <li>5) <b>Since initial consideration of changing to Unity</b></li> </ol>

				the performance of facility has been found to be less than satisfactory. HPC have few payments and every sensible step is undertaken to prevent a risk of any description
Reporting and auditing	Communication to Council Information to auditor Annual Return in time	L	Financial Report submitted to each Council meeting. Clerk to meet with Internal Auditor in good time to prepare end of year accounts, and to circulate these to Council Members in time for them to examine them and approve the Annual Return at a Meeting.	1) Audit arrangements have been amended by legislation due to Covid-19. 2) Reverted to previous regime 3) On target to meet reporting and for the public to exercise their rights of inspection
Grants from Hadstock Parish Council				Updated during 2022/23 with grant policy and application form for approval by HPC

Subject	Risk(s) identified	H/M/L	Management/ Control of risk	Review/Action/Scope
Contracts	Competitive quotes Poorly specified contracts Overspend	L	Clerk to monitor expenditure on grass cutting and any one-off contracts. Clerk maintains copies of all contracts and associated correspondence.	1) Competitive quotes to be obtained where practicable. 2) Members to ensure Clerk has copies of all relevant documentation. 3) Acceptance of quotes and verification of work prior to payment 4) A proforma letter was presented to Councillors which combined [3] above, which can be adapted to suit. This will allow for work to be clearly defined prior to commencement and completed satisfactorily before payment, Clerk to use discretion in use of letter. RESOLVED 18/03/21c/d 5) Insure Resolved decisions and following actions are informed to the Clerk to enable confirmation to be sent to contractor 6) Contracts over £25,000 need to follow tender process as described in Standing & Financial orders
Pay & Taxes	Timely payments to HMRC	L	Payroll service to send salary and PAYE details to Clerk and Chair each month before payment is made. Financial regs allow Clerk to authorise HMRC payments.	1) Late receipt of cheque for payment has not occurred in the current financial year. 2) Steps have been taken to ensure cheque is prepared and therefore posted in good time

VAT	Correct & timely reclaims	L	Reclaim to be made minimum once per year, or when amount reaches £200. HMRC allows claims to be made up to 3 years in arrears. VAT invoices/ receipts made out to Parish Council.	<ol style="list-style-type: none"> <li>1) VAT claim from 23 March 2016 to 12 December 2018 was submitted to HMRC in April 2019.</li> <li>2) VAT reclaim received</li> <li>3) Current VAT stands at less than £200</li> <li>4) 2022/23 Clerk/ RFO has prepared VAT reclaim to 31/03/2023 for submission.</li> </ol>
Insurance	Adequacy Competitive price	L	Clerk to review cover and premium annually and whenever there is a change in the Council's assets or liabilities. There is a choice in the market but in practice this is a limited market as it is a specialist area. *	<ol style="list-style-type: none"> <li>1) Current 3-year contract.</li> <li>2) A review and comparison of insurance was carried out in 2019 and resolved to renew with Came &amp; Co.</li> <li>3) Fixed term. Will need reviewing for June 2022.</li> <li>4) Reviewed in June 2022 increased cover for additional fencing. Review 2023</li> <li>5) Review undertaken by Council &amp; Clerk all risk covered. To review asset list some items likely to be removed from Recreation Ground</li> </ol>
Banking	Security Telephone/online banking is available to Councils	M	Governed by Financial Regulations. Payment by cheque only. No petty cash. No telephone or online banking. Telephone/online banking is available to Councils but Hadstock Parish Council has resolved to continue with cheques	<ol style="list-style-type: none"> <li>1) 2 signatories required</li> <li>2) Councillors do not sign cheques for their own repayment of expenses</li> <li>3) Amendment of signatories following May 2019 election.</li> <li>4) Cllr Albrow Cllr Nuttall Cllr Porter are signatories</li> <li>5) Cllr Porter removed from signatory on resigning.</li> <li>6) Cllr Hannam added as signatory through proper process with Barclays Bank.</li> <li>7) Barclays Bank themselves reviewed business operations of HPC</li> <li>8) Letter received confirming all in order</li> <li>9) Review bank signatories following elections May 2023</li> </ol>

Subject	Risk(s) identified	H/M/L	Management/ Control of risk	Review/Action/Scope
Emergency expenditure	Inadequate provision in Financial Regulations	M	Clerk can authorise expenditure up to £1000. Delegation in place for Clerk/RFO	<ol style="list-style-type: none"> <li>1) Review Financial Regulations. Amended 3.2 on 11 May 2017</li> <li>2) Reviewed 2019 and adopted.</li> <li>3) To be reviewed May 2020 + delegation policy draft prepared</li> <li>4) Reviewed 2021 by RFO</li> <li>5) Delegation has worked well during pandemic. Little expenditure incurred during pandemic that required delegation and where necessary is reported in minutes having been RESOLVED by the Council</li> <li>6) Reviewed and update 2022.</li> <li>7) Delegation by Standing &amp; Financial orders no additional action required</li> </ol>

## Management

Subject	Risk(s) identified	H/M/L	Management/ Control of risk	Review/Action/Scope
Records	Loss of paper records Loss of electronic data	L	Records now on Council computer Regular backup to memory stick. GDPR Policy adopted	<ol style="list-style-type: none"> <li>1) Clerk has given Chair copy of passwords in sealed envelope</li> <li>2) Privacy Policy FOI and GDPR regulations adhered to.</li> <li>3) No FOI's during year 2021/22</li> <li>4) 1 FOI received &amp; responded to Reported to Council and minuted. Clerk advised it was more of a personal action directed at Clerk from another County.</li> <li>5) Passwords to be changed (routinely advised for security)</li> </ol>
Minutes, agendas, notices	Meet statutory requirements Accuracy Publication	L	Clerk responsible for issuing notices according to statutory requirements. Clerk to remain aware of statutory requirements and act as necessary.	<ol style="list-style-type: none"> <li>1) Clerk and Chair have key to notice board for publication of documents</li> <li>2) Web site runs smoothly with no admin concerns</li> <li>3) As a Parish Council with expenditure/income below £25000 a web site is a statutory requirement under the Transparency code for smaller authorities</li> <li>4) The Essex Info web site closed in March 2020 the Parish Council commenced investigating a new provider in good time and the new site went live 23 March 2020. We are currently working to update &amp; add all requirements.</li> <li>5) The Parish Council website was updated in March 2020 as legislation required. Further additional feature is being considered with the ability to now work with web site designer. This was delayed due to the pandemic.</li> <li>6) Website had been operating well and in accordance with Transparency Code as required with income/expenditure &gt; £25000.</li> <li>7) Arrangements to meet stakeholders and provider in April 2023 to sort out glitches</li> </ol>

Clerk	No disciplinary procedure Cover during absences Loss of clerk	L	Disciplinary procedure in Clerk's employment contract. Disciplinary panel to be constituted if and when required and advice sought from NALC or UDC legal officer. Notify all necessary parties of absence.	<ol style="list-style-type: none"> <li>1) Hadstock Parish Council do not currently have a specific Policy to be reviewed. Still needs to be actioned</li> <li>2) Clerk very happy!!! (still)</li> <li>3) Clerk very happy!!! (still)</li> <li>4) Clerk very happy!!! (still)</li> <li>5) Clerk has undertaken CiLCA training</li> </ol>
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## Parish Land &amp; Equipment

Subject	Risk(s) identified	H/M/L	Management/ Control of risk	Review/Action/Scope
Parish Land	Public liability	L	Adequate insurance cover. Annual inspection and report. Regular checks of possible issues.	<ol style="list-style-type: none"> <li>1) Tree Policy was adopted <b>RESOLVED 18/06/16.00</b></li> <li>2) Reports are minuted.</li> <li>3) Cllrs report monthly. Recent tree work carried out on Recreation Ground. Parish Land /recreation ground project being undertaken (currently delayed by Covid-19)</li> <li>4) Tree safety report carried out on Recreation Ground and recommendations completed</li> <li>5) <b>Tree inspection due October 2023</b></li> </ol>

Recreation Ground	Safety of equipment Maintenance of equipment	M	Annual inspection and report on playground equipment by registered professional.	<ol style="list-style-type: none"> <li>1) Carry out agreed actions from 2021 report. (No inspection in 2020 due to pandemic and forthcoming work on recreation ground)</li> <li>2) Play equipment is inspected visually each month and the report and actions within the minutes at each meeting</li> <li>3) HPC were reviewing Playground inspection completion delayed discussion by Covid-19 but it had been noted already that no item required either immediate or urgent attention</li> <li>4) Risk assessment in July 2020 to allow for reopening following closure during Covid-19</li> <li>5) Tree safety report carried out on Recreation Ground and recommendations completed</li> <li>6) Hadstock Parish Council have recently appointed a contractor who will carry out routine safety and maintenance checks on the Recreation Ground</li> <li>7) <b>Additional co-opted Councillor will undertake informal routine inspections and report to HPC on a monthly basis.</b></li> <li>8) <b>Annual Playground Inspection 19 April 2023</b></li> </ol>
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<p>Public footpaths &amp; Len's Path</p>	<p>Public Liability Safety of volunteers using equipment</p>	<p>L</p>	<p>Risk Assessment and H &amp; S documents held by Councillor responsible.</p> <p>Len's Path leased to Hadstock Parish Council with responsibility for maintenance and insurance.</p>	<ol style="list-style-type: none"> <li>1) Maintenance of bridges, steps etc. as required.</li> <li>2) Clerk to advise on Council's responsibility.</li> <li>3) Inspection of Parish land carried out in 2019 report presented to Council and in minutes</li> <li>4) Annual inspection of public footpaths was delayed due to pandemic but has now been progressed as minutes in May 2021 meeting. Split into 5 areas (one for each Councillor to undertake)</li> <li>5) Completed in 2022.</li> <li>6) Members of the public reported repairs required to footpath bridges and steps work undertaken by Volunteers. Materials paid for by HPC. Annual walked inspection to be carried out spring summer 2023 weather permitting</li> <li>7) Following members of the public reporting requirement for grass cutting of edges. HPC have in budget allowance for additional care.</li> </ol>
<p>Gang mowers</p>	<p>Theft Unable to cut churchyard Inadequate maintenance End of life replacement Risk of maneuvering along roads Local person will carry out repairs and maintenance</p>	<p>L  M M  M</p>	<p>The Council owns 1 gang mower, left in the open during the cutting season.</p> <p>Annual inspection and maintenance.</p>	<ol style="list-style-type: none"> <li>1) Inform Neighbourhood Watch. Use social media</li> <li>2) Budget process</li> <li>3) Maintenance and servicing person.</li> <li>4) The gang mowers are near the end of use. This has been discussed by HPC. Increased risk to M. Will need to review November 2023 at budget setting.</li> </ol>
<p>Strimmers etc.</p>	<p>Theft Inadequate maintenance End of life replacement</p>	<p>M</p>	<p>The Council has 2 strimmers 1 Stored in KN shed. And 1 stored in Grass cutters shed Fuel to be removed before storage Council Member to be responsible for ensuring necessary maintenance.</p>	<ol style="list-style-type: none"> <li>1) We have improved storage security and for ease of access</li> </ol>

Notice Board	Damage	L	Nothing specific.	<ol style="list-style-type: none"> <li>1) The notice board has been subject of discussion but no damage has occurred in the year.</li> <li>2) Routine maintenance was carried out August 2018</li> <li>3) Due to pandemic notices were not placed on notice board. Legislation stated to be on website This was duly carried out</li> <li>4) <b>Clerk finds key very difficult to operate</b></li> </ol>
Defibrillator	Vandalism Failure/ battery replacement	L	Nominated responsible member. Inspection and maintenance according to Community Heartbeat Trust guidelines.	<ol style="list-style-type: none"> <li>1) Defibrillator has been taken for use but not required in 2019</li> <li>2) Training of use to be arranged in 2019 still to be organised Clerk has quotes to discuss further if still felt necessary. This has been delayed due to pandemic. To consider further in the future.</li> <li>3) Councillor Porter remained as responsible councillor</li> <li>4) <b>Resident is prepared to continue will discuss further at APCM in May 2023.</b></li> <li>5) <b>No vandalism or use reported in last year</b></li> </ol>
Telephone Box	Vandalism Damage caused by road traffic accident.	M	Nothing specific.	<ol style="list-style-type: none"> <li>1) No damage has occurred within the year</li> <li>2) Routine replacement of light in 2019 by qualified electrician</li> <li>3) This is a listed building</li> <li>4) Area around box trimmed to make accessible and safe</li> <li>5) <b>Phone box is due for repairing. Cllr Albrow has recognised paint in storage. Will require substantial remedial work prior to painting</b></li> </ol>

**Regulation & Compliance**

Subject	Risk(s) identified	H/M/L	Management/ Control of risk	Review/Action/Scope
Legal powers	Illegal activities Illegal decisions	L	Clerk has undertaken training. Clerk to keep aware of changes to legislation and advise members. General Power of Competence reduces risk.	<ol style="list-style-type: none"> <li>1) Clerk to obtain CiLCA qualification so Council continues to have GPC</li> <li>2) As of May 2020, Clerk has not gained qualification. Extension of time given by SLCC due to Covid-19</li> <li>3) Clerk has still not attained the qualification would not be able to adopt GPC due to number of co-opted councillors.</li> <li>4) <b>Clerk hopefully will be CiLCA qualified in May 2023. Following elections GPC can also be adopted as all councillors will be elected even if uncontested.</b></li> </ol>

Members' interests	Register Publication Conflict of interests Undisclosed interests	L	Council has adopted Code of Conduct compliant with new legislation. Members are responsible for declarations of interest in accordance with the law. Routine Agenda item Members required to make declaration once a year and to advise monitoring officer of any changes. Members interests published on UDC website with a link from the Council's own website.	<ol style="list-style-type: none"> <li>1) Revised UDC Code of Conduct reviewed and adopted June 2018</li> <li>2) Register of Interests updated in conjunction with new terms of office of Councillors from 02 May 2019.</li> <li>3) ROI received from Councillors following 2019 election and has been forwarded to Monitoring Officer at UDC</li> <li>4) A new national code of conduct has recently been approved. Needs to be resolved by Uttlesford District Council.</li> <li>5) UDC have adopted new Code of Conduct.</li> <li>6) New councillors advised to complete ROI</li> <li>7) COC as above form UDC previously brought to the attention of HPC in 2022 but need not felt to amend by Councillors.</li> <li>8) Clerk will bring the new COC to new Council following elections with recommendation to adopt</li> </ol>
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Data protection	Compliance with statutory requirements Registration lapsed Members' compliance	L	Council registered with data Protection Registrar, renewed annually. [Currently no need for individual members to be registered.]	<ol style="list-style-type: none"> <li>1) Clerk sought advice and re- registered.</li> <li>2) Renewal due August annually</li> <li>3) Audit compliance with legislation. [Registering only is not enough.]</li> <li>4) Continually assessed and monitored</li> </ol>
GDPR	Parish Council as a body Councillors and Clerk individually responsible	L	Policy was prepared and adopted. However, the Council's affairs are sufficiently simple and can be controlled with low risk. All Councillors now have a separate Gmail address for parish use Fines are 4% of 'turnover'	<ol style="list-style-type: none"> <li>1) Clerk followed advice from LCPAS and NAL Cover steps for compliance</li> <li>2) Councillors aware of their responsibilities Councillors have dedicated email addresses for Council business</li> <li>3) Clerk given delegated powers to oversee regulations/policies required and act as necessary</li> <li>4) Policy is on web site</li> <li>5) Updated on email</li> <li>6) Separate risk assessment May 2018</li> <li>7) No breach or request related to data received to date</li> <li>8) As (7) above</li> <li>9) As (7) above</li> </ol>
Health & safety	Clerk Council meetings Volunteers	L	Nothing specific.	<ol style="list-style-type: none"> <li>1) Public liability insurance</li> <li>2) HPC has a proforma assessment of required.</li> <li>3) Volunteers advised a risk assessment needs to be presented to Clerk prior to action</li> <li>4) Continual evaluation</li> </ol>

Freedom of Information	No policy No procedure to comply with requests	L	No policy or procedures however the Council's affairs are sufficiently simple that if there was a request this could be handled in time with advice from UDC's legal officer or NALC.	<ol style="list-style-type: none"> <li>1) Policy will be available on the web site</li> <li>2) One request received in 2019/20 but not relevant Clerk replied Councillors informed</li> <li>3) <b>1 FOI received &amp; responded to Reported to Council and minuted. Clerk advised it was more of a personal action directed at Clerk from another County</b></li> </ol>
Emergency Plan	Out of date and may not be GDPR compliant	M	Emergency plan removed from Parish Council's website.	<ol style="list-style-type: none"> <li>1) Review when notified by UDC of format ~ no update 2019 to chase</li> <li>2) No update although the Parish Council did discuss the difficulties of preparing one</li> <li>3) <b>Emergency plan has been actioned. Discussed to progress at Annual Meeting of the Parish</b></li> </ol>
Pensions	Compliance with new Workplace Pension legislation	L	Dependent on circumstances of Clerk	<ol style="list-style-type: none"> <li>1) Clerk obtained advice.</li> <li>2) Declaration of compliance submitted March 2020(as required by June 2020) no further action required Declaration to be reviewed in 2023.</li> <li>3) <b>Reviewed March 2023 Clerk to complete re-declaration</b></li> </ol>
Transparency Code	Compliance with new legislation	L	Clerk has been on training course. Grant received from EALC.	<ol style="list-style-type: none"> <li>1) Compliancy achieved through the year</li> <li>2) Laptop purchased to allow website to be updated accordingly.</li> <li>3) New web site up and running before closure of discontinued provider.</li> <li>4) <b>Stakeholders meeting arranged for April 2023 to discuss how to improve further.</b></li> <li>5) <b>Webmaster needs to be appointed</b></li> </ol>

Reviewed & approved 19 May 2019 **RESOLVED 19/05/14**

Risk Assessment Schedule amended by Clerk /RFO  
Hadstock Parish Council noted via email due to Legislation  
Reviewed by Internal Audit 20 June 2020

Risk Assessment Schedule amended by Clerk /RFO  
Hadstock Parish Council noted via email due to Legislation  
Reviewed by Internal Audit 03 June 2021

Reviewed & approved 07 July 2022. **RESOLVED 22/07/25**

Risk Assessment Schedule amended by Clerk /RFO April 2023  
Reviewed & approved 18 May 2023. **RESOLVED 23/05/15c**