

AREA	RISK	LEVEL	CONTROL MEASURE	CONTROL METHOD	ACTION REQUIRED
Finance	Effective and Secure Banking	High	Financial Regulations Internal Controls Scheme of Delegation Online banking with one compliance role Dual signatories for banking transactions Online banking with appointed signatories Internal audit	• FL monthly reconciliation of bank account, countersigned by PC and minuted monthly. • Quarterly review of accounts and balances by FL • Annual review of FR or following NALC updates or changes in legislation • Regular review of internal controls.	
	Failure to comply with HMRC regulations	Medium	VAT returns submitted through Sage MTD Scribe HMRC PAYE payroll system HMRC helpline for advice Internal Audit External Audit Staff training where required	• Monthly reports reviewed by PC • Quarterly budget position reports reviewed by PC • Half year position reviewed by RFO and CPC and end of year position forecasted • Staffing Committee regularly review staffing budgets	
	Adequate budgeting and annual precept to cover parish council's operations	Medium	Budget workshop for Clerk and RFO Business Plan Asset Register Internal Audit Independent play area inspections Service contracts, generally three years	• Draft budget to be prepared in accordance with the FR and reviewed at full council meeting prior to final agreement at CPC meeting in January • Budget and proposed precept approved together at January meeting • Quarterly review of expenditure against budgets	Annual review of CPC subscriptions, contracts and payments - <i>actioned March 2026</i>

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PC – Parish Clerk GL – Grounds Lead

HDC – Hart District Council

Council – Full Council the Body Corporate

SO – Standing Orders

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				- Regular inspection of assets - Annual review of CPC's charges and fees	
	Compliance with borrowing restrictions	Low	N/A - no current borrowing		
	Theft	Medium	Contents insurance cover for estate and assets	- Routine inspections by Groundsman and Clerk - Annual review of insurance - Annual review of risk assessment - Secure premises as a high priority, eg repair of broken or missing fencing, locks etc immediately	
Assets	Protection of physical assets	Medium	Assets Register Insurance cover for buildings and play equipment Land registered with Land Registry Inspection regimes	- Annual insurance review - Annual asset review - New items added to asset register and insurance policy in a timely manner - Regular inspections of assets by GL and PC	
	Maintenance of play areas	High	GL provided with necessary training GL provided with necessary equipment Compliance with RoSPA guidelines Weekly inspections Adequate budget provision and earmarked reserves	- Play area inspected weekly by GL plus full annual independent inspection - Respond to medium and high risk issues as identified	

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				• Ensure adequate budget provision when setting budget	
Legal	Public Liability	High	• Insurance cover for public liability and Hirers Liability • H&S Policy • Clerk as Responsible H&S Officer • Risk Assessments • Tree Inspection Policy • Policy on hiring CPC land and equipment • Management of volunteer group/individual activities	• Annual review of insurance by Council • Risk Assessments carried out and reviewed when required. • Review of H&S Policy in line with change in legislation or circumstances • Ensure all contractors have adequate insurance • High risk H&S matters to reported to Council and actioned asap • Compulsory H&S training for key roles • Provision of tooling for volunteer activities	Introduce formal Memorial Testing Policy separate to Burial Ground Regulations – <i>actioned March 2026</i>
	Employer Liability	High	• Staffing Committee • Qualified Clerk • Compliance with employment law • Compliance with H&S at Work Act 1974 and Management of Health & Safety at Work Regulations 1999 and other specific H&S legislation • Compliance with Equality Act 2010 • Health & Safety Policy • HALC HR support	• At least two meetings per annum of the Staffing Committee • Seek professional advice wherever possible • Urgent employment law matters to be reported to Staffing Committee or full Council (whichever is most suitable and	

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			- Employers Liability Insurance - Legal Insurance cover - Fidelity guarantee insurance cover	- minimising any disclosure of personal data) - High risk H&S matters to be reported as above - Training regularly reviewed by Clerk and Staffing Committee - Annual review of insurance - Annual review of H&S Policy or following significant change in legislation or circumstances	
	Acting Lawfully	Medium	- Qualified Clerk - Training and CPD for Staff and Councillors. - Compliance with key sector legislation: - Local Government Acts 1972 and 2003 and Misc Provision 1974. - Local Government Finance Act 1988. - Localism Act 2011. - Local Audit and Accountability Act 2014 & Smaller Authorities Regulations 2015. - Local Authorities Cemeteries Order 1977. - GDPR 2018. - Equality Act 2010.	- Annual review of Standing Orders. - Annual review of Financial Regulations. - Ensure all Councillors have completed DPI forms and review annually. - Regular review of Code of Conduct including review against national model and local district. - The appointment of suitably qualified and experienced staff. - Clerk to advise Council on acting within legal powers and complying with relevant legislation.	PC to obtain membership of SLCC

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			• Sound and reliable sources of advice – eg HALC, NALC & SLCC. • Legal expenses insurance cover. • Fidelity guarantee insurance cover. • Libel & slander insurance cover. • Internal Auditor. • Membership of HALC and NALC.	• Clerk (or committee with delegated authority) to obtain advice where required. • Clear policies on how OPC will comply with legislation. • Council decisions to be clearly minuted including decision, value and power to act • Promote transparency by publishing as much Council business as possible on OPC's website. • Membership of ICO. • Interim and annual auditor by Internal Auditor.	
	Loss of Key Staff	Medium	• Staffing Committee and clear staffing policies • Staff contracts • Annual appraisals • Appeals panel and related policies • Data Retention Policy • Second bank administrator	• Regular support meetings to Clerk • Review of continuity planning • Succession planning • Appropriate notice periods in staff contracts • Comprehensive records and reports • Ensure staff annual leave does not impact on business continuity • Proper handover and induction plans with staff changes	Introduce formal business continuity plan

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				Staffing Committee to respond to matters arising in a timely manner and in accordance with policies	
IT, Digital & Data Compliance (Assertion 10)	Threat of IT failure and loss of IT records	Medium	- IT Policy – online copy kept - Data Retention Policy - Professional IT support when required - Anti-virus software	- Regular review of IT security practices - Staff to back-up important documents - Back-up of files	Data Retention Schedule to be published – <i>actioned March 2026</i>
	Email Management	Medium	- Cyber Security Policy - Councillor Email Guide - Social Media & Electronic Communication Policy	- Council uses its own domain (ie crondall-pc.gov.uk) - All councillors and staff issued council email address on joining	
	Accessible & Compliant Website	Medium	- Accessibility Statement - Website tested against WCAG 2.2AA - FOI documents available - Transparency Code requirements	- Regular review of policies and procedures, including FOI. - Available on CPC website - Transparency Code published and checked against latest advice. - Website supported by professional website hosting company and checked monthly	Necessary work to ensure website WCAG 2.2AA and Accessibility compliance - <i>actioned and completed 23.04.26</i>
	Personal Data & GDPR	Medium	- Registered with the ICO - GDPR policy - Privacy Notice - Data retention Schedule	- Data Protection and Privacy Statement published online - Reviewed regularly against latest guidelines - All staff and councillors updated in data protection	Data Retention Schedule to be published - <i>actioned March 2026</i>
	IT Policy	Medium	- Cyber Security Policy - Councillor Email Guide	Policy reviewed 2026 and formally adopted by the Council	

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			Social Media & Electronic Communication Policy	- Covers both council and personal devices - Guidance on passwords, backups and encryption included - Data breach response included	

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