

Assessment year: 2021

<i>Area / Function</i>	<i>Duty</i>	<i>Responsibility</i>	<i>No of risks</i>	<i>Number scored</i>	<i>No of uncontrolled Risks</i>	<i>Your action plan rank</i>
Allotments	Duty to provide allotments. Power to improve and adapt land for allotments, and to let graz	Allotments Admi	21	21	0	<input type="text"/>
Bar Services	Powers to provide	Cafe manager	8	8	0	<input type="text"/>
Bus Shelters	Power to provide and maintain shelters	OSL manager	6	6	0	<input type="text"/>
Car Parks	Powers to provide		14	6	0	<input type="text"/>
Cemeteries/Churchyards	Power to provide Power to acquire and maintain	OSL manager	21	21	0	<input type="text"/>
Clocks	Power to provide public clocks	OSL manager	5	5	0	<input type="text"/>
Code of Conduct	Duty to adopt a code of conduct	Clerk	2	2	0	<input type="text"/>
Commons and Common Pastures	Powers in relation to enclosure, as to regulation and managemen nt, and as to providing common pasture	OSL manager	17	12	0	<input type="text"/>
Community Centres	Power to provide and equip buildings for use of clubs having at hletic, social or educational objectives.	Clerk	16	15	0	<input type="text"/>
Computing	Power to facilitate discharge of any function	Clerk	4	4	1	<input type="text"/>
Council Meetings	Power to meet	Clerk	4	4	0	<input type="text"/>
Council Property and Documents	Duty to disclose documents and to adopt publication scheme	Responsible Fin	4	4	0	<input type="text"/>
Crime Prevention - CCTV	Powers to spend money on crime detection and prevention mea sures.		10	10	0	<input type="text"/>
Data Protection	Duty of Notification and Duty to Disclose (subject access)	Clerk	1	1	0	<input type="text"/>
Drainage	Power to deal with ponds and ditches	OSL manager	7	7	0	<input type="text"/>
Employment of Staff	Duty to Appoint	Clerk	8	8	0	<input type="text"/>

Assessment year: 2021

<i>Area / Function</i>	<i>Duty</i>	<i>Responsibility</i>	<i>No of risks</i>	<i>Number scored</i>	<i>No of uncontrolled Risks</i>	<i>Your action plan rank</i>
Entertainment and the arts	Provision of entertainment and support of the arts		15	8	0	<input type="text"/>
Financial Management	Duty to ensure responsibility for financial affairs	Responsible Fin	10	10	0	<input type="text"/>
GDPR	Duty to comply with the regulations.	Clerk	23	23	0	<input type="text"/>
Gifts	Power to accept gifts	Clerk	1	1	0	<input type="text"/>
Investments	Power to participate in schemes of collective investment	Responsible Fin	4	4	0	<input type="text"/>
Land	Power to acquire by agreement, to appropriate, to dispose of land	Clerk	14	13	0	<input type="text"/>
Litter	Power to provide receptacles. Power to take enforcement action against those that litter.	OSL manager	7	5	0	<input type="text"/>
Markets	Power to establish or acquire by agreement markets within their area and provide a market place and market buildings.	Markets/ OSL Cl	16	16	2	<input type="text"/>
Meeting of the Council	Duty to meet	Clerk	4	4	0	<input type="text"/>
Newsletters	Power to provide information relating to matters affecting local government	Clerk	7	7	0	<input type="text"/>
Open spaces	Power to acquire land and maintain	OSL manager	13	13	0	<input type="text"/>
Planning & Development Control	Rights of consultation	Planning Clerk	1	1	0	<input type="text"/>
Play Areas	Power to provide	OSL manager	4	4	0	<input type="text"/>
Provision of Office Accommodation	Power to provide	Clerk	6	6	0	<input type="text"/>
Provision of Website/Internet Access	Power to provide 'free resource'	Clerk	2	2	0	<input type="text"/>

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<i>Area / Function</i>	<i>Duty</i>	<i>Responsibility</i>	<i>No of risks</i>	<i>Number scored</i>	<i>No of uncontrolled Risks</i>	<i>Your action plan rank</i>
Public buildings and Village hall	Power to provide buildings for offices and for public meetings and assemblies	Clerk	16	15	0	<input type="text"/>
Public Conveniences	Power to provide	OSL manager	13	12	0	<input type="text"/>
Shelters & Seats	Power to provide	Clerk	6	6	0	<input type="text"/>
Skatepark	Power to provide	Responsible Finance Officer	5	5	0	<input type="text"/>
Street/Footway Lighting	Power to light roads and public places	Deputy Clerk	8	7	0	<input type="text"/>
Town and Country Planning	Right to be notified of planning applications	Planning Clerk	3	3	0	<input type="text"/>
Village Signs	Power to erect (with Highway Authority approval)	OSL manager	4	3	0	<input type="text"/>
War memorials	Power to maintain, repair, protect and alter war memorials	OSL manager	3	3	0	<input type="text"/>
Web Sites	Power for councils to have their own websites	Clerk	19	18	0	<input type="text"/>

Completed by:

Overall totals/s cores **352** **323** **3**

Date:

Position:

How to complete:

1. Review each area and the number of uncontrolled risks.
2. Decide which area is at most risk and should be actioned firstly mark this as number one.
3. Repeat on all areas until all uncontrolled areas are allocated.

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Your Duty =

Assessment year: 2021

Act = Small Holdings & Allotments Act 1908 s 23, 26 and 42, Allotments Act 1950 s 9

Scoring note:
Low = 1
Medium = 2
and High = 3

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal					
Absence of a completed agreement with every allotment holder.					
310	To have a completed agreement on file for every allotment holder.	Tenancy agreement is completed and signed by all parties prior to occupation. Allotment register maintained. Tenancy Agreements and the rules are reviewed annually to ensure adequacy of conditions.	Annually	Low	Low 1
Responsibility: Allotments Administrator					

Administration/Legal					
Maintenance of Allotment Register.					
309	To maintain an up to date register of allotment holders.	Clerk has designated responsibility to maintain a proper register ensuring all amendments are promptly recorded. Define responsibility of allotment society where appropriate. Allotments Association is kept up to date with changes if relevant.	Annually	Low	Low 1
Responsibility: Allotments Administrator					
Action by: Administrator					
Action by date: 25/06/2021					
Action plan:					

Administration/Legal

Poor Grass Cutting.

Annually

N/A

N/A

0

Responsibility:

50 To maintain required standards at allotment sites. Regular review/control of staff & equipment including training where necessary.

Regular review of grass cutting contract and liaison with contractor.
Arrange periodical site inspection.
Enforce conditions of contract.

Administration/Legal

Provision of adequate insurance cover.

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

312 To ensure that the council is fully protected against mandatory and other risks. Carry out an annual review of insurance cover to ensure that all appropriate risks are fully protected.
Carry out annual inspection of insurance held by third parties.

Environmental

Accumulation of rubbish.

Annually

Low

Low

1

Responsibility: OSL manager

301 To maintain acceptable standards for site.

Responsibility for site maintenance is clearly defined.
All allotment sites are regularly inspected by the relevant Allotments Association and the Clerk. Tenants are also encouraged to report any issues as they arise.
The terms and conditions of tenancy agreements are enforced. Allotments Association and Council should liaise and act quickly to resolve any issues that may arise.

Environmental

Build up of non-compostable rubbish

Quarterly

N/A

N/A

0

Responsibility:

53 To maintain high standard of cleanliness and minimize risk.

The terms and conditions of the tenancy agreements are enforced.
There is good liaison with the any Allotments Association and the Council in order to address any issues as they arise.
Ensure that the conditions regarding the removal of waste are contained within the tenancy agreement.
Make arrangements for removal if the enforcement process proves to be unsuccessful.
Consider provision of skip facility.

Environmental

Dumping/Hazardous substances

Quarterly

Low

High

3

Responsibility: OSL manager

- 302 To maintain acceptable standards and minimize danger arising from hazard..
- Site responsibilities are clearly defined.
The terms and conditions of allotment tenancy agreements are enforced.
All allotment sites are inspected on a regular basis by the Allotments Association and the Clerk (minimum quarterly).
The Council and any Allotments Association should liaise and address any issues as they arise.
The Council will liaise with police and/or other authorities where necessary.

Environmental

Loss / Damage to water supply.

As and when

Low

Medium

2

Responsibility: OSL manager

- 49 To maintain adequate water supply and minimise loss /damage arising there from.
- Define responsibility for maintenance of water supply.
Define responsibility for maintenance of water supply.
Ensure regular site inspections include checks on water supply to confirm adequacy of supply and that there is no wastage.
Ensure that system is in place to report and rectify all faults.
Maintain such arrangements as necessary with local contractor.

Environmental

Untidy Plots.

Quarterly

Low

Low

1

Responsibility: Allotments Administrator

- 52 To ensure that site is maintained to the required/acceptable standard.
- Define responsibility.
Ensure site visits are carried out the by Clerk or the defined person/agent.
Ensure that the rules, terms and conditions of tenancy agreements are enforced.
Allotment tenants are notified of any identified issues on their plots as they arise and given appropriate time to rectify issues. Notices are served as and when required.

Environmental

Vandalism of sites.

Quarterly

Low

Low

1

Responsibility: Allotments Administrator

- 48 To minimise the risk of loss/damage/injury arising from vandalism.
- Regular monitoring of sites with, where appropriate, the assistance of allotment society or relevant body.
Consider physical improvements to sites.
There is liaison with local policing teams in the areas affected when necessary.

Environmental

Vandalism.

As and when

Low

Low

1

Responsibility: OSL manager

303 To minimise the risk of loss/damage/injury arising from vandalism.

Carry out periodical site inspection.
 Security is reviewed regularly and local police are consulted as and when required.
 Maintain liaison with law enforcement agencies.
 The Council should instigate legal action against perpetrators where appropriate.
 Liaison should take place with the local allotment society.

Environmental

Vermin.

Annually

Low

Medium

2

Responsibility: OSL manager

304 To control and minimise impact.

Define responsibility for standards of hygiene/cleanliness etc. of site.
 Rules, terms and conditions of tenancy agreements are enforced.
 All allotment sites are inspected on a regular basis.
 Appropriate action to deal with any identified problems is taken.
 There is liaison between the Council and the Allotments Association/s to identify and address issues early.
 Instigate appropriate action to deal with any identified problems.

Financial

Failure to collect rents & charges.

Quarterly

Low

Low

1

Responsibility: Allotments Administrator

308

To ensure that all income due to the council is properly collected and banked.

Define responsibility for collection of income due.

Proper records of income received and banked are maintained. Periodical reconciliation to allotment register should be carried out and a financial report presented to council.

Terms and conditions of allotment tenancy agreements are enforced.

Allotment Register is accurately maintained.

That the Clerk follows procedures for outstanding debts.

Financial

Failure to review rents & charges.

Annually

Low

Low

1

Responsibility: Responsible Finance Officer

306

To ensure that rent income is subject to regular review.

Review allotment rents and charges annually as an integral part of the annual budget process.

Physical

Legionella

Quarterly

Low

High

3

Responsibility: Allotments Administrator

1132 To control Legionella Bacteria in the water systems Water supply is regularly checked for Legionella & serviced. NB: If no showering facility the risk is very low.

Physical

Maintenance of Council owned equipment.

Annually

Low

Low

1

Responsibility: OSL manager

298 To ensure that all Council owned equipment is properly maintained. Ensure that equipment is properly maintained through regular inspection/servicing.
Ensure that proper maintenance records are complete and up to date.
Ensure that responsibility is defined and any training requirement is complete.

Physical

Personal injury.

Annually

Low

Low

1

Responsibility: Clerk

300 To minimise risk.

Ensure that any conditions that might lead to personal injury are minimised and properly controlled.

Ensure that all parties are aware of the relevant Health and Safety legislation.

Carry out periodical examination of allotment environment.

Physical

Public Injury as a result of contractor.

As and when

Low

Low

1

Responsibility: Clerk

51 To minimise risk to allotment holders and others when contractor on site.

Ensure that contract requires provision of appropriate insurance cover.

Inspect contractors insurance documentation to confirm compliance.

Any Contractors instructed by the Council must have completed a risk assessment and work method statement as a minimum requirement.

Physical
Security.

Annually Low Low 1

Responsibility: OSL manager

299 To ensure security of site and equipment. Ensure that responsibility of allotment holders is clearly defined in tenancy agreement.
Ensure that proper facilities are in place to safeguard council assets.

Physical

Quarterly Low Medium 2

Responsibility: Allotments Administrator

Uncontrolled equipment. Inappropriate use & potential injuries & claims, eg if SAHA play equipment is installed on plots

297 To ensure that all equipment is properly secured and controlled and that safety of users is not compromised. Terms and conditions of tenancy agreement are enforced.
All allotment sites are inspected regularly.
Allotment tenants are encouraged to report any issues.
Council maintains liaison with Allotments Association.

Physical

Unoccupied Plots.

Monthly

Low

Low

1

Responsibility: Allotments Administrator

47 To control and minimise empty allotments.

An allotment waiting list is maintained.
The Allotments Association and the Council liaise to ensure any empty sites are adequately maintained.
Council advertises on notice boards when needed.

Completed by:

Date:

Position:

No of Risks 21

No of risks scored: 21

No of Action Plans: 0

Your Duty = Powers to provide

Assessment year: 2021

Act =

Scoring note:
 Low = 1
 Medium = 2
 and High = 3

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal						
	Absence of Licences.		Annually	Low	Low	1
Responsibility: Clerk						
211	To meet all statutory requirements and maintain effective administration.	Determine responsibility for obtaining licences. Maintain adequate records of licence application, renewal etc.				

Administration/Legal						
	Health & Safety.		Annually	Low	Medium	2
Responsibility: Cafe manager						
208	To maintain a high standard of Health & Safety and meet all statutory requirements.	Ensure Health/Safety testing complete.				

Financial

Failure to collect income.

Annually

Low

Medium

2

Responsibility: Cafe manager

207 To maintain effective financial administration/control.

Define responsibility for collection of income.

Ensure that all income due to the Council and received is properly recorded.

Make provision for prompt banking.

Financial

Stock Control.

As and when

Low

Low

1

Responsibility: Cafe manager

215 To maintain effective financial administration/control.

Define responsibility for stock control.

Consider appointment of professional stock taker where appropriate.

Arrange for regular stock checks.

Maintain proper records.

Reconcile stocks to sales etc records.

Investigate significant differences.

Arrange internal audit testing.

Financial

Till Control.

As and when

Low

Medium

2

Responsibility: Cafe manager

- 216 To maintain effective financial administration/control.
- Appoint cafe supervisor.
 - Issue detailed instructions to cafe staff.
 - Complete cashing up records daily
 - Reconcile cash to till record and investigate differences.
 - Arrange alternative procedures for loss of till function.
 - Carry out spot checks.

Physical

Fire Safety.

As and when

Low

High

3

Responsibility: Clerk

- 209 To minimise risk of fire.
- Ensure Health/Safety testing complete.
 - Ensure appropriate staff training
 - Provide for strict security/control of combustible materials.
 - Provide appropriate extinguishers etc.
 - Ensure appropriate signage in place.
 - Ensure appropriate regulations/controls

Physical

Security.

As and when

Low

Medium

2

Responsibility: Cafe manager

210 To ensure that effective security arrangements are in place. Define policy for security of staff, premises and equipment. Allocate responsibility for security/control.

Professional

Staff Training.

Annually

Low

Medium

2

Responsibility: Cafe manager

212 To provide adequate staff training. Arrange training programme for all casual staff. Issue detailed instructions. Maintain training records.

Completed by:**Date:****Position:**

No of Risks 8

No of risks scored: 8

No of Action Plans: 0

Your Duty = Power to provide and maintain shelters

Assessment year: 2021

Act = Local Government (Miscellaneous Provisions) Act 1953 s.4

Scoring note:
Low = 1
Medium = 2
and High = 3

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal						
Absence of Highway Authority Licence.						
268	To ensure that the authority has all necessary licences.	Maintain register of licence requirements. Carry out periodical review.	Annually <i>Responsibility: OSL manager</i>	Low	Low	1
Administration/Legal						
Provision of adequate insurance cover.						
267	To ensure that the Council has adequate insurance cover.	Ensure that all insurance cover is reviewed annually. Ensure that appropriate action is taken to provide cover for any new risks arising in the year.	Annually <i>Responsibility: Responsible Finance Officer</i>	Low	Low	1

Environmental

Cleaning of Bus Shelters.

Weekly

Low

Low

1

Responsibility: OSL manager

- 264 To maintain high standards of health, safety and cleanliness. Define responsibility and standards for regular cleaning .
Carry out periodic physical inspection and take action where appropriate to ensure that set standards are maintained.
Graffiti removed by STC staff as and when required.

Environmental

Design & Position.

As and when

Low

Low

1

Responsibility: OSL manager

- 263 To maintain high standards and reputation of the Council. Ensure that design of all shelters is in keeping with architectural values of the Council.
Ensure that shelters are properly sited.

Environmental

Vandalism.

Weekly

Low

Low

1

Responsibility: OSL manager

- 265 To minimise the risk of loss/damage/injury arising from vandalism. Arrange regular monitoring of sites.
Liaise with SDC.
Instigate appropriate action against offenders.

Physical

Maintenance of Bus Shelters.

Quarterly

Low

Low

1

Responsibility: OSL manager

- 262 To ensure that Bus Shelters are maintained to the appropriate standards. Ensure that property is entered on a schedule for periodical maintenance.
Maintain proper records of work carried out.
Carry out periodical physical inspection.

Completed by:**Date:****Position:**

No of Risks 6

No of risks scored: 6

No of Action Plans: 0

Your Duty = Powers to provide

Assessment year: 2021

Act = s 8 LGA 1894; Open Spaces Act 1906; s 19LG (Misc Provsns) Act 1976

Scoring note:
 Low = 1
 Medium = 2
 and High = 3

<i>Risk /</i> ID	<i>Hazard</i> / Requirement	Control	<i>Review</i> timing & <i>Responsibility</i>	<i>Likelihood</i> of <i>occurrence</i>	<i>Impact</i> on <i>Council</i>	<i>Your</i> action <i>Score required</i>
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Administration/Legal

Staff training.

Annually

Responsibility:

182	To ensure that all staff are fully trained to meet the responsibilities placed upon them.	Define responsibility for staff training. Ensure that all necessary training is complete. Maintain appropriate records.				
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Environmental

Cleaning and litter control.

Monthly

Responsibility:

174	To maintain desired standard of cleanliness and minimise health risk.	Define standards required. Provide litter bins as deemed appropriate Define responsibility for cleaning and ensure any training complete. Ensure any hazardous litter properly dealt with. Provide for regular physical site inspections to ensure standard is maintained.				
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Environmental

Fly tipping.

Annually

Low

Medium

2

Responsibility: OSL manager

- 175 To minimise the impact of fly tipping and associated health/safety risk.
- Arrange regular site inspections.
 - Arrange for safe disposal facility.
 - Ensure any hazardous substances are properly dealt with.
 - Maintain liaison with local enforcement agencies.
 - Enforce regulations/bye-laws as appropriate.

Environmental

Noise/light/emissions pollution.

Quarterly

Responsibility:

- 176 To minimise the effect of noise pollution, etc, etc.
- Arrange regular site inspections.
 - Maintain records of all complaints received and instigate prompt action where appropriate.
 - Liaise with local enforcement agencies.

Financial

Failure to review charges.

Annually

Low

Low

1

Responsibility: Responsible Finance Officer

177 To ensure regular review of charges.

Ensure annual review of all charges as an integral part of the budget process.
STC only has one paid for car park - Raleys. covered by permits

Financial

Inadequate budgetary provision.

Annually

Responsibility:

180 To ensure that adequate funding is available to meet service requirement.

Ensure that service review is included in budgetary process.

Financial

Inadequate insurance cover.

Annually

Responsibility:

181 To minimise risk.

Carry out annual review of insurance cover and ensure that all risks have been taken into account.

Financial

Loss of income.

Annually

Low

Low

1

Responsibility: Responsible Finance Officer

178 To minimise risk of loss of income.

Define responsibility for collection of income.
Maintain proper records of permits sold etc and reconcile to cash collected on a regular basis.

Physical

Maintenance of Car Park Surfaces.

Annually

Low

Low

1

Responsibility: OSL manager

169 To ensure that car park surfaces are maintained to the desired standard.

Define responsibility for and carry out periodic physical inspection, maintain records.
Make arrangements for any required work to be carried out.

Physical

Maintenance of equipment.

Quarterly

Responsibility:

171 To ensure proper operation of facility.

Define responsibility for maintenance of equipment.
Ensure that appropriate maintenance schedule is in place and maintain records.
Ensure that any appropriate staff training is complete.
Review conditions of agreement with contractor and enforce where necessary.

Physical

Personal injury.

Annually

Responsibility:

- 168 To minimise risk of injury to persons using council facility. Arrange regular physical inspection of car parks and maintain records. Ensure that appropriate insurance cover is held and reviewed annually. Ensure that all staff have appropriate training and adhere to approved working practices. Ensure that the correct practices are in place.

Physical

Security.

Quarterly Low Low 1

Responsibility: OSL manager

- 170 To maintain a high standard of security. Define responsibility for and prepare statement of standards required. Consider alternatives for achieving desired standard. Maintain liaison with local enforcement agencies. Ensure that all disclaimer notices etc. are in place.

Physical

Theft from car parks.

Quarterly

Low

Low

1

Responsibility: OSL manager

173 To minimise risk of loss.

Define responsibility for security of sites and equipment.
Review periodically.
Empty all machines daily.
Ensure disclaimer notices are in place.
Ensure adequate insurance cover.
Maintain records of incidents.
Maintain liaison with law enforcement agencies.

Physical

Vandalism.

Monthly

Responsibility:

172 To minimise the risk of loss/damage/injury arising from vandalism.
To minimise the impact on service provision.

Arrange regular monitoring of sites.
Maintain liaison with local enforcement agencies.
Instigate appropriate action against offenders.

Completed by:

Date:

Position:

No of Risks 14

No of risks scored: 6

No of Action Plans: 0

Assessment year: 2021

**Your Duty = Power to provide
Power to acquire and maintain**

Act = Local Government Act 1972, s 214(2)
Parish Councils and Burial Authorities (Miscellaneous Provision) Act 1953, s 1

Scoring note:
Low = 1
Medium = 2
and High = 3

Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
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Risk / ID Hazard / Requirement	Control	<i>As and when</i>	Low	High	3
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Administration/Legal

Loss of burial records through theft or natural disaster.

Responsibility: OSL manager

776	Minimise loss of burial records through theft or natural disaster.	Determine responsibility for security. Digitilising of information. Database maintained & back up taken. Ensure that all relevant documentation held in fire proof cabinet/safe or otherwise deposited with appropriate third party for safe keeping.
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Environmental

Dog fouling.

<i>Quarterly</i>	Low	Low	1
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Responsibility: OSL manager

293	To minimize the impact of dog fouling.	Consider banning dogs from cemeteries. Provide bags/receptacles for dog waste. Ensure appropriate signs in place. Enforce dog fouling laws. Arrange for appropriate agency to deal with stray dogs where a problem.
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Environmental

Maintenance of Cemetery including grass cutting.

Annually

Low

Low

1

Responsibility: OSL manager

291 To ensure that the assets of the Council are properly maintained.

Define responsibility and standards for cemetery maintenance and ensure that a planned programme is in place.
Ensure that any contracts for cemetery maintenance are properly signed and sealed.
Maintain adequate records of inspection to ensure that maintenance records are kept up to date and ready for inspection.

Environmental

Vandalism.

Monthly

Low

Medium

2

Responsibility: OSL manager

292 To minimise the risk of loss/damage/injury arising from vandalism.

Maintain efficient and effective security.
Maintain liaison with local enforcement agencies.
Take action as appropriate against offenders.

Financial

Failure to bank income.

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

296 To minimise risk of loss.

Define responsibility for prompt banking of income received.
 Provide for regular statement of income to Council/committee.
 Provide for internal audit testing of income banked against underlying records.

Financial

Failure to collect charges.

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

295 To maximise the collection of income.

Define responsibility for collection of cemetery income.
 Prepare debtor accounts promptly.
 Ensure that all income due to the Council and received is properly recorded.
 Issue receipts for all income received.
 Ensure procedures are in place for issue of reminders for unpaid accounts. Follow defined procedure for reminders.
 Ensure appropriate internal audit testing procedures are in place.
 Ensure Council approval required for write-off of any bad debts.

Financial

Failure to review charges.

Annually

Low

Low

1

Responsibility: Responsible Finance Officer

294 Annual review of charges.

Ensure that all charges are reviewed annually as an integral part of the budgetary process.

Physical

Control of hazardous substances including certification for use etc.

Annually

Low

Medium

2

Responsibility: OSL manager

285 To properly control use/security of hazardous substances.

Define responsibility for use and control.
Provide for any necessary training.
Provide for appropriate clothing.
Ensure that any necessary licences, certificates for use have been obtained.
Ensure that security is sound.
Ensure that any disposals are made within the required guidelines. Ensure that hazardous substances are securely stored in a locked cabinet.

Physical

Control of hazardous substances.

Monthly

Low

Medium

2

Responsibility: OSL manager

273

To minimise risk of loss/damage/injury arising from use of hazardous substances.

Define responsibility for use and control.
Provide for any necessary training.
Provide for appropriate clothing.
Ensure that any necessary licences, certificates for use have been obtained.
Ensure that security is sound.
Ensure that any disposals are made according to the legal requirement.

Physical

Failure of Water Supply.

As and when

Low

Low

1

Responsibility: OSL manager

290

To provide an adequate supply of water.

Ensure that all damage to water supply is promptly reported and dealt with.
Ensure that water bills are paid or disputes resolved before loss of supply becomes an issue.

Physical

Fire.

Annually

Low

High

3

Responsibility: OSL manager

288 To minimise the risk of damage/injury arising from fire
Ensure Health/Safety testing complete.
Ensure appropriate staff training
Provide for strict security/control of combustible materials held by Council.
Provide appropriate extinguishers etc.
Bar burning of rubbish/cemetery waste.

Physical

Grave digging

Annually

Low

Medium

2

Responsibility: OSL manager

1133 Ensure all health & safety rules adhered to while digging graves
Staff training & procedures in place

Physical

Grey water

Annually

Low

Medium

2

Responsibility: OSL manager

1134 Control of gray water

Professional tests to be undertaken

Physical

Headstones/kerbstones safety survey.

Quarterly

Low

Medium

2

Responsibility: OSL manager

287 To minimise risk of injury.

Ensure that a comprehensive survey is completed.
Arrange for completion of any necessary work.
Ensure that facility users are aware of danger.
Arrange for regular inspections to ensure that standards are maintained.
Maintain appropriate records.
Ensure adequate insurance cover is in place.
Topple testing needs to be done by trained personnel.

Physical

Inadequate maintenance of trees

Annually

Low

Medium

2

Responsibility: OSL manager

1135 To ensure proper maintenance of trees

Planned programme of maintenance
Ensure contracts are complete
Standards maintained through year
Provision made for any urgent work

Physical

Maintenance of buildings.

Annually

Low

Low

1

Responsibility: OSL manager

280 To ensure that council property is properly maintained and minimise loss/damage/injury.

Define responsibility for property maintenance.
Carry out/arrange regular inspection of all buildings.
Maintain detailed records of all work scheduled/completed.

Physical

Maintenance of equipment.

Annually

Low

Low

1

Responsibility: OSL manager

282 To ensure that all equipment is properly maintained.

Define responsibility for equipment maintenance and ensure any necessary training is complete
Ensure that all equipment is properly maintained through regular inspection/servicing.
Ensure that proper maintenance records are complete and up to date.

Physical

Personal injury.

Annually

Low

Medium

2

Responsibility: Clerk

286 To minimise the risk of personal injury to persons using council facilities.

Ensure that all staff have appropriate training and adhere to approved working practices.
Ensure that the correct, properly maintained tools are available as appropriate.

Ensure that all appropriate disclaimer notices, warning signs etc. are in place.
If this service is contracted out please ensure that you have evidence. Please obtain a copy of the Public Liability Insurance and keep on file.

Physical

Security of cemeteries and buildings.

Annually

Low

Medium

2

Responsibility: OSL manager

279 To ensure that proper security arrangements are in place.

Responsibility for security defined.
Staff employed or contract with service provider in place.
Appropriate staff training complete.
Detailed schedules/records maintained.
Liaison with local enforcement agencies maintained.

Physical

Security/control of equipment.

Annually

Low

Medium

2

Responsibility: OSL manager

281 To ensure proper control of council assets.

Define policy and provide for security of premises and equipment
Allocate responsibility for security/control.
Maintain asset register.

Physical
Theft.

Annually Low Medium 2

Responsibility: OSL manager

289 To minimize the risk of loss through theft.

Define responsibility for security.
Ensure that security of all plant, equipment and premises is recognised as a priority.
Maintain register of assets.
Maintain liaison with local enforcement agencies.

Completed by:

Date:

Position:

No of Risks 21

No of risks scored: 21

No of Action Plans: 0

Your Duty = Power to provide public clocks

Assessment year: 2021

Act = Parish Councils Act 1957, s.2

Scoring note:

Low = 1
Medium = 2
and High = 3

<i>Risk /</i> <i>ID Hazard / Requirement</i>	<i>Control</i>	<i>Review timing & Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
Administration/Legal					
Loss of facility					
253	To ensure efficient service provision.	Clocks are automatic & regularly maintained	As and when	Low	Low 1
Responsibility: OSL manager					

Administration/Legal					
Provision of adequate insurance cover.					
254	To ensure that all risks are adequately covered.	Ensure that all risks are reviewed annually. Ensure that appropriate insurance cover is in place.	Annually	Low	Medium 2
Responsibility: Responsible Finance Officer					

Financial

Inadequate budget Provision.

Annually

Low

Low

1

Responsibility: Clerk

252 To ensure adequate budget provision.

Anticipated costs (such as annual maintenance) are adequately provided for in annual budget.

Council approval for any for any unexpected expense to be met from reserve.

Physical

Maintenance of Clock.

Annually

Low

Low

1

*Responsibility: OSL manager*251 To ensure efficient and accurate timekeeping.
To ensure safety/ no public hazard from falling

Clock serviced on an annual basis by an appointed reputable company, with any defects identified being rectified.

Ensure that contractor insurance is checked before being instructed.

Ensure maintenance records are maintained.

Physical

Security of Clock.

Annually

Low

Low

1

Responsibility: OSL manager

250 To ensure security of council assets.

Define responsibility for security.
Ensure sound arrangements in place.

Completed by:

Date:

Position:

No of Risks 5

No of risks scored: 5

No of Action Plans: 0

Your Duty = Duty to adopt a code of conduct

Assessment year: 2021

Act = p 3 Local Government Act 2000

Scoring note:
Low = 1
Medium = 2
and High = 3

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal Breach of code of conduct could result in damage to reputation and/ or costs awarded at councils			Annually	Low	Medium	2
			Responsibility: Clerk			

1136	Ensure council is aware of code of conduct & that code is followed	Code of conduct regularly reviewed, & processes drawn up to ensure code is followed				
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Administration/Legal Failure to maintain / update Register of Interests/Gifts			Quarterly	Low	Medium	2
			Responsibility: Clerk			
30	To maintain records of members Declarations of Interest	<p>All Council members are aware of their statutory responsibilities. Every Council member is issued with information for new Councillors together with a copy of the Council's Standing Orders and Financial Regulations upon signing their Declaration of Acceptance of Office.</p> <p>Register of Members' Interests maintained. Councillors are reminded on a six monthly basis of the need to review their Register of Members' Interests to ensure it is accurate and up to date.</p> <p>Chairman asks for interests to be declared at each meeting. Councillors declaring an interest at a meeting are required to complete a 'Members Declaration of Interest' form, which is kept by the Clerk.</p> <p>Register of gifts and hospitality book maintained.</p>				

Completed by:

Date:

Position:

No of Risks 2

No of risks scored: 2

No of Action Plans: 0

Your Duty = Powers in relation to enclosure, as to regulation and management, and as to providing common pasture

Assessment year: 2021

Act = Enclosure Act 1845; Local Government Act 1894 s 8 (4), Smallholdings and Allotments Act 1908, s.34

Scoring note:
Low = 1
Medium = 2
and High = 3

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
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Administration/Legal

Agreements with users not in place.

Annually	Low	Low	1
Responsibility: OSL manager			

248	To ensure that grazing etc rights are subject to a binding agreement.	Ensure completed and signed agreement as a prerequisite of access to land. Enforce conditions of agreement.
-----	-----------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------

Administration/Legal

Provision of adequate insurance cover.

Annually	Low	Medium	2
Responsibility: Responsible Finance Officer			

249	To ensure that the council has adequate insurance protection.	Carry out annual review. Ensure all risks are identified. Ensure that appropriate insurance cover is held to protect the Council.
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Environmental

Dog fouling.

Annually

Low

Low

1

Responsibility: OSL manager

245 To minimize the health hazard associated with dog fouling.

Ensure appropriate signage in place.
Provide bags/receptacles for dog waste.
Enforce dog fouling laws.
Arrange for appropriate agency to deal with stray dogs.

Environmental

Grass cutting/mowing/hay.

Annually

Low

Low

1

Responsibility: OSL manager

241 To ensure proper control of common land resources.

Ensure that grass cutting/ sale of hay is subject to tender bids.
Enforce conditions of contract.
Inspect contractor's insurance documentation.

Environmental

Overgrazing.

Annually

Responsibility:

242 To minimize the risk associated with overgrazing.

Arrange regular site inspections.
Enforce conditions of grazing agreement.
Take appropriate action against unauthorised grazing.

Environmental

Vandalism.

Monthly

Responsibility:

244 To minimise the risk of loss/damage/injury arising from vandalism.

Arrange regular inspection.
Review security arrangements.
Maintain liaison with enforcement agency.
Instigate legal action against perpetrators where possible.

Environmental

Weed control.

Annually

Responsibility:

243 To limit weed growth.

Ensure that weed control is carried out annually as planned.
Arrange physical inspection of area(s) and report on effectiveness.
Ensure proper control of hazardous substances.

Financial

Failure to collect charges.

Annually

Responsibility:

247 To ensure that all income due to the council is collected.

Define responsibility for collection of income.
Dispatch accounts promptly.
Follow up unpaid accounts in accordance with approved procedure.
Withdraw grazing etc facility in event of non-payment.
Council approval required for write off on any amounts deemed irrecoverable.
Maintain detailed records.
Arrange periodical internal audit.

Financial

Failure to review charges.

Annually

Responsibility:

246 To ensure that all charges are reviewed on a regular basis. Ensure annual review of all charges as an integral part of the budgetary processes.

Physical

Dumping of Rubbish/Hazardous waste.

Annually

Low

Medium

2

Responsibility: OSL manager

240 To maintain standards of cleanliness and avoid risk associated with dumping of rubbish. Define responsibility for security/control of hazardous waste. Consider policing role and maintain liaison with local enforcement agencies. Arrange periodic inspection of land and report. Ensure that appropriate signage is in place. Arrange prompt removal of rubbish ensuring that appropriate steps are taken to deal with any hazardous waste. Enforce regulations/bye-law re unauthorised dumping.

Physical

Inadequate maintenance of fences and boundaries.

Annually

Low

Low

1

Responsibility: OSL manager

234

Define responsibility and ensure that maintenance is carried out in accordance with a planned programme.
Ensure that any contracts for maintenance work are complete.
Ensure that adequate provision is made for urgent repairs.
Ensure that appropriate staff training is complete.
Arrange for periodical inspection and report.

Physical

Inadequate maintenance of footpaths & bridle paths.

Annually

N/A

0

Responsibility:

236

To ensure proper maintenance and minimise risk.

Define responsibility for and ensure maintenance is carried out in accordance with planned programme.
Arrange provision for urgent/emergency work.
Ensure that any contracts are complete.
Ensure that all necessary approvals re Preservation Orders etc. are obtained.
Ensure appropriate insurance cover in place.

Physical

Inadequate maintenance of signs.

Annually

Low

Low

1

Responsibility: OSL manager

237 To ensure that all signs are properly maintained.

Define responsibility for maintenance.
Arrange periodical inspection.
Arrange for any necessary work.

Physical

Inadequate maintenance of trees & hedges.

Annually

Low

Medium

2

Responsibility: OSL manager

235 To ensure proper maintenance.

Define responsibility and ensure that maintenance is carried out in accordance with a planned programme.
Ensure that any contracts for maintenance work are complete.
Ensure that adequate provision is made for urgent repairs.
Ensure that appropriate standards are maintained.
Ensure that appropriate staff training is complete.

Physical

Personal Injury.

Annually

Low

Medium

2

Responsibility: OSL manager

233 To minimise risk.

Ensure that gates, fences, hedges etc are properly maintained.
Ensure that recognised paths & walkways are properly maintained.
Ensure that periodic inspection is carried out.
Ensure that the correct, properly maintained tools/equipment are available as appropriate.

Physical

Poor Drainage.

Annually

Low

Medium

2

Responsibility: OSL manager

238 To ensure adequate standards of drainage are maintained.

Define responsibility for drainage.
Arrange periodical inspection and report.
Ensure any contracts properly completed.
Provide for emergency/urgent work.

Physical

Uncontrolled/unauthorised usage.

Annually

Low

Medium

2

Responsibility: OSL manager

239 To minimise risk arising from uncontrolled use.

Ensure that grazing etc. is carry out only in accordance with Council policy.
Ensure that a signed agreement is in place for all users.
Ensure that recreational use is restricted to approved activity.
Enforce regulations, bye-laws controlling use.

Completed by:

Date:

Position:

No of Risks 17

No of risks scored: 12

No of Action Plans: 0

Your Duty = Power to provide and equip buildings for use of clubs having athletic, social or educational objectives.
 Power to acquire, provide and furnish community buildings for public meetings and assemblies

Assessment year: 2021

Act = Local Government (Miscellaneous Provisions) Act 1976 s 19,
 Localism Act 2011, s 27

Scoring note:
 Low = 1
 Medium = 2
 and High = 3

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal					
Failure to obtain all necessary licences, ie bar, music, weddings, etc.					
		Annually	Low	Medium	2
Responsibility: Clerk					
231	To meet all statutory requirements for service provision.	Define responsibility for obtaining licences. Maintain adequate records of licence application, renewal etc.			

Administration/Legal					
Maintenance of diary of events/usage.					
		Annually	Low	Medium	2
Responsibility: Bookings Clerk					
232	To provide effective control of facility bookings etc.	Define responsibility for maintenance of diary. Completed booking/application a prerequisite to facility hire. All applications to be cross referenced to account/receipt number and filed.			

Environmental

Cleaning.

Monthly

Low

Medium

2

Responsibility: Caretaker

225

Define responsibility for cleanliness/hygiene of premises
Maintain a maintenance log/cleaning regime.
Arrange for periodical checks.

Environmental

Pollution, ie. noise, litter etc.

Annually

Low

Medium

2

Responsibility: Clerk

227

To maintain desired standards for use of facilities and limit impact of pollution.

Ensure that adequate controls/conditions are included in booking application form.
Ensure that all users are aware of conditions attached to use of premises.
Define policy for dealing with offenders.

Environmental

Vandalism.

Annually

Low

Medium

2

Responsibility: Clerk

- 226 To minimise the risk of loss/damage/injury arising from vandalism.
- Review security and monitor all areas on a regular basis.
Maintain liaison with local enforcement agencies.
Define a policy for dealing with antisocial behaviour.
Instigate legal action against perpetrators where appropriate.

Financial

Failure to collect income.

Quarterly

Low

Medium

2

Responsibility: Bookings Clerk

- 230 To ensure that all income is received and properly banked.
- Define responsibility for collection of income.
Maintain an effective receipting system.
Provide for prompt banking.
Maintain proper records of income received and banked.
Enforce provisions of user agreements.
Bad debts to be followed up promptly & reported to council for decision on action.
Provide for periodical reconciliation and financial report to Council.

Financial

Failure to review charges.

Annually

Low

Low

1

Responsibility: Responsible Finance Officer

229 To ensure that all charges are subject to regular review. Review all charges annually as an integral part of the budget process.

Financial

Inadequate budget provision.

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

228 To ensure that service provision is included in budgetary process. Ensure that anticipated costs are adequately provided for in Budgetary process .
Council approval to be sought for any unexpected expense to be met from reserves.

Physical

Fire.

Quarterly

Low

High

3

Responsibility: Clerk

349 To safeguard against fire risk.

- Ensure Health/Safety testing complete.
- Ensure appropriate staff training.
- Provide for strict security/control of combustible materials held by Council.
- Provide appropriate extinguishers etc.
- Ensure appropriate signage in place.
- Ensure appropriate regulations/controls in hire documentation.

Physical

Maintenance of buildings.

Annually

Low

Low

1

Responsibility: Clerk

220 To ensure that council property is properly maintained and minimise loss/damage/injury.

- Define responsibility for maintenance.
- Maintain detailed records of work scheduled and completed.
- Carry out regular inspections of all buildings.
- Ensure that proper contractual arrangements are in place for specialist/other services.
- Annual inspection by Health & Safety consultant
- Arrange adequate insurance cover.

Physical

Maintenance of equipment.

Annually

Low

Low

1

Responsibility: Clerk

- 221 To ensure that all equipment is properly maintained. Ensure that equipment is properly maintained through regular inspection/servicing.
Ensure that proper maintenance records are complete and up to date.
Ensure that responsibility is defined and any training requirement is complete.

Physical

Personal injury.

Annually

Low

High

3

Responsibility: Clerk

- 213 To ensure that any conditions that might lead to personal injury are minimised and properly controlled. Ensure that all staff have appropriate training and adhere to approved working practices.
Ensure that the correct, properly maintained equipment is available as appropriate.
Ensure that any risks to the public are minimised and eliminated wherever possible.
Maintain records of staff training.
Maintain records of any injuries.
Define responsibility in job descriptions etc.
Annual inspection by Health & Safety consultant.

Physical

Security of buildings

Annually

Low

Medium

2

Responsibility: Clerk

214 To maintain a high standard of security.

Allocate responsibility for security/control of premises.
Define policy and provide for security.
Staff employed or contract with service provider in place.
Appropriate staff training complete.
Detailed schedules/records maintained.
Liaison with local enforcement agencies maintained.

Physical

Security of equipment.

Annually

Low

Medium

2

Responsibility: Clerk

222 To ensure that all property is secure and minimise losses by theft or otherwise.

Define policy for security of equipment.
Ensure that responsibility of users is clearly defined in hire/user agreement.
Allocate responsibility for security/control.
Maintain records of loss or damaged equipment.
Maintain asset register.

Physical

Security of Hazardous Substances + D73.

Annually

Low

High

3

Responsibility: Clerk

223

To minimise the risk of damage/injury arising from the use of hazardous substances.

- Define responsibility for use and control.
- Provide for any necessary training.
- Provide for appropriate clothing.
- Ensure that any necessary licences, certificates for use have been obtained.
- Ensure that security is sound.
- Ensure that any disposals are properly dealt with.
- Maintain proper records.

Physical

Stock control.

Monthly

Responsibility:

224

To minimize the risk of loss.

- Define responsibility for stock control.
- Arrange for regular stock checks.
- Maintain proper records.
- Reconcile stocks to sales etc records.

Completed by:

Date:

Position:

No of Risks 16

No of risks scored: 15

No of Action Plans: 0

Your Duty = Power to facilitate discharge of any function

Assessment year: 2021

Act = s 111 Local Government Act 1972

Scoring note:
 Low = 1
 Medium = 2
 and High = 3

<i>Risk /</i> ID	<i>Hazard</i> / Requirement	<i>Control</i>	<i>Review timing & Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
Physical						
	Loss arising from theft/misappropriation.		Annually	Low	High	3
			<i>Responsibility: Clerk</i>			
325	Maintain adequate security of site and equipment.	Access to Council offices only available when Council staff are present. The building is alarmed and all equipment is security tagged. All computers are password protected. High security of site and equipment is maintained at all times.				
<hr/>						
Physical						
	Loss/damage arising from unauthorised use.		Annually	Low	High	3
			<i>Responsibility: Clerk</i>			
318	Maintain security of computer.	Access restricted through use of controlled passwords. Passwords are changed periodically. Maintain physical security of computer and site.				

Technical

Crash of IT System.

Monthly

Low

Medium

2

Responsibility: Clerk

- 27 To minimise risk arising from breakdown of equipment. Council computer systems are backed up daily, and backup devices rotated regularly.
 Council ensures equipment is properly maintained.
 Access is restricted to authorised users.
 Only approved software is used.
 Professional advice received from IT consultants
 Data stored on cloud
 Council operate up to date anti-virus software.
 Council has a backup laptop it could independently use in the event of a total crash.

Technical

Cyber Security

Annually

Medium

High

6

Yes

Responsibility: Clerk

Action by: Clerk

Action by date: 31/12/2021

Action plan: Obtain Cyber Essentials Certification

- 1138 Maintain Security of all Council's computing systems & data against all Cyber Crime including Viruses, Phishing & Data Leaks
 3rd party IT consultants advise on council adequacy of cyber security.
 Cyber Essentials Certification obtained for council.
 Cyber security training available for Councillors & Staff.

Completed by:**Date:****Position:**

No of Risks 4

No of risks scored: 4

No of Action Plans: 1

Your Duty = Power to meet

Assessment year: 2021

Act = Local Government Act 1972

Scoring note:
Low = 1
Medium = 2
and High = 3

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal						
	Access.		Annually	Low	Medium	2
Responsibility: Clerk						
218	To meet all statutory requirements and maintain effective administration.	<p>Ensure public access is available to all meetings of the Council, except for meetings of the Staff and Salaries committees.</p> <p>Members of the press and public may also be asked to leave a meeting during the discussion of quotations or tenders submitted by local contractors.</p> <p>Disability access should be provided.</p> <p>Specific area should be set aside for press & public.</p> <p>Table set aside for press and public.</p> <p>Time should be allocated for public questions and comments.</p>				
Administration/Legal						
	Failure to meet statutory duty.			Low	Medium	2
Responsibility: Clerk						
217	To meet all statutory requirements and maintain effective administration.	<p>All meetings comply with LGA 1972.</p> <p>Clerk and Assistant Clerk are CiLCA qualified, if required.</p> <p>Council randomly checks its own internal controls as well as Internal Auditor checks.</p> <p>All members are notified of meeting by way of summons and agenda in accordance with LGA 1972.</p> <p>All public notices are posted as prescribed in LGA 1972.</p> <p>Clerk/Assistant Clerk ensures meetings are quorate and attendance records are maintained.</p> <p>Minutes are taken of all Council and Committee meetings and signed at the next meeting by the Chairman.</p> <p>All minutes are produced in accordance with legislation and kept in files in the</p>				

Physical

Personal Injury.

Annually

Low

Medium

2

Responsibility: Clerk

319 Ensure that effective arrangements are in place to minimise risk. Appropriate regulations/controls are in place to minimise the risk of injury to officers, members and public.
 Defined standards are maintained.
 Where necessary, appropriate notices are in place.
 Council has appropriate insurance cover which is reviewed on an annual basis as a minimum.

Physical

Security.

Annually

Low

Medium

2

Responsibility: Clerk

219 To ensure that effective security arrangements are in place. Define policy for security of staff, members, premises and equipment.
 Allocate responsibility for security/control and implementation.
 Maintain liaison with local enforcement agencies.
 Council officers are aware of responsibility for security/control and implementation in order to protect themselves and others.

Completed by:

Date:

Position:

No of Risks 4

No of risks scored: 4

No of Action Plans: 0

Your Duty = Duty to disclose documents and to adopt publication scheme

Assessment year: 2021

Act = Freedom of Information Act 2000

Scoring note:
 Low = 1
 Medium = 2
 and High = 3

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Financial					
Legal Liability as a result of Asset Ownership.					
44	Provision of adequate public liability insurance	Detailed asset register is maintained and reviewed annually. Adequate public liability insurance is in place. Separate legal liability and asset risk assessments are maintained by the Clerk. Annual inspection by Health & Safety consultant	Annually	Low	Medium 2
Responsibility: Responsible Finance Officer					
Physical					
Loss / Damage to Civic Regalia.					
45	To safeguard council assets.	Register of Assets maintained and updated annually and as and when required . Council has adequate insurance against damage and theft. Proper security/storage is in place. Users are aware of their responsibility when regalia is in their care. Civic Regalia is suitably maintained and cleaned. Civic Regalia is collected and returned under secure conditions.	Monthly	Low	Low 1
Responsibility: Clerk					

Physical

Loss of assets.

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

- 43 To minimise the risk of loss through theft/misappropriation of assets. Effective security of all assets maintained. Asset Register maintained and reviewed annually as a minimum. Ensure that adequate and appropriate insurance cover is held.

Professional

Failure to effectively process documents.

Daily

Low

Medium

2

Responsibility: Clerk

- 46 To ensure effective processing and safe keeping of all documentation received by the Council Clerk is responsible for maintenance of effective control of documentation. Deeds and leases stored in fire proof box in Council office, and then within security locked cupboard. Security waste is disposed of securely. All documents kept on computer are backed up daily, with backup media/hard drives being rotated regularly. Restricted access to Council Offices unless with a Council Officer. Copies of all incoming and outgoing correspondence are held electronically as well as paper copy. Financial information held electronically as well as paper copy.

Completed by:**Date:****Position:**

No of Risks 4

No of risks scored: 4

No of Action Plans: 0

Your Duty = Powers to spend money on crime detection and prevention measures.

Assessment year: 2021

Act = Local Government and Rating Act 1997 s 31; Crime & Disorder Act 1998

Scoring note:
 Low = 1
 Medium = 2
 and High = 3

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal					
Data Protection - Registration & compliance.					
336	To ensure statutory requirements are met.	Arrange for any necessary Data Protection registration and compliance. Check if any necessary registration needs to be arranged. Ensure that personnel are aware of compliance requirements. Arrange necessary training.	Annually	Low	High 3
Responsibility: Clerk					
Administration/Legal					
Failure to appoint representative on CCTV group.					
307	To ensure that council interest is properly represented.	Ensure that representative(s) are properly appointed by Council. Arrange periodical reports to Council.	Annually	N/A	0
Responsibility:					

Administration/Legal

Failure to comply with Code of Practice.

Annually

Low

Medium

2

Responsibility: Clerk

335 To meet requirements of code.

Ensure that where appropriate operatives are aware of code requirements.
Provide for necessary training.

Administration/Legal

Failure to provide for recording media.

Annually

Low

Medium

2

Responsibility: Clerk

331 To minimise risk of service loss.

Ensure that responsibility for supply of recording media, including adequate history, is determined.
Provide for an emergency supply.

Financial

Inadequate budget provision.

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

329 Ensure annual service review.

Ensure that service/facility requirements are detailed in budget process.
Ensure that any wayleave costs have also been identified and agreements drawn up with property owners.

Physical

Failure of system - equipment.

Annually

Low

Medium

2

Responsibility: Clerk

332 To minimise risk.

Define responsibility for use and control.
Provide for any necessary training and regular testing.
Ensure that proper maintenance contracts are in place.
Make provision for urgent repairs.
Maintain proper records.

Physical

Security of control room operations.

Quarterly

N/A

0

Responsibility:

334 To provide for safe and efficient service operation.

Determine policy for control room operations.
Allocate responsibility for security/control of premises.
Arrange appropriate staff training.
Maintain liaison with local enforcement agencies.

Physical

Security of equipment.

Quarterly

Low

Medium

2

Responsibility: Clerk

333 To minimise the risk of loss/damage.

Define policy for security of premises and equipment
Define responsibility for security/control of equipment.
Maintain asset register.

Physical

Vandalism.

Monthly

N/A

0

Responsibility:

330 To minimise risk arising from vandalism/antisocial behaviour. Maintain efficient and effective security. Maintain liaison with local enforcement agencies. Take action as appropriate against offenders.

Technical

Unauthorised use of equipment.

Annually

N/A

0

Responsibility: Clerk

317 Maintain security of equipment. Maintain security of system. Set up password authorisation to restrict access.

Completed by:**Date:****Position:**

No of Risks 10

No of risks scored: 10

No of Action Plans: 0

Your Duty = Duty of Notification and Duty to Disclose (subject access)

Assessment year: 2021

Act = Data Protection Act 1998

Scoring note:
 Low = 1
 Medium = 2
 and High = 3

<i>Risk /</i> ID	<i>Hazard / Requirement</i>	<i>Control</i>	<i>Review timing & Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
Administration/Legal						
Breach of confidentiality.						
29	To ensure that statutory requirements are met.	That the Council is registered as a Data Controller with the Information Commissioners Office. That the Council has a Data Protection Policy. All Council Officers undertake training when they commence employment and periodically afterwards. All Councillors are aware of their obligation under Data Protection (including on ly using "gov.uk" emails) and undergo ad hoc training.	Daily	Low	High	3
Responsibility: Clerk						

Completed by:

Date:

Position:

No of Risks 1

No of risks scored: 1

No of Action Plans: 0

Your Duty = Power to deal with ponds and ditches

Assessment year: 2021

Act = s 260 Public Health Act 1936

Scoring note:
Low = 1
Medium = 2
and High = 3

<i>Risk / ID</i>	<i>Hazard / Requirement</i>	<i>Control</i>	<i>Review timing & Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
Administration/Legal						
Agreements with Internal Drainage Boards, re: discharge etc.						
206	To ensure necessary agreements are in place.	Ensure that proper Drainage Board agreements are in place. Arrange for periodical review.	Annually	N/A	N/A	0
<i>Responsibility:</i>						

Environmental						
Flooding.						
203	To minimise risk arising from flooding.	Define responsibility for dealing with floods. Ensure that effective arrangements are in place to deal with any Council responsibility.	Annually	Low	High	3
<i>Responsibility: Clerk</i>						

Environmental

Vermin.

Annually

Low

High

3

Responsibility: Clerk

204 To minimise risk/damage arising from vermin.

Allocate responsibility for dealing with vermin.
Where appropriate ensure proper contract in place.**Financial**

Inadequate budget provision.

Annually

Low

Low

1

Responsibility: Responsible Finance Officer

205 To ensure annual review of service requirements.

Review service provision as integral part of Budget process.

Physical

Fly tipping.

Annually

Low

Medium

2

Responsibility: OSL manager

202 To minimise the impact of fly tipping and associated health/safety risk.

- Carry out regular inspections.
- Arrange for safe disposal facility.
- Ensure any hazardous substances are properly dealt with.
- Maintain liaison with local enforcement agencies.
- Enforce regulations/bye-laws as appropriate.

Physical

Maintenance of ditches & drains/ tree roots/ surface deterioration

Annually

Low

Medium

2

Responsibility: OSL manager

200 To ensure provision for council responsibility.

- Define responsibility for maintenance.
- Ensure that appropriate arrangements are in place to deal with any Council responsibility.

Physical

Protection of hedgerows.

Annually

Low

Medium

2

Responsibility: OSL manager

201 To minimise risk arising from damage to hedgerows. Define responsibility for dealing with hedgerows. Ensure that arrangements are in place to deal with any infringements of law protecting hedgerows.

Completed by:

Date:

Position:

No of Risks 7

No of risks scored: 7

No of Action Plans: 0

Your Duty = Duty to Appoint

Assessment year: 2021

Act = s 112 Local Government Act 1972

Scoring note:
Low = 1
Medium = 2
and High = 3

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal						
	Failure to comply with Employment Law.		Annually	Low	Medium	2
			Responsibility: Deputy Clerk			
23	To ensure that the council fulfils its responsibilities.	<p>Contracts of employment issued to all employees.</p> <p>Annual review of Staff Contracts of Employment undertaken.</p> <p>Clerk has responsibility for maintaining up to date knowledge of new legislation and brining this to the attention to all relevant parties.</p> <p>Professional HR consultant employed to ensure STC comply with all current e mployment law</p> <p>Training arranged as and when required including Clerks CPD.</p>				
Financial						
	Overpayment or underpayment of salaries and expenses.		Monthly	Low	Medium	2
			Responsibility: Responsible Finance Officer			
785	Ensure that all payments to staff are in accordance with employment contracts approved by the council.	<p>Monthly payroll schedule to be verified by the relevant number of parties/staff.</p> <p>Monthly employers payments to be verified by the relevant third party/ies as laid out in policy.</p> <p>Cheques and electronic payments to be signed/verified by the relevant third party/ies as laid out in policy.</p>				

Professional

Attacks on Personnel.

Monthly

Low

Medium

2

Responsibility: Clerk

22 To protect staff.

Ensure that an effective security system is in operation.
Ensure appropriate insurance cover held.
Ensure other workers in building are aware of staff working alone.
Ensure staff have telephone access at all times during their work.
Advise staff to take all relevant safe guides and precautions.
Appropriate insurance is maintained.

Professional

Inability to recruit.

As and when

Low

Medium

2

Responsibility: Clerk

17 To improve recruitment.

Recruitment policy reviewed when the need arises to recruit staff.

Professional

Inability to retain staff.

Annually

Low

Medium

2

Responsibility: Clerk

18

To minimise risk arising from high turnover of staff.

Personal Development Plans conducted on an annual basis and when required.
Complete exit questionnaire.

Professional

Lack of Employee motivation/efficiency.

Annually

Low

High

3

Responsibility: Clerk

21

To meet commitment of council employment policy.

Each employee has job description.
Staff appraisals carried out annually supported by one to ones when required.
Appropriate staff records maintained.
Training provided as and when requested or identified.

Professional

Lack of Training.

Annually

Low

Medium

2

Responsibility: Clerk

20 To meet Council commitment to staff training.

Training provided as and when identified/requested, including CPD.
 Training requirements reviewed as part of the annual appraisal system.
 Advantage taken of any localised training through local associations, SLCC, D
 ALC etc.
 Staff encouraged to network with other Clerks in the area.
 Appropriate training records maintained.

Professional

Loss of key staff.

Quarterly

Low

High

3

Responsibility: Clerk

19 To avoid problems arising from loss of key personnel.

Ensure procedures for key functions documented. Procedural manuals and ne
 cessary training are provided to ensure that all key tasks can be carried out in t
 he event of a sudden loss of a key member of staff.

Completed by:**Date:****Position:**

No of Risks 8

No of risks scored: 8

No of Action Plans: 0

Your Duty = Provision of entertainment and support of the arts

Assessment year: 2021

Act = Local Government Act 1972, s 145

Scoring note:

Low = 1
Medium = 2
and High = 3

Review
timing &
Responsibility

Likelihood
of
occurrence

Impact
on
Council

Your
action
Score required

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal						
	Absence of key staff.		Annually			Responsibility:
198	To ensure that minimum staffing arrangements are in place to meet service need.	Event Management Plan to be devised for all events clearly defining responsibilities, key personnel and their deputies as well as overall management of the event.				

Administration/Legal

Provision of adequate insurance cover.

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

197	To ensure that appropriate insurance cover in place.	Insurance requirements reviewed annually to ensure appropriate cover in place. Ensure that any contractual insurance requirements are met. Examine cover held by service providers.				
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Administration/Legal

Staff training.

Annually

Low

Medium

2

Responsibility: Clerk

199 To ensure that all staff have appropriate training.

Determine Council policy for training for the event and ensure all staff and volunteers receive appropriate training where necessary.
Maintain records of training provided.

Environmental

Noise pollution.

As and when

Low

Medium

2

Responsibility: Clerk

192 To minimise risk/complaint arising from noise pollution at council owned facilities.

Where appropriate set conditions in hire documentation.
Carry out regular site inspections.
Maintain record of any complaints received and instigate prompt action where appropriate.
Liaise with local enforcement agencies.

Environmental

Vandalism.

Annually

Responsibility:

191 To minimise the risk of loss/damage/injury arising from vandalism.

Maintain efficient and effective security.
Maintain liaison with local enforcement agencies.
Take action as appropriate against offenders.

Financial

Box Office controls.

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

195 To minimize the risk of loss by theft/misappropriation.

Determine policy and responsibility for box office security.
Define responsibility cash handling procedures
Ensure appropriate staff training.
Maintain comprehensive records, ticket returns/reconciliation etc.
Arrange periodical checks/internal audit.

Financial

Contractual arrangements with service providers- films, artistes etc.

As and when

Low

Medium

2

Responsibility: Bookings Clerk

- 196 To ensure that proper contractual arrangements are in place. Ensure that a signed contract is in place as pre requisite of service provision. Check/enforce contract conditions in interest of Council.

Financial

Failure to review rents and charges.

Annually

Responsibility:

- 193 To ensure that all charges are subject to annual review. Review all charges annually as an integral part of the budgetary process.

Fire

To safeguard against the risk of fire.

Annually

Low

High

3

Responsibility: Clerk

347 Fire & rescue at events is impractical

Health & Safety testing to be completed including a full risk assessment.
 Ensure appropriate staff training
 Provide for strict security/control of combustible materials held by Council.
 Provide appropriate extinguishers etc.
 Ensure appropriate signage in place.
 Ensure appropriate regulations are followed.
 Ensure appropriate regulations/controls in hire documentation.
 Where possible have Fire & Rescue Service at event.

Physical

Maintenance of buildings.

Annually

Responsibility:

185 To ensure proper maintenance of premises and minimise risk of loss/damage/injury.

Define responsibility for maintenance.
 Carry out regular inspections of all premises.
 Maintain detailed records of all work scheduled/completed.

Physical

Annually

Low

Medium

2

Maintenance of equipment

Responsibility: Clerk

- 187 To ensure proper maintenance of equipment and minimize loss/damage/injury.
- Determine responsibility for use and control.
 - Arrange contract maintenance for specialist equipment.
 - Provide for any necessary staff training.
 - Provide for appropriate protective clothing.
 - Ensure that any necessary licences, certificates for use have been obtained.
 - Ensure that security is sound.
 - Ensure that any disposals are properly dealt with.
 - Maintain proper records.

Physical

Security of buildings.

Annually

Responsibility:

- 186 To maintain security of Council premises.
- Responsibility for security defined.
 - Staff employed or contract with service provider in place.
 - Appropriate staff training complete.
 - Detailed schedules/records maintained.
 - Liaison with local enforcement agencies maintained.

Physical

Security of equipment.

Annually

Low

Medium

2

Responsibility: Clerk

188 To minimise loss through theft/misappropriation.

Define policy for security of premises and equipment.
Determine responsibility for security/control of equipment.
Ensure effective security arrangements in place.
Maintain asset register.

Physical

Security of exhibits.

Annually

Responsibility:

189 To minimise the risk of loss or damage to exhibits.

Determine policy/ responsibility for security of exhibits.
Ensure effective security arrangements in place.
Ensure adequate insurance cover in place.

Physical

Stock control.

Annually

Responsibility:

190 To minimise the risk of loss.

- Determine responsibility for stock.
- Arrange for regular stock checks.
- Reconcile stock to sales/usage.
- Investigate significant differences.
- Maintain comprehensive stock records.

Completed by:

Date:

Position:

No of Risks **15**

No of risks scored: **8**

No of Action Plans: **0**

Your Duty = Duty to ensure responsibility for financial affairs

Assessment year: 2021

Act = s 151 LGA 1972

Scoring note:
 Low = 1
 Medium = 2
 and High = 3

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal					
	Failure to comply with Customs & Excise regulations.	Quarterly	Low	Medium	2
<i>Responsibility: Responsible Finance Officer</i>					
40	Efficient financial administration.	VAT properly administered, with returns being made on a quarterly basis. Refer to guidance from HMRC where necessary. Ensure that all input tax and output tax is properly recorded. Complete and submit VAT claims promptly and on time. All claims reconciled to cashbook.			
Administration/Legal					
	Failure to comply with Inland Revenue regulations.	Quarterly	Low	Medium	2
<i>Responsibility: Responsible Finance Officer</i>					
39	Efficient financial administration.	Maintenance of comprehensive records of all calculations of income tax, national insurance deducted from pay. Ensure that regular returns to Inland Revenue; prepared by the finance officer; checked by the RFO Arrange prompt payment of all sums due.			

Administration/Legal

Failure to maintain record of council assets.

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

- 327 To minimize the risk of loss associated with failure to maintain adequate records.
- Define responsibility for maintenance of asset register.
All acquisitions/disposals are accurately and promptly recorded.
Annual inventory checks carried out.
Asset register reviewed annually as a minimum.

Financial

Failure to ensure proper use of funds under specific powers / S137.

Quarterly

Low

Medium

2

Responsibility: Clerk

- 41 To ensure that expenditure is properly authorised and controlled.
- Council has attained General Power of Competence.
Clerk ensures that all grant applications are complete and fully supported prior to submission to committee/Council.

Financial

Failure to keep proper financial records.

Monthly

Low

Medium

2

Responsibility: Responsible Finance Officer

35

RFO is employed.

Standing Orders and Financial Regulations are in place and reviewed as a minimum annually.

Regular bank reconciliations.

Independent internal auditor appointed. Internal audit reports shared with Clerk, Chair & Deputy of F&GP & then to F&GP committee

Annual Return completed for submission to the External Auditor.

All reports relating to expenditure and receipts are approved by the Council at Finance & General Purposes Committee

Year To Date budget sheets are also presented and approved by Council on a

Financial

Failure to maintain an effective payments system.

Monthly

Low

Medium

2

Responsibility: Responsible Finance Officer

326

To minimize the risk of loss.

Determine responsibility for control of expenditure.

All payments supported by an invoice/voucher.

All details are checked and payment entered into a cash book or equivalent.

All payments are approved by Council and appended to minutes.

All cheques signed by at least two authorised members.

Signatories to endorse cheque counterfoils and check payments against invoices/payment vouchers.

All expenditure is subject to sound budgetary control.

Council has appointed Councillors as random audit checkers to ensure systems are being followed by Council and staff.

Financial

Monthly

Low

Medium

2

Failure to set a precept within sound budgeting arrangements.

Responsibility: Responsible Finance Officer

- 37 To ensure that the budget procedure is both efficient and effective.
- Precept setting has been determined by Council and contained within Financial Regulations, detailing responsibilities and timeframe. These are reviewed annually.
- Precept is set as a result of comprehensive budgeting detailing requirements for forthcoming year.
- All charges made by the Council are reviewed.
- Adequacy of all balances and reserves are reviewed as a minimum annually.
- Effective budget monitoring is in place throughout the year, with year to date budget sheets presented to Council on a monthly or quarterly basis.

Financial

Quarterly

Low

Medium

2

Loss of money through theft/misappropriation.

Responsibility: Responsible Finance Officer

- 38 To ensure that effective financial controls are in place.
- Determine responsibility for cash at all sources.
- Receipts are issued for all income.
- Secure arrangements are in place for all monies held prior to banking.
- Proper arrangements are in place for prompt recording and banking of all cash received.
- Bank reconciliation carried out by Clerk/Assistant Clerk on a weekly basis, with Council receiving a monthly reconciliation.
- Council presented with financial reports on a monthly basis.
- Council holds adequate fidelity guarantee insurance.

Financial

Poor Financial Management

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

- 36 To ensure effective management of financial affairs of council. Responsibility for the management of the financial affairs of the Council has been established and is contained within Financial Regulations. Standing Orders and Financial Regulations reviewed as a minimum on an annual basis. Clerk maintains an effective budgetary control/financial reporting system. Council maintains an effective internal control system and internal audit. Bad debts managed & reported to council via agreed process.

Financial

Risk to third party as a consequence of providing a service

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

- 42 To protect interest of council. Appropriate insurance cover/policy is in force.

Completed by:**Date:****Position:**

No of Risks 10

No of risks scored: 10

No of Action Plans: 0

Your Duty = Duty to comply with the regulations.

Assessment year: 2021

Act = Data Protection Act 2018

Scoring note:

Low = 1
Medium = 2
and High = 3

Review
timing &
Responsibility

Likelihood
of
occurrence

Impact
on
Council

Your
action
Score
required

Risk /
ID Hazard / Requirement

Control

Annually

Low

Medium

2

Administration/Legal

Failure in complying with special protection for children.

Responsibility: Clerk

848 To have procedures and processes in place defining how to deal with special protection of data for children under the age of 13.

There is special protection for the personal data of a child. The age when a child can give their own consent is 13. If the Council requires consent from young people under 13, the Council must obtain a parent or guardian's consent in order to process the personal data lawfully. Consent forms for children aged 13 plus must be written in language that they will understand.

Administration/Legal

Failure in updating job description.

Annually

Low

Medium

2

Responsibility: Clerk

852 To have the relevant officer's job description updated to reflect the role and responsibilities if appointed as the Council's DPO officer.

The Council is the data controller and the relevant employee is the Data Protection Officer (DPO). It is the DPO's duty to undertake an information audit and to manage the information collected by the Council. The DPO must undertake an information audit which details the personal data held, where it came from, the purpose for holding that information and with whom the Council will share that information. This will include information held electronically or as a hard copy. Information held could change from year to year with different activities, and so the information audit should be reviewed at least annually or when conducted ahead of the review of this policy and the reviews should be minuted.

Administration/Legal

Failure to appoint a Data Protection Officer (DPO).

Annually

Low

Medium

2

Responsibility: Clerk

849 To have an appointed Data Protection Officer (DPO) in place to undertake regular information audits and control and manage the information collected by the Council.

The Council is the data controller and the Clerk is the Data Protection Officer (DPO). It is the DPO's duty to undertake an information audit and to manage the information collected by the Council. The DPO must undertake an information audit which details the personal data held, where it came from, the purpose for holding that information and with whom the Council will share that information. This will include information held electronically or as a hard copy. Information held could change from year to year with different activities, so the information audit should be reviewed at least annually or when a change in activity is noticed. All reviews should be minuted.

Administration/Legal

Failure to be registered with the ICO.

Annually

Low

Medium

2

Responsibility: Clerk

850 To be registered with the ICO.

The Data Protection Act 1998 requires every data controller, eg organisation, who is processing personal information to register with the ICO, unless they are exempt.

Administration/Legal

Failure to display of a Privacy notice.

Annually

Low

Medium

2

Responsibility: Clerk

838 To have a fully drafted privacy notice. This to be available for all relevant parties.

Being transparent and providing accessible information to individuals about how the Council uses personal data is a key element of the Data Protection Act 1998 (DPA) and the EU General Data Protection Regulation (GDPR). The most common way to provide this information is in a privacy notice. This is a notice to inform individuals about what a Council does with their personal information. A privacy notice will contain the name and contact details of the data controller and Data Protection Officer, the purpose for which the information is to be used and the length of time for its use. It should be written clearly and should advise the individual that they can, at any time, withdraw their agreement for the use of this information. Issuing of a privacy notice must be detailed on the Information Audit kept by the Council. The Council will adopt a privacy notice to use, although some changes could be needed depending on the situation, for example

Administration/Legal

Failure to have a GDPR document.

Annually

Low

Medium

2

Responsibility: Clerk

855 To have a GDPR document.

The Council/DPO is required to produce a GDPR policy document. This should be reviewed at least annually or when further advice is issued by the ICO.

Administration/Legal

Failure to have a Privacy notice on-line.

Annually

Low

Medium

2

Responsibility: Office manager

839 To have a privacy notice available on line.

Being transparent and providing accessible information to individuals about how the Council uses personal data is a key element of the Data Protection Act 1998 (DPA) and the EU General Data Protection Regulation (GDPR). The most common way to provide this information is in a privacy notice. This is a notice to inform individuals about what a Council does with their personal information. A privacy notice will contain the name and contact details of the data controller and Data Protection Officer, the purpose for which the information is to be used and the length of time for its use. It should be written clearly and should advise the individual that they can, at any time, withdraw their agreement for the use of this information. Issuing of a privacy notice must be detailed on the Information Audit kept by the Council. The Council will adopt a privacy notice to use, although some changes could be needed depending on the situation, for example

Administration/Legal

Failure to have a privacy notice review process.

Annually

Low

Medium

2

Responsibility: Clerk

840 To have privacy notice review policy in place and agreed by the Council.

Being transparent and providing accessible information to individuals about how the Council uses personal data is a key element of the Data Protection Act 1998 (DPA) and the EU General Data Protection Regulation (GDPR). The most common way to provide this information is in a privacy notice. This is a notice to inform individuals about what a Council does with their personal information. A privacy notice will contain the name and contact details of the data controller and Data Protection Officer, the purpose for which the information is to be used and the length of time for its use. It should be written clearly and should advise the individual that they can, at any time, withdraw their agreement for the use of this information. Issuing of a privacy notice must be detailed on the Information Audit kept by the Council. The Council will adopt a privacy notice to use, although some changes could be needed depending on the situation, for example

Administration/Legal

Failure to have an up to date procedures up to date.

Annually

Low

Medium

2

Responsibility: Clerk

843

To have up to date data procedures and processes in place for full GDPR compliance.

Information held and legal requirements could change so the DPO/Council should have up to date data procedures and processes in place. These should be reviewed and updated regularly which will ensure full GDPR compliance.

Administration/Legal

Failure to have consent form available.

Annually

Low

Medium

2

Responsibility: Office manager

842

To have a consent form available on-line and in paper form for access by all relevant parties.

You may need to gather a range of different consents to cover the range of data processing communications that the Council carries out. This should be achieved by the aid of a consent form/s. These forms should be kept to ensure you have evidence that consent has been obtained.

Administration/Legal

Failure to have consent of data owners.

Annually

Low

Medium

2

Responsibility: Clerk

841 To have all relevant consent in place.

You may need to gather a range of different consents to cover the range of data processing communications that the Council carries out. This should be achieved by the aid of a consent form/s. These forms should be kept to ensure you have evidence that consent has been obtained.

Administration/Legal

Failure to have data protection included in the Council's Risk Management Policy.

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

853 To ensure that the council's risk management policy reflects the requirements of the data protection (GDPR) legislation.

To ensure that the Council's risk management policy reflects the requirements of the data protection (GDPR) legislation.

Administration/Legal

Failure to identify what data is held and processed by the council.

Annually

Low

Medium

2

Responsibility: Clerk

- 831 To have a fully completed audit showing checks taken place and listing all data held electronically and non electronically.
- The Council is the data controller and the relevant officer is the Data Protection Officer (DPO). It is the DPO's duty to undertake an information audit and to manage the information collected by the Council. The DPO must undertake an information audit which details the personal data held, where it came from, the purpose for holding that information and with whom the Council will share that information. This will include information held electronically or as a hard copy. Information held could change from year to year with different activities, so the information audit should be reviewed at least annually or when a change in activity is noticed. All reviews should be minuted.

Administration/Legal

Failure to put procedures in place to fix any data breach.

Annually

Low

Medium

2

Responsibility: Clerk

- 847 To have procedures and processes in place defining what to do in case of a data breach, including how to fix this.
- One of the duties assigned to the DPO is the investigation of any breaches. Personal data breaches should be reported to the DPO for investigation. The DPO will conduct this with the support of the Council. Investigations must be undertaken within one month of the report of a breach. Procedures are in place to detect, report and investigate a personal data breach. The ICO will be advised of a breach (within 3 days) where it is likely to result in a risk to the rights and freedoms of individuals - if, for example, it could result in discrimination, damage to reputation, financial loss, loss of confidentiality, or any other significant economic or social disadvantage. Where a breach is likely to result in a high risk to the rights and freedoms of individuals, the DPO will also have to notify those concerned directly.

Administration/Legal

Inability to correct data errors.

Annually

Low

Medium

2

Responsibility: Clerk

845 The ability to correct any data errors and record/log these amendments. Also, to have a process in place to inform the user that data has been amended.

GDPR gives individuals rights with some enhancements to those rights already in place, the right to be informed of the right of access, the right to rectification, the right to erasure, the right to restrict processing, right to data portability, the right to object, the right not to be subject to automated decision-making including profiling. The two enhancements of GDPR are that individuals now have a right to have their personal data erased (sometime known as the 'right to be forgotten') where their personal data is no longer necessary in relation to the purpose for which it was originally collected and data portability must be done free of charge. Data portability refers to the ability to move, copy or transfer data easily between different computers.

Administration/Legal

Inability to delete data.

Annually

Low

Medium

2

Responsibility: Clerk

846 The ability to delete a user's data and record/log this action. Also have a process in place to inform the user that data has been removed/deleted.

If a request is received to delete information, then the DPO must respond to this request within a month. The DPO has the delegated authority from the Council to delete information. If a request is considered to be manifestly unfounded then the request could be refused or a charge may apply. If a charge is applied this should be detailed in the Council's web site. The Council should be informed of such requests.

Administration/Legal

Non availability for owner to view their data.

Annually

Low

Medium

2

Responsibility: Clerk

- 844 The ability to allow the data owner to view their own data held by the Council. GDPR gives individuals rights with some enhancements to those rights already in place, the right to be informed of the right of access, the right to rectification, the right to erasure, the right to restrict processing, right to data portability, the right to object, the right not to be subject to automated decision-making including profiling. The two enhancements of GDPR are that individuals now have a right to have their personal data erased (sometime known as the 'right to be forgotten') where their personal data is no longer necessary in relation to the purpose for which it was originally collected and data portability must be done free of charge. Data portability refers to the ability to move, copy or transfer data easily between different computers.

Administration/Legal

Non compliance of Council members and contractors.

Annually

Low

Medium

2

Responsibility: Clerk

- 856 That all employees, volunteers, councillors and contractors understand how to comply with GDPR regulations. GDPR requires that everyone within the Council must understand the implications of GDPR and that roles and duties must be assigned. All employees, volunteers, councillors and contractors are expected to comply with this policy at all times to protect privacy, confidentiality and the interests of the Council.

Administration/Legal

Non compliance of Council to manage the process.

Annually

Low

Medium

2

Responsibility: Clerk

854 That the Council manage the GDPR process.

The Council is the data controller and the relevant officer is the Data Protection Officer (DPO). It is the DPO's duty to undertake an information audit and to manage the information collected by the Council. The DPO must undertake an information audit which details the personal data held, where it came from, the purpose for holding that information and with whom the Council will share that information. This will include information held electronically or as a hard copy. Information held could change from year to year with different activities, and so the information audit should be reviewed at least annually or when the conducted ahead of the review of this policy and the reviews should be minuted.

Administration/Legal

Non display of this policy on the Councils web site.

Annually

Low

Medium

2

Responsibility: Office manager

851 To have our Privacy notice available on-line for general access/viewing.

Being transparent and providing accessible information to individuals about how the Council uses personal data is a key element of the Data Protection Act 1998 (DPA) and the EU General Data Protection Regulation (GDPR). The most common way to provide this information is in a privacy notice. This is a notice to inform individuals about what a Council does with their personal information. A privacy notice will contain the name and contact details of the data controller and Data Protection Officer, the purpose for which the information is to be used and the length of time for its use. It should be written clearly and should advise the individual that they can, at any time, withdraw their agreement for the use of this information. Issuing of a privacy notice must be detailed on the Information Audit kept by the Council. The Council will adopt a privacy notice to use, although some changes could be needed depending on the situation, for example

Administration/Legal

Non identification of how long the data held.

Annually

Low

Medium

2

Responsibility: Clerk

835 The ability to identify how long the data has been held by the Council and review if holding this data is still required and if not can be deleted.

The Council is the data controller and the relevant officer is the Data Protection Officer (DPO). It is the DPO's duty to undertake an information audit and to manage the information collected by the Council. The DPO must undertake an information audit which details the personal data held, where it came from, the purpose for holding that information and with whom the Council will share that information. This will include information held electronically or as a hard copy. Information held could change from year to year with different activities, and so the information audit should be reviewed at least annually or when the conducted ahead of the review of this policy and the reviews should be minuted.

Administration/Legal

Non identification of security and controls of data held.

Annually

Low

Medium

2

Responsibility: Clerk

837 To record and identify what security and controls are in place to secure the data.

The Council is the data controller and the relevant officer is the Data Protection Officer (DPO). It is the DPO's duty to undertake an information audit and to manage the information collected by the Council. The DPO must undertake an information audit which details the personal data held, where it came from, the purpose for holding that information and with whom the Council will share that information. This will include information held electronically or as a hard copy. Information held could change from year to year with different activities, so the information audit should be reviewed at least annually or when a change in activity is noticed. All reviews should be minuted.

Administration/Legal

Non identification of who holds and can access the data

Annually

Low

Medium

2

Responsibility: Clerk

836 To record and identify all data held and who can access it.

The Council is the data controller and the relevant officer is the Data Protection Officer (DPO). It is the DPO's duty to undertake an information audit and to manage the information collected by the Council. The DPO must undertake an information audit which details the personal data held, where it came from, the purpose for holding that information and with whom the Council will share that information. This will include information held electronically or as a hard copy. Information held could change from year to year with different activities, so the information audit should be reviewed at least annually or when a change in activity is noticed. All reviews should be minuted.

Completed by:**Date:****Position:**No of Risks **23**No of risks scored: **23**No of Action Plans: **0**

Your Duty = Power to accept gifts

Assessment year: 2021

Act = Local Government Act 1972, s 139

Scoring note:
 Low = 1
 Medium = 2
 and High = 3

<i>Risk /</i> ID	<i>Hazard / Requirement</i>	<i>Control</i>	<i>Review timing & Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
	Administration/Legal Failure to notify/record gifts.		Annually	Low	Medium	2
Responsibility: Clerk						
314	To protect interest of council and members.	Ensure that all staff/members are aware of responsibilities. Maintain gift register. Record notification of gifts in minutes				

Completed by:

Date:

Position:

No of Risks 1

No of risks scored: 1

No of Action Plans: 0

Your Duty = Power to participate in schemes of collective investment

Assessment year: 2021

Act = Trustee Investments Act 1961, s 11

Scoring note:
Low = 1
Medium = 2
and High = 3

<i>Risk /</i> ID	<i>Hazard</i> / Requirement	Control	<i>Review timing & Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
Administration/Legal						
	Maintenance of Investment Register		Annually	Low	Medium	2
<i>Responsibility: Responsible Finance Officer</i>						
167	To maintain proper records.	Determine responsibility for maintenance of investment register. Maintain effective internal audit.				
<hr/>						
Financial						
	Failure to review interest rates etc.		Annually	Low	Medium	2
<i>Responsibility: Responsible Finance Officer</i>						
166	To maximize return on investments.	Determine policy and responsibility for investment of Council funds. Carry out regular review to ensure maximum return is achieved. Maintain effective internal audit.				

Financial

Financial Loss i.e. theft

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

164 To minimize risk arising from theft/misappropriation.

Determine policy/responsibility for investment.
 Ensure that investment / transfer / withdrawal of funds are subject to Council approval.
 Ensure that all transactions are subject to counter signatures of clerk/authorised Council members.
 Arrange regular reporting to the Council or relevant committee.

Financial

Inappropriate investment

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

165 To ensure integrity of investment.

Define policy and responsibility for investment of Council funds.
 Record details/approval of all investments in Council minutes.
 Ensure regular report to Council.
 Comply with STC investment policy.
 Policy reviewed annually.

Completed by:**Date:****Position:**

No of Risks 4

No of risks scored: 4

No of Action Plans: 0

Your Duty = Power to acquire by agreement, to appropriate, to dispose of land
Power to accept gifts of land

Assessment year: 2021

Act = Local Government Act 1972 s 124, 126, and 127, Local Government Act 1972 s 139

Scoring note:
Low = 1
Medium = 2
and High = 3

<i>Risk /</i> ID Hazard / Requirement	Control	<i>Review</i> timing & <i>Responsibility</i>	<i>Likelihood</i> of <i>occurrence</i>	<i>Impact</i> on <i>Council</i>	<i>Your</i> action <i>Score required</i>
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Administration/Legal

Maintenance and Security of Deeds of ownership etc.

Annually **Low** **Medium** **2**

Responsibility: Deputy Clerk

162	To ensure security of records.	<p>Determine responsibility for security. Ensure that all deeds and relevant documentation held in fireproof cabinet/safe or otherwise deposited with appropriate third party for safe keeping. Maintain a copy of each deed for administrative purposes. Requirement to register all land by 2025 Where possible paper and electronic copies are also held.</p>
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Administration/Legal

Maintenance of Asset Register

Annually **Low** **Medium** **2**

Responsibility: Responsible Finance Officer

163	To ensure that all assets of the council are properly recorded.	<p>Define responsibility for maintenance of an asset register. Ensure that all purchases/ disposals are accurately and promptly recorded. All assets of the Council are listed on an Assets Register which is updated on an annual basis and cross referenced with the insurance schedule. All items valued at over £100 are included.</p>
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Environmental

Failure to comply within consultation deadline.

Annually

Responsibility:

784 To meet consultation timetable.

Ensure adequate number of Planning and Environment committee meetings are arranged.
Where necessary liaise with the Planning Authority for possible extension.

Environmental

Fly tipping

Annually

Low

Medium

2

Responsibility: OSL manager

158 To minimize risks associated with fly tipping.

Define policy/responsibility for site control/security.
Enforce conditions of tenancy agreement.
All Council owned land is inspected on a regular basis.
Members of the public are encouraged to report any issues they identify.
The Council will address any issues as they arise.
The Council will liaise with the police and/or other authorities where necessary.

Environmental

Maintenance of land including grass cutting

Annually

Low

Medium

2

Responsibility: OSL manager

156	To ensure that council assets are properly maintained.	Define responsibility for maintenance and ensure that a planned programme is in place. Ensure that any service contracts are properly signed and sealed. Maintain adequate records of inspection to ensure that maintenance has been properly carried out and recorded. Work is inspected on a random and regular basis to ensure the contracts are being adequately fulfilled, with action taken to remedy any issues when and where identified.
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Environmental

Vandalism

Annually

Low

Medium

2

Responsibility: OSL manager

157	To minimise the risk of loss/damage/injury arising from vandalism.	Land is inspected on a regular basis. Security is reviewed regularly and local police are consulted as and when required. The Council will instigate legal action against perpetrators where appropriate.
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Financial

Failure to collect income

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

161 To minimize risk of loss.

Maintain records of all rents, tithes etc. due from land holdings.
 Ensure that conditions of contracts are adhered to.
 Clerk responsible for collection of income
 All income due to the Council and received is properly recorded.
 Issue receipts for all income received.
 Follow defined procedure for reminders in respect of unpaid accounts
 Take appropriate recovery action where necessary.
 Write off irrecoverable sums to be subject to Council approval.
 Arrange appropriate internal/external audit testing.

Financial

Failure to review rents and other charges

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

160 To ensure that all rents and charges are subject to review.

All rents and charges are subject to review as part of the budgetary process.
 Contractual conditions for review of land rents etc. are strictly adhered to.

Financial

Inadequate budget provision

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

159 To ensure proper budget provision.

Ensure that all anticipated income/costs are provided for in Budgetary process.

Physical

Maintenance of fences, hedges, gates, footpaths etc.

Annually

Low

Medium

2

Responsibility: OSL manager

152 To ensure proper maintenance of council owned assets.

Define responsibility for maintenance and ensure that a planned programme is in place.

Ensure that any service contracts are properly signed and sealed.

Maintain adequate records of inspection to ensure that maintenance has been properly carried out and recorded.

All works undertaken by contractors are randomly and regularly inspected to ensure that maintenance has been properly carried out, with action taken to remedy any non-compliant issues identified.

Physical

Maintenance of furniture

Monthly

Low

Medium

2

Responsibility: OSL manager

154 To ensure proper maintenance of council assets.

Determine responsibility for maintenance and ensure that a planned programme is in place.

Arrange regular inspection of seats etc and maintain adequate records of inspection. Arrange for prompt repairs to damage.

Ensure that any service contracts are place.

All public furniture owned by the Council are listed on the Assets Register.

Physical

Public/Personal Injury

Annually

Low

Medium

2

Responsibility: Clerk

151 To minimize risk of injury.

Ensure that all staff have appropriate training and adhere to approved working practices.

Ensure that the correct, properly maintained tools/equipment are available as appropriate.

Ensure that all appropriate disclaimer notices, warning signs etc. are in place.

Ensure that any risks to the public are minimised and eliminated wherever possible.

Maintain records of training.

Maintain records of any injuries.

Define responsibility in job descriptions etc.

Ensure that the Council holds adequate insurance cover.

Physical

Security of equipment

Annually

Low

Medium

2

Responsibility: OSL manager

153 To ensure that proper security arrangements are in place. Define policy for security of premises and equipment.
Determine responsibility for security/control of equipment.
Ensure effective security arrangements in place.
Maintain asset register.

Physical

Unauthorised access/trespass

Annually

Low

Medium

2

Responsibility: Clerk

155 To maintain security of council assets. Council has policies in place for access to land.
Appropriate signage is in place.
Council liaises with local police as and when required.
The Council will instigate appropriate action against offenders.

Completed by:**Date:****Position:**

No of Risks 14

No of risks scored: 13

No of Action Plans: 0

Your Duty = Power to provide receptacles. Power to take enforcement action against those that litter.

Assessment year: 2021

Act = Litter Act 1983, s 5 and 6 and Cleaner Neighbourhoods and Environment Act 2005

Scoring note:
Low = 1
Medium = 2
and High = 3

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal					
	Inefficient service provision	Monthly	Low	Medium	2
Responsibility: OSL manager					
7	To employ trained/experienced personnel.				
	Ensure that staff & volunteers have appropriate training. Ensure that staff & volunteers are aware of all health & safety issues All staff have a written contract of employment. Protective clothing and personal safety equipment issued to all operational staff & volunteers				
<hr/>					
Environmental					
	Inappropriate location of litter bins	Annually	Low	Medium	2
Responsibility: OSL manager					
3	To determine location for best use.				
	Define Council policy and plan for location of bins. Carry out periodical review.				

Environmental

Unauthorised Fly posting/nuisance.

Annually

Low

Medium

2

Responsibility: OSL manager

5

Define policy on fly posting
 Maintain liaison with enforcement agencies.
 Take action as appropriate against offenders.

Environmental

Vandalism/theft/damage

Annually

Low

Medium

2

Responsibility: OSL manager

4

To minimise the risk of loss/damage/injury arising from vandalism.

Review security and monitor all areas on a regular basis.
 Maintain liaison with local enforcement agencies.
 Define a policy for dealing with anti-social behaviour.
 Instigate legal action against perpetrators where appropriate.

Financial

Inadequate budget provision

Annually

Responsibility:

339 To ensure adequate funding.

Ensure that service requirements are included in budgetary process.

Financial

Inadequate insurance cover

Annually

Responsibility:

6 To ensure that the council has proper insurance protection.

Ensure that Council has determined policy for insurance cover and that appropriate cover is in place.
Arrange periodical review.

Physical

Failure to empty

Monthly

Low

Medium

2

Responsibility: OSL manager

2 To maintain high standard of service provision.

Define responsibility for clearing bins.
Implement effective programme.
Ensure appropriate plans in place for emergency/overflow situation.

Completed by:

Date:

Position:

No of Risks 7

No of risks scored: 5

No of Action Plans: 0

Your Duty = Power to establish or acquire by agreement markets within their area and provide a market place and market buildings.

Assessment year: 2021

Act = Food Act 1984, s50

Scoring note:
Low = 1
Medium = 2
and High = 3

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
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Administration/Legal

Agreements with stall holders.

Annually **Low** **Medium** 2

Responsibility: Markets/ OSL Clerk

146	To ensure proper administration of market.	Ensure that a signed agreement is in place as a pre-requisite to market stall occupation. Make appropriate arrangements in respect of casual users. Maintain a register of stall holders.			
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Administration/Legal

Contracts with Service providers ie Waste disposal

Annually **Low** **Medium** 2

Responsibility: Markets/ OSL Clerk

1	To ensure that proper arrangements are in place.	Ensure that all signed contracts are in place. Check that insurance requirements etc are being met. Enforce conditions of contract.			
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Administration/Legal

Inadequate insurance cover

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

- 147 To ensure that appropriate insurance cover is in place .
- Define Council policy for insurance.
 - Ensure that appropriate cover is held for all statutory and other risks.
 - Arrange periodical review.

Environmental

Inadequate cleaning of market premises.

Monthly

Low

Medium

2

Responsibility: Markets/ OSL Clerk

- 141 To maintain high standard of service provision.
- Determine responsibility for cleanliness/hygiene of premises.
 - Maintain a maintenance log/cleaning regime.
 - Enforce conditions for stall holders.
 - Arrange for periodical check.
 - Ensure all food suppliers registered with Environmental health

Environmental

Rubbish accumulation

Weekly

Low

Medium

2

Responsibility: OSL manager

- 142 To maintain high standard of cleanliness and minimise risk. Define responsibility for cleanliness/hygiene of premises. Maintain a maintenance log/cleaning regime. Arrange for periodical check.

Environmental

Vandalism

Annually

Low

Medium

2

Responsibility: OSL manager

- 143 To minimise the risk of loss/damage/injury arising from vandalism. To minimise the impact on service provision. Maintain efficient and effective security. Maintain liaison with local enforcement agencies. Take action as appropriate against offenders.

Financial

Failure to collect income

Annually

Medium

Medium

4

Yes

Responsibility: Responsible Finance Officer

Action by: Responsible Finance Officer

Action by date: 25/06/2021

Action plan: Ensure income is collected in advance for new stall holders

145 To maximize income and minimize the risk of loss.

Determine responsibility for collection of income.
 Ensure that all income due to the Council and received is properly recorded.
 Issue receipts for all income received.
 Arrange for prompt banking of receipts.
 Ensure procedures are in place for issue of reminders for unpaid accounts. Follow defined procedure for reminders.
 Take appropriate recovery action where necessary.
 Arrange appropriate internal audit testing.
 Council approval required for write-off on any bad debts.

Financial

Failure to review charges

Annually

Medium

Medium

4

Yes

Responsibility: Responsible Finance Officer

Action by: Responsible Finance Officer

Action by date: 01/09/2021

Action plan: Ensure Market charges are added to annual review of council charges

144 To ensure that all charges are reviewed annually.

Ensure that all charges are reviewed as an integral part of the budgetary process.

Financial

Inadequate budget provision

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

340 To ensure proper financial provision.

Ensure that service income/expenditure is detailed in budgetary process.

Physical

Encroachment by stallholders

Monthly

Low

Low

1

Responsibility: Markets/ OSL Clerk

139 To control market stall size.

Ensure that the size of market stalls is defined in rental agreement/register.
 Carry out regular inspections to ensure that actual size does not exceed that approved.
 Define Council policy and apply additional charges/take action against offenders where applicable.

Physical

Fire

Monthly

Low

High

3

Responsibility: Clerk

352 To safeguard against fire risk.

- Ensure Health/Safety testing complete.
- Ensure appropriate staff training
- Provide for strict security/control of combustible materials held by Council.
- Provide appropriate extinguishers etc.
- Ensure appropriate signage in place.
- Ensure appropriate regulations/controls in hire documentation.

Physical

Maintenance of equipment

Monthly

Low

Medium

2

Responsibility: Markets/ OSL Clerk

136 To ensure proper maintenance of equipment and minimize loss/damage/injury.

- Define responsibility for equipment maintenance and ensure any necessary training is complete.
- Ensure that where appropriate proper maintenance contracts are in place.
- Ensure that all equipment is properly maintained through regular inspection/servicing.

Physical

Maintenance of market

Quarterly

Low

Medium

2

Responsibility: Markets/ OSL Clerk

- 134 To ensure proper maintenance of property and minimize loss/damage/injury. Determine responsibility for maintenance.
Carry out regular inspections of all premises.
Maintain detailed records of all work scheduled/completed.

Physical

Occupation of Unauthorised stalls

Daily

Low

Low

1

Responsibility: Markets/ OSL Clerk

- 138 To control market stall occupation and maximize income. Maintain register of approved stall holders.
Carry out regular inspection of market sites.
Instigate action against offenders.

Physical

Public/Personal Injury

Daily

Low

High

3

Responsibility: Clerk

137 To minimize the risk of injury.

Define responsibility for all areas of the market operation.
Ensure that appropriate regulations/controls are in place to minimise the risk of injury to all market users.
Arrange regular site inspection to ensure that defined standards are being maintained.

Take action where necessary against offenders.

Physical

Security of equipment

Annually

Low

Medium

2

Responsibility: Clerk

135 To minimize the risk of loss through theft/misappropriation.

Define policy for security of premises and equipment.
Define responsibility for security/control of equipment.
Maintain asset register.

Completed by:

Date:

Position:

No of Risks 16

No of risks scored: 16

No of Action Plans: 2

Your Duty = Duty to meet

Assessment year: 2021

Act = s 12 Local Government Act 1972

Scoring note:
 Low = 1
 Medium = 2
 and High = 3

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal					
Failure to comply with new Regulations /Legislation					
33	All Meetings open to everyone.	Clerk to keep up to date with changing regulations/legislation and undertake training as required. Council to ensure membership of appropriate local/national associations is maintained. Council to continue to subscribe to appropriate publications. Encourage staff networking. Clerk to undertake CPD and training as and when required/appropriate. Poster is displaying regarding the recording of meetings.	Monthly	Low	Medium 2
Responsibility: Clerk					
Administration/Legal					
Failure to meet statutory duty on meetings					
31	All Meetings open to everyone.	All notices are posted in the prescribed places 3 clear days prior to any meeting. All Councillors are notified of Meetings by way of a summons and agenda. Minutes of all meetings are taken and kept. Attendance records are maintained. All meetings comply with LGA 1972. Town Clerk & Assistant Clerk are CiLCA qualified.	Monthly	Low	Medium 2
Responsibility: Clerk					

Administration/Legal

Failure to report Council business in Minutes

Quarterly

Low

Medium

2

Responsibility: Office manager

- 32 Proper recording of council minutes. Ensure proper, timely and accurate recording of Council business in the minutes.
 Minutes drafted within 7 days of meeting taking place.
 All minutes comply with the requirements of LGA 1972.
 Resolutions clearly identifiable. Accurate minute numbering, signed and paginated.
 Maintain security of master copy.

Administration/Legal

Failure to respond to the elector's wish to exercise its rights

Annually

Low

Medium

2

Responsibility: Clerk

- 34 All Meetings open to everyone. Ensure members and staff are aware of Electors' Rights.
 Ensure that time is set aside prior to the start of each meeting for members questions and comments.
 Follow procedures for dealing with enquiries.
 Increase awareness of accessibility of the Council to the public.

Completed by:**Date:****Position:**

No of Risks 4

No of risks scored: 4

No of Action Plans: 0

Your Duty = Power to provide information relating to matters affecting local government

Assessment year: 2021

Act = Local Government Act 1972, s 142

Scoring note:
 Low = 1
 Medium = 2
 and High = 3

<i>Risk /</i> ID	<i>Hazard / Requirement</i>	<i>Control</i>	<i>Review timing & Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
Administration/Legal						
	Defamation		As and when	Low	Medium	2
<i>Responsibility: Clerk</i>						
130	To minimize associated risk.	All input is subject to careful check by Lead Councillor and Officers before going to print. Arrange for professional examination of any sensitive material. Ensure that adequate insurance cover is held.				
Administration/Legal						
	Failure to meet minimum requirement for quality status		Quarterly	Low	Medium	2
<i>Responsibility: Clerk</i>						
132	To meet required standard.	Arrange testing/ assessment of input to ensure that requirement is met.				

Administration/Legal

Failure to meet statutory obligation re non - political content

As and when

Low

Medium

2

Responsibility: Clerk

131 To meet required standard.

Ensure that content of newsletter is carefully tested to ensure that statutory requirement is met.

Environmental

Failure to deliver and litter

Quarterly

Low

Medium

2

Responsibility: Clerk

128 To minimise litter arising from newsletter distribution.

Test distribution arrangements.
Take appropriate action against offenders.

Financial

Failure to collect income from advertising etc

Annually

N/A

0

Responsibility:

129 To maximise income and minimize loss.

Determine responsibility for collection of income.
 Ensure that all income due to the Council and received is properly recorded.
 Ensure receipts are issued for all income received.
 Arrange for prompt banking of all income.
 Ensure procedures are in place for issue of reminders for unpaid income.
 Follow defined procedure for reminders.
 Ensure Council approval for write-off on any bad debts.
 Ensure audit testing procedures are in place.

Financial

Inadequate budget provision

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

341 To ensure review of service requirement.

Ensure that service requirements are included in budgetary process.

Physical

Non production of newsletter

Quarterly

Low

Low

1

Responsibility: Clerk

127

Clerk responsible for ensuring all publication deadlines are met.
Contracts with printers are agreed.
Monitor performance to ensure that contract conditions/obligations are met.
Enforce contract conditions.

Completed by:

Date:

Position:

No of Risks 7

No of risks scored: 7

No of Action Plans: 0

Your Duty = Power to acquire land and maintain

Assessment year: 2021

Act = Public Health Act 1875, s 164 and Open Spaces Act 1906 s 9 and 10

Scoring note:

Low = 1
Medium = 2
and High = 3

Review
timing &
Responsibility

Likelihood
of
occurrence

Impact
on
Council

Your
action
Score
required

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal						
	Absence of agreements with users, permits etc		Annually	Low	Medium	2
Responsibility: OSL manager						
126	To facilitate control of facilities.	Ensure that signed contracts/agreements/permits are in place where necessary. Maintain a register of users. Maintain register of leases, licences & renewal dates - Finance Officer				

Administration/Legal

Unauthorised encampments

Annually

Low

Medium

2

Responsibility: OSL manager

1137	To protect against unauthorised encampments & ensure that any are dealt with promptly	Barriers maintained at vulnerable sites. Procedure in place for dealing with any unauthorised encampments that do occur.				
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Environmental

Fly tipping

Weekly

Low

Medium

2

Responsibility: OSL manager

- 121 To minimise the impact of fly tipping and associated health/safety risk.
- Carry out regular site inspections.
Arrange for safe disposal facility.
Ensure any hazardous substances are properly dealt with.
Maintain liaison with local enforcement agencies.
Enforce regulations/bye-laws as appropriate.

Environmental

Pollution

As and when

Low

Medium

2

Responsibility: OSL manager

- 122 To minimize risk/complaint arising from pollution at council owned facilities.
- Carry out regular site inspections.
Record all complaints received and ensure that they are investigated and prompt action taken where appropriate.
Liaise with local enforcement agencies.

Environmental

Vandalism

Monthly

Low

Medium

2

Responsibility: OSL manager

- 368 To minimise the risk of loss/damage/injury arising from vandalism.
To minimise risk arising from anti-social behaviour.
- Take reasonable action to maintain security of sites.
Arrange for regular site visits.
Maintain liaison with local enforcement agencies.
Define policy for dealing with offenders.

Financial

Failure to collect all income due to the council

Monthly

Low

Medium

2

Responsibility: Responsible Finance Officer

- 124 To maximise income and minimize risk of loss.
- Clerk is responsible for collecting income.
Ensure that all income due to the Council and received is properly recorded.
Issue receipts for all income received.
Arrange prompt banking of all income.
Follow defined procedure for reminders in respect of unpaid accounts.
Take appropriate recovery action where necessary.
Maintain appropriate internal control and internal audit testing.

Financial

Failure to review charges

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

123 To ensure that all charges are reviewed annually.

Ensure that all charges are reviewed as an integral part of the budgetary process.

Financial

Inadequate budget provision

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

125 To ensure proper financial provision.

Ensure that service income/expenditure is detailed in budgetary process.

Physical

Failure to provide adequate staff training in the use of dangerous machinery and the handling of dangerous substances.

Quarterly

Low

Medium

2

Responsibility: OSL manager

779 To ensure that all staff have appropriate training.

- Determine Council policy for training.
- Ensure that all staff receive appropriate training where necessary.
- Ensure that any necessary licences, certificates for use have been obtained.
- Maintain records of training provided.

Physical

Injury to public or employees as a result of defective vehicles or machinery.

Quarterly

Low

Medium

2

Responsibility: OSL manager

780 To ensure that any conditions that might lead to personal injury are minimised and properly controlled.

- Ensure that all staff have appropriate training and adhere to approved working practices.
- Ensure that the correct, properly maintained equipment is available as appropriate.
- Ensure that any risks to the public are minimised and eliminated wherever possible.

Physical

Personal injury.

Annually

Low

Medium

2

Responsibility: OSL manager

- 117 To minimize the risk of personal injury to persons using council facilities.
- Ensure that appropriate regulations/controls are in place to minimise the risk of injury to all facility users.
 Arrange regular site inspection to ensure that defined standards are being maintained.
 Ensure that, where necessary, appropriate signage is in place and detailed records maintained.
 Ensure that appropriate insurance cover is in place.

Physical

Property Maintenance

Annually

Low

Medium

2

Responsibility: OSL manager

- 118 Top ensure that all council assets are properly maintained.
- Ensure that appropriate regulations/controls are in place to minimise the risk of injury to all facility users.
 Arrange regular site inspection to ensure that defined standards are being maintained.
 Ensure that, where necessary, appropriate signage is in place.
 Maintain detailed records.
 Ensure appropriate insurance cover is in place.

Physical

Protection of manual workers from health risks associated with the land.

Quarterly

Low

High

3

Responsibility: OSL manager

781 To minimise health and safety risks .

- Define standards required.
- Provide for any necessary training.
- Provide for appropriate protective clothing.
- Ensure any hazardous material is properly dealt with.
- Ensure that all workers have any necessary licences, certificates for use have been obtained.
- Ensure that all relevant regulations are adhered to and understood by all relevant parties.

Completed by:

Date:

Position:

No of Risks 13

No of risks scored: 13

No of Action Plans: 0

Your Duty = Rights of consultation

Assessment year: 2021

Act = Localism Act 2011, s9. Town and Country Planing Act 1990, ss 61E-61Q, s 4B, Planning and Compulsory Purchase Act 2004, s 38A

Scoring note:
Low = 1
Medium = 2
and High = 3

<i>Risk /</i>	<i>Hazard / Requirement</i>	<i>Control</i>	<i>Review timing & Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
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Environmental

Failure to comply within consultation deadline

Annually	Low	Medium	2
Responsibility: Planning Clerk			

54	To meet consultation timetable.	<p>Planning applications are considered at Planning committee meetings fortnightly.</p> <p>During Summer and Christmas recess adequate delegated arrangements are made to ensure timely consideration and responses are provided.</p> <p>There is a Chairman, Ward Cllr, and Town Clerk delegated arrangement when necessary.</p> <p>Responses to planning applications are e-mailed to the Planning Authority the day after the Council meeting.</p> <p>Where necessary liaison with the Planning Authority for an extension is made.</p>
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Completed by:	Date:	Position:	No of Risks 1	No of risks scored: 1	No of Action Plans: 0
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Your Duty = Power to provide

Assessment year: 2021

Act = s 19 Local Government(Misc Provisions) Act 1976

Scoring note:
 Low = 1
 Medium = 2
 and High = 3

<i>Risk / ID</i>	<i>Hazard / Requirement</i>	<i>Control</i>	<i>Review timing & Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
Administration/Legal						
	Inadequate maintenance of records		Annually	Low	Medium	2
<i>Responsibility: OSL manager</i>						

324 To maintain a register of complaints/injuries and action taken. To ensure that proper records of all complaints/injuries are maintained.

Financial						
	Inadequate budget provision		Annually	Low	Medium	2
<i>Responsibility: Responsible Finance Officer</i>						

344 To ensure proper financial provision. Ensure that service requirements are detailed in annual budget process.

Financial

Inadequate insurance cover

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

323 To ensure that council has adequate insurance. To include all relevant risks on the Council's insurance policy.

Physical

Personal Injury

Daily

Low

Medium

2

Responsibility: OSL manager

322 To ensure play surfaces & equipment are in a safe condition. Define responsibility for regular inspection of play areas. Define responsibility for and ensure regular inspection of play equipment & play surfaces. Arrange periodical inspection and report by suitably qualified RoSPA inspector.

All high and medium risks identified in the RoSPA report are actioned and removed. Low risk items are also removed unless the level of expenditure involved is considered too high for the level of the risk identified. Inspection timetable is adhered to for all levels of inspection. Records kept of all inspections/maintenance.

Completed by:**Date:****Position:**

No of Risks 4

No of risks scored: 4

No of Action Plans: 0

Your Duty = Power to provide

Assessment year: 2021

Act = s 133 Local Government Act 1972

Scoring note:
Low = 1
Medium = 2
and High = 3

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Financial						
	Inadequate budget provision		Annually	Low	Medium	2
			Responsibility: Responsible Finance Officer			
345	To ensure proper financial provision.	Ensure requirements included in annual budget process.				

Physical						
	Fire		Annually	Low	High	3
			Responsibility: Clerk			
353	To safeguard against fire risk.	Staff receive health and safety training. Strict security/control of combustible materials held by Council. Fire extinguishers are tested/checked on a regular basis. Fire alarm tested weekly. Fire drills held on a regular basis Separate Risk Assessment for office work and visitors to the office completed by the Clerk. Ensure appropriate regulations/controls in hire documentation.				

Physical

Legionella bacteria in water supply

As and when

Low

High

3

Responsibility: Clerk

399 Risk Assessment required every two years, if applicable

Only toilet, handwashing facilities and kitchen sinks are provided in buildings belonging to the Council. Greater risk from Legionella bacteria could occur in showering facilities.

Physical

Poor Office Conditions

Quarterly

Low

Low

1

Responsibility: Clerk

24 All office accommodation to be of a good standard

Periodical inspection of office conducted by Clerk.
Report any adverse conditions to Council/committee/landlord as appropriate
Arrange repair/maintenance etc. in accordance with tenancy agreement.
Inspected annually by H&S consultant.

Physical

Poor/Faulty Office Furniture

Monthly

Low

Medium

2

Responsibility: Clerk

25 To maintain approved standards for office furniture and fittings. Arrange periodical inspection of office furniture and fittings. Where appropriate submit report to Council/committee for approval to repair/re place.

Technical

Defective Electrical Equipment/Machinery

Monthly

Low

Medium

2

Responsibility: Clerk

26 Ensure maintenance agreement/contract in place where appropriate. Allocate responsibility for local repair/maintenance. Restrict access to qualified personnel only. Arrange regular inspection to ensure that any statutory obligations are met. Maintain appropriate records.

Completed by:

Date:

Position:

No of Risks 6

No of risks scored: 6

No of Action Plans: 0

Your Duty = Power to provide 'free resource'

Assessment year: 2021

Act = s 137 Local Government Act 1972

Scoring note:

Low = 1
Medium = 2
and High = 3

<i>Risk /</i> <i>ID</i>	<i>Hazard</i>	<i>/ Requirement</i>	<i>Control</i>	<i>Review</i> <i>timing &</i> <i>Responsibility</i>	<i>Likelihood</i> <i>of</i> <i>occurrence</i>	<i>Impact</i> <i>on</i> <i>Council</i>	<i>Your</i> <i>action</i> <i>Score</i> <i>required</i>
Financial							
	Inadequate budget provision			Annually	Low	Medium	2
	Responsibility: Responsible Finance Officer						
346	To ensure proper financial provision		Ensure service requirement is included in annual budgetary process.				

Technical							
	Failure of Website/Internet Providers			Weekly	Low	High	3
	Responsibility: Clerk						
28	To maintain high standard of service provision.		Ensure a backup copy of data is maintained. Liaise with provider to ensure early reinstatement of service.				

Completed by:

Date:

Position:

No of Risks 2

No of risks scored: 2

No of Action Plans: 0

Your Duty = Power to provide buildings for offices and for public meetings and assemblies

Assessment year: 2021

Act = Local Government Act 1972 s 133

Scoring note:
 Low = 1
 Medium = 2
 and High = 3

<i>Risk /</i> ID	<i>Hazard / Requirement</i>	<i>Control</i>	<i>Review timing & Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
Administration/Legal						
112	Absence of service level agreements	Ensure that all service level agreements are fully completed and operational. Monitor performance to ensure conditions met. Review conditions periodically.	Annually <i>Responsibility: Clerk</i>	Low	Medium	2
Administration/Legal						
114	To provide effective control of facility bookings etc.	Determine responsibility for dealing with user applications. Completed agreement to be a pre-requisite of facility hire. Arrange periodical review of conditions of use etc.	Annually <i>Responsibility: Bookings Clerk</i>	Low	Medium	2

Administration/Legal

Failure to obtain necessary licences.

Annually

Low

Medium

2

Responsibility: Clerk

113

To meet all statutory requirements for service provision.

Determine responsibility for obtaining licences.
Maintain adequate records of licence application, renewal etc.
Ensure premises licence is in place.

Administration/Legal

Inadequate representation on management committee

Annually

Responsibility:

116

To ensure proper council representation.

Arrange appointment of Council representatives as set out in management agreement.
Arrange periodical report on Council agenda.

Administration/Legal

Maintenance of diary of events etc

Quarterly

Low

Medium

2

Responsibility: Bookings Clerk

- 115 To provide effective control of facility bookings etc. Determine responsibility for maintenance of events diary.
Ensure that a completed booking/application lettings agreement is a prerequisite to facility hire.
All applications to be cross referenced to account/receipt number and filed.

Environmental

Noise etc pollution

Annually

Low

Medium

2

Responsibility: Clerk

- 108 To minimize risk/complaint arising from noise pollution at council owned facilities. Where appropriate set conditions in hire documentation.
Carry out regular site inspections.
Maintain record of any complaints received and instigate prompt action where appropriate.
Liaise with local enforcement agencies.

Financial

Failure to collect income.

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

111 To collect and bank all income due.

Determine responsibility for collection of income.
 Ensure that all income due to the Council and received is properly recorded.
 Ensure receipts are issued for all income received.
 Arrange for prompt banking of all income.
 Ensure procedures are in place for issue of reminders for unpaid accounts.
 Follow defined procedure for reminders.
 Ensure Council approval for write-off on any bad debts.
 Ensure audit testing procedures are in place.

Financial

Failure to set/review charges.

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

110 To ensure annual review of all charges.

Ensure that all charges are reviewed annually as an integral part of the budget
 ary process.

Financial

Inadequate budget provision

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

109 To provide for budgetary review of service.

Ensure that service/facility requirements are detailed in Budget process and reviewed annually.

Physical

Fire

Quarterly

Low

High

3

Responsibility: Clerk

103 To safeguard against fire risk.

Ensure Health/Safety testing complete.
 Ensure appropriate staff training.
 Ensure a strict 'no smoking' and 'no naked flame' policy operates throughout all Council buildings.
 Provide for strict control of combustible materials held by the Council.
 Provide appropriate extinguishers etc.
 Fire alarm and emergency lighting system in place.
 Ensure appropriate signage in place.
 Ensure that a Fire risk assessment is reviewed annually.
 Ensure that the appropriate regulations/controls included in hire documentation

Physical

Hazardous substances

Annually

Low

Medium

2

Responsibility: Clerk

- 106 To minimise risk associated with the use of hazardous substances.
- Define responsibility for use and control.
 - Provide for any necessary training.
 - Provide for appropriate protective clothing.
 - Ensure that any necessary licences, certificates for use have been obtained.
 - Ensure that security is sound.
 - Ensure that COSHH regulations adhered to regarding the storage of cleaning substances.

Physical

Maintenance of buildings

Annually

Low

Medium

2

Responsibility: Clerk

- 102 To ensure proper maintenance of premises and minimize risk of loss/damage/injury.
- Define responsibility for maintenance.
 - Carry out regular inspections of all buildings.
 - Ensure that where appropriate proper contractual arrangements are in place.
 - Arrange staff training where required.
 - Detailed records kept of all work scheduled/completed.
 - That each building is individual risk assessed.
 - That the risk assessments are reviewed annually.

Physical

Security of premises and contents

Annually

Low

Medium

2

Responsibility: Clerk

101 To safeguard council assets.

Define policy for security of premises and equipment.
Maintain asset register and photographs of all items of any value together with a digital back up copy.
Allocate responsibility for security/control of equipment.
All offices/premises are locked outside working hours.
Letting agreements are in place with a condition to secure building on departure.

Physical

Stock control

As and when

N/A

0

Responsibility: Clerk

107 To minimize the risk of loss.

Define responsibility for stock.
Arrange for regular stock checks.
Reconcile stock to sales/usage.
Investigate significant differences.
Maintain comprehensive stock records.

Physical

Theft

Annually

Low

Medium

2

Responsibility: Clerk

104 To minimize the risk of loss through theft/misappropriation.

Determine responsibility for security.
 Ensure that security of all plant, equipment and premises is recognised as a priority.
 Provide for required staff training
 Maintain register of assets.
 Maintain liaison with local enforcement agencies.

Physical

Vandalism.

Annually

Low

Medium

2

Responsibility: Clerk

105 To minimise the risk of loss/damage/injury arising from vandalism.

Maintain efficient and effective security.
 Maintain liaison with local enforcement agencies.
 Take action as appropriate against offenders.

Completed by:**Date:****Position:**

No of Risks 16

No of risks scored: 15

No of Action Plans: 0

Your Duty = Power to provide

Assessment year: 2021

Act = Public Health Act 1936 s 87

Scoring note:
Low = 1
Medium = 2
and High = 3

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal						
	Contracts with service providers		Annually	Low	Medium	2
99	To ensure proper administrative arrangements.	Ensure that all contracts are signed and sealed. Monitor performance to ensure that contract conditions/obligations are met. Where appropriate examine contractor insurance documentation. Review conditions periodically.	Responsibility: Clerk			
Administration/Legal						
	Disability & Discrimination Act		Annually	Low	High	3
100	To meet statutory obligations for service provision.	Ensure that all conditions of the Act as they affect service provision are met. Allocate responsibility to ensure that standards/ongoing requirements are met. Carry out periodical review of service.	Responsibility: Clerk			

Administration/Legal

Service level agreement with principal authority

Annually

Responsibility:

98

Ensure that all service level agreements are fully completed and operational.
Monitor performance to ensure conditions met.
Review conditions periodically.

Environmental

Pollution

Daily

Low

Medium

2

Responsibility: OSL manager

93

To minimize risks arising from pollution.

Determine responsibility for control.
Ensure that all equipment is properly maintained and operating correctly.
Ensure that all drains etc. are properly maintained and fully functional.
Carry out appropriate tests and maintain records.
Have arrangements in place as necessary with local contractor.

Environmental

Vandalism.

Annually

Low

Medium

2

Responsibility: OSL manager

94

To minimise the risk of loss/damage/injury arising from vandalism.

Maintain efficient and effective security.
 Maintain liaison with local enforcement agencies.
 Take action as appropriate against offenders.
 Ensure appropriate insurance cover is in place.

Financial

Failure to achieve desired standard of cleaning/hygiene

Daily

N/A

0

Responsibility:

95

To maintain high standard of hygiene/cleanliness.

Define responsibility for cleanliness/hygiene of premises.
 Provide appropriate staff training.
 Maintain a maintenance log/cleaning regime.
 Arrange for periodical checks.

Financial

Failure to collect all income.

Annually

N/A

0

Responsibility:

96 To minimize the risk of loss.

Define responsibility for collection of income
 Ensure that all income due to the Council and received is properly recorded.
 Arrange prompt banking.
 Arrange appropriate internal audit testing.

Financial

Inadequate budget provision

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

97 To ensure proper financial provision.

Ensure that service requirements are included in annual budget process.

Physical

Hazardous substances control

Annually

Low

Medium

2

Responsibility: Clerk

91 To minimize associated risks.

Determine responsibility for use and control.
Ensure that staff are adequately trained in the provision of hazardous substances.
Provide for appropriate protective clothing.
Ensure that any necessary licences, certificates for use have been obtained.
Ensure that any hazardous substances are securely held.

Physical

Legionella - Legionnaires disease

As and when

Low

Medium

2

Responsibility: Clerk

398 To control Legionella bacteria in the water systems.

The public toilet hand wash and any other elements containing water are serviced regularly under a maintenance contract.
NB: If there are no showering facilities the risk of Legionella bacteria is very low.

Physical

Maintenance

Annually

Low

Medium

2

Responsibility: OSL manager

90

To ensure proper maintenance of premises and minimize risk of loss/damage/injury.

Define responsibility for maintenance.
 Ensure contractual arrangements in place for renewal/repair
 Carry out regular inspections of all premises.
 Maintain detailed records of all work scheduled/completed.

Physical

Security

Annually

Low

Medium

2

Responsibility: OSL manager

89

To safeguard council property.

Define policy and provide for security of premises and equipment. Allocate responsibility for security/control.
 Maintain asset register.

Physical

Water supply

Daily

Low

Medium

2

Responsibility: Clerk

92

To maintain adequate water supply and minimise any loss/damage arising.

Define responsibility.
Ensure that system is in place to check, report and rectify all faults.
Maintain such arrangements as necessary with local contractor.

Completed by:

Date:

Position:

No of Risks 13

No of risks scored: 12

No of Action Plans: 0

Your Duty = Power to provide

Assessment year: 2021

Act = s 4 Local Government (Miscellaneous Provisions) Act 1953

Scoring note:
Low = 1
Medium = 2
and High = 3

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal					
Provision of inadequate standard of seating.					
372	To minimise risk arising from provision.	Determine Council policy for acceptance/provision of seating. Including where appropriate guidance on nominated/preferred suppliers. All prospective donors are provided with a copy of the policy. Carry out inspection of all seating prior to acceptance. Arrange secure installation.	Annually	Low	Low 1
Responsibility: Clerk					
Environmental					
Vandalism					
370	To minimise the risk of loss/damage/injury arising from vandalism. To minimise risk arising from anti-social behaviour.	Maintain liaison with enforcement agencies. The Council should instigate legal action against perpetrators where appropriate.	Annually	Low	Medium 2
Responsibility: OSL manager					

Physical

Fire

Annually

Low

High

3

Responsibility: Clerk

351 To safeguard against fire risk.

- Ensure Health/Safety testing complete.
- Ensure appropriate staff training.
- Provide for strict security/control of combustible materials held by Council.
- Provide appropriate extinguishers etc.
- Ensure appropriate signage in place.
- Ensure appropriate regulations/controls adhered to.

Physical

Injury or damage arising from use.

Annually

Low

Medium

2

Responsibility: OSL manager

362 To minimise risk arising from use.

- Carry out regular inspection of public seating & maintain records.
- Have necessary arrangements in place for repair/renewal.
- Ensure that appropriate insurance cover is held.

Technical

Inadequate maintenance of shelters & seats

Annually

Low

Medium

2

Responsibility: OSL manager

371 To minimise risk arising.

Arrange regular inspection and cleaning.
 Arrange repairs and maintenance as per programme or as required.
 Have arrangement in place to remove/replace dangerous equipment.
 Maintain records of repair and maintenance.
 Maintain and update the Assets Register.

Technical

Provision of inadequate public seating

Annually

Low

Medium

2

Responsibility: Clerk

361 To ensure that standards as determined by council are met.

Ensure that all applicants wishing to provide public seating are provided with a copy of the Council policy.
 Inspect all seats prior to acceptance to ensure required standards are met.

Completed by:**Date:****Position:**

No of Risks 6

No of risks scored: 6

No of Action Plans: 0

Your Duty = Power to provide

Assessment year: 2021

Act = s 19 Local Government (Misc Provisions) Act 1976

Scoring note:
Low = 1
Medium = 2
and High = 3

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Environmental					
Inadequate Safety Signage					
367	To minimise risk.		Monthly	Low	Medium 2
		Responsibility: OSL manager			
Ensure that a notice is displayed at the site providing minimum advice:- Location of nearest telephone and first aid facilities. Any restrictions of use i.e. equipment and age. Persons use facility only at their own risk. Users must wear appropriate protective clothing. No glass, dogs or alcohol allowed on site. The maximum number of users at any one time.					
<hr/>					
Environmental					
Vandalism					
366	To minimise the risk of loss/damage/injury arising from vandalism. To minimise risk arising from anti-social behaviour.		Weekly	Low	Medium 2
		Responsibility: OSL manager			
Take reasonable action to maintain security of site. Arrange for regular site visits. Consider use of professional security service where necessary. Maintain liaison with law enforcement agencies. Define policy for dealing with offenders.					

Financial

Legal Liability arising from asset ownership

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

363 To ensure control of risk.

Ensure that Council's insurer is aware of facility provision.
Ensure adequate cover is provided in policy.
Carry out annual review.

Physical

General Health & Safety

Monthly

Low

Medium

2

Responsibility: OSL manager

364 To minimise risks arising.

Determine responsibility for inspection of site.
Provide for any necessary staff training.
Provide for appropriate protective clothing.
Carry out regular inspections on a predetermined basis to clear site of litter & fly tipping.
Inspect site for, and deal with, any dangerous/foul matter i.e. glass, needles etc
.
Maintain detailed records of inspections which must be dated and signed.

Physical

Injury to users arising from accident.

Weekly

Low

High

3

Responsibility: OSL manager

365 To minimise risk.

Determine responsibility for inspection of equipment.
Consider biannual inspection by ROSPA. (as a condition of insurance).
Carry out regular inspection of equipment, surfaces and signage.
Place any damaged equipment out of use until repair or replacement carried out.
Maintain records of all inspections, reported damage and repairs/work ordered and completed.
Maintain an Accident Book specifically for the purpose of reported accidents.

Completed by:

Date:

Position:

No of Risks 5

No of risks scored: 5

No of Action Plans: 0

Your Duty = Power to light roads and public places

Assessment year: 2021

Act = Parish Councils Act 1957 s 3
Highways Act 1980, s 301

Scoring note:
Low = 1
Medium = 2
and High = 3

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
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Administration/Legal

Contracts with service providers

Annually **Low** **Medium** 2

Responsibility: Clerk

88	To ensure proper administrative arrangements.	Ensure that all contracts are signed and sealed. Monitor performance to ensure that contract conditions/obligations are met. Where appropriate examine contractor insurance documentation. Review conditions periodically.			
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Administration/Legal

Service level agreements

Annually

Responsibility:

87	To ensure proper agreements in place.	Ensure that all service level agreements are fully completed and operational. Monitor performance to ensure conditions met. Review conditions periodically.			
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Environmental

Failure to provide lighting

Quarterly

Low

Medium

2

Responsibility: Deputy Clerk

55

Monitor Service Level Agreement with major authority on a regular basis.
Report any faulty lights as soon as possible.
Monitor service performance and enforce agreement conditions.

Environmental

Fly posting

Annually

Low

Medium

2

Responsibility: Clerk

84

To minimize associated risk.

Define policy on fly posting.
Maintain liaison with enforcement agencies.
Take action as appropriate against offenders.

Environmental

Vandalism

Annually

Low

Medium

2

Responsibility: Clerk

85

To minimise the risk of loss/damage/injury arising from vandalism.

Maintain efficient and effective security.
Maintain liaison with local enforcement agencies.
Take action as appropriate against offenders.

Financial

Inadequate budget provision

Annually

Low

Medium

2

Responsibility: Responsible Finance Officer

86

To provide for annual review of service requirements. Ensure that service/facility requirements are detailed in budget process.

Physical

Maintenance

Annually

Low

Medium

2

Responsibility: Deputy Clerk

82

Define responsibility for maintenance.
Ensure contractual arrangements in place for renewal/repair.
Carry out regular inspections of all equipment.
Maintain detailed records of all work scheduled/completed.

Physical

Security of inspection plates etc.

Annually

Low

Medium

2

Responsibility: Deputy Clerk

83

To maintain service standards.

Arrange for regular inspection of equipment.
Ensure contractual arrangements in place for renewal/repair.

Completed by:

Date:

Position:

No of Risks 8

No of risks scored: 7

No of Action Plans: 0

Your Duty = Right to be notified of planning applications

Assessment year: 2021

Act = Town and Country Planning Act 1990 s 1 (p8)

Scoring note:

Low = 1
Medium = 2
and High = 3

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
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Administration/Legal

Failure to meet consultation deadlines.

Annually

Low

Medium

2

Responsibility: Planning Clerk

62 To meet consultation timetable.

Planning applications are considered monthly at full Council meetings. Delegated arrangements are made during the Summer and Christmas recess. Where necessary liaise with the Planning Authority for possible extension. Council responses to planning applications are submitted to the Planning Authority the day after the meeting.

Administration/Legal

Maintenance of register/records

Annually

Low

Medium

2

Responsibility: Planning Clerk

61

Determine responsibility for maintenance of register. All planning applications are e-mailed/mailed directly to the Council, The planning applications form part of the Council minutes, so all decisions/comments are recorded within the Council minutes.

Physical

Security of records

Annually

Low

Medium

2

Responsibility: Planning Clerk

60 To safeguard planning records.

Planning records are held by the Planning Authority.
Details of decisions taken by the Council are held with the minutes electronically as well as paper copies.

Completed by:

Date:

Position:

No of Risks 3

No of risks scored: 3

No of Action Plans: 0

Your Duty = Power to erect (with Highway Authority approval)

Assessment year: 2021

Act = s 3 Parish Council Act 1970

Scoring note:
 Low = 1
 Medium = 2
 and High = 3

<i>Risk /</i> ID	<i>Hazard / Requirement</i>	<i>Control</i>	<i>Review timing & Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
Administration/Legal						
	Failure to obtain necessary approval.		As and when	Low	Medium	2
			<i>Responsibility: Clerk</i>			
356		Determine responsibility for administration. Ensure that appropriate applications are submitted to Highway Authority.				

Financial						
	Inadequate budget provision		Annually			
			<i>Responsibility:</i>			
358	To ensure proper financial provision.	Ensure service requirement included in annual budget.				

Physical

Inadequate maintenance.

Quarterly

Low

Medium

2

Responsibility: OSL manager

357

Determine responsibility for maintenance.
Arrange periodic inspection.
Arrange for repairs/maintenance as required.

Physical

Vandalism

Monthly

Low

Medium

2

Responsibility: OSL manager

58

To minimise the risk of loss/damage/injury arising from vandalism.

Carry out regular inspection of signs.
Maintain liaison with local enforcement agencies.
Take action as appropriate against offenders.

Completed by:

Date:

Position:

No of Risks 4

No of risks scored: 3

No of Action Plans: 0

Your Duty = Power to maintain, repair, protect and alter war memorials

Assessment year: 2021

Act = War Memorials (Local Authorities' Powers) Act 1923,s 1, 133
as extended by Local Government Act 1948, s 133

Scoring note:
Low = 1
Medium = 2
and High = 3

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Physical						
	Inadequate budget provision		Annually	Low	Medium	2
Responsibility: OSL manager						
313	To ensure annual service review.	Review service provision within annual budget process. Earmarked reserve fund is held for any unscheduled works that are required.				

Physical						
	Inadequate maintenance.		Annually	Low	Medium	2
Responsibility: OSL manager						
359	To maintain war memorial and the surrounding area to an acceptable standard	Define responsibility for maintenance. War memorial is inspected on a regular basis with any works identified being undertaken by a professional contractor. Maintain detailed records of all work scheduled/completed. Annual maintenance carried out prior to Remembrance Sunday.				

Physical

Vandalism

As and when

Low

Medium

2

Responsibility: OSL manager

57

To minimise the risk of loss/damage/injury arising from vandalism.

Members of the public are encouraged to report any issues.
Maintain liaison with local police.
The Council will instigate legal action against perpetrators where appropriate.
Ensure that the relevant insurance is held.

Completed by:

Date:

Position:

No of Risks 3

No of risks scored: 3

No of Action Plans: 0

Your Duty = Power for councils to have their own websites

Assessment year: 2021

Act = Local Government Act 1972, s 142

Scoring note:
Low = 1
Medium = 2
and High = 3

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal						
	Availability of Software tools to build and manage site		As and when	Low	Medium	2
			Responsibility: Clerk			
374	To ensure that the council has full control of website.	Ensure that the Council controls ownership of the necessary software including website editor, FTP (File Transfer Tool), anti virus software, image management software and a word processor.				
<hr/>						
Administration/Legal						
	Compromise of copyright by inclusion of website links or frames.		Annually	Low	Medium	2
			Responsibility: Clerk			
386	To minimise risk.	If website contains links to other sites ensure permission of destination website is prerequisite.				

Administration/Legal

Confusion arising from links to external websites

Annually

Low

Medium

2

Responsibility: Office manager

387 To minimise risk.

Ensure that adequate control is in place and that website makes clear Council privacy policy that it is not responsible for the privacy practices or the content of external websites.

Administration/Legal

Content

Low

Medium

2

Responsibility: Office manager

321 To maintain effective administration.

Ensure that all content is specifically approved by Council.
Lead Councillor has been appointed to oversee the Council's communication policy. Councillors are regularly asked for feedback on Council website.

Administration/Legal

Dependence upon an individual

Annually

Low

Medium

2

Responsibility: Clerk

- 376 To ensure that the site activity is not restricted to one person. Ensure that a minimum of two people have the necessary ability to undertake a ll website activity and are up to date with current site status. Provide training where necessary to minimise risk.

Administration/Legal

Insurance

Responsibility:

- 373 To protect council. Ensure that appropriate insurance cover is held by Council.
-

Administration/Legal

Lack of motivation for continued management of website.

Quarterly

Low

Medium

2

Responsibility: Clerk

383 To minimise risk.

Recognise risks associated with poor site maintenance and development - lack of users - lack of feed back - user dissatisfaction - waste of resources.

Ensure that proper recognition is given to site manager.

Arrange for regular review of site content and development.

Lead Councillor has been appointed to oversee the Council's communication policy. Councillors are regularly asked for feedback on the Council website.

Administration/Legal

Lack of visibility of visitor numbers.

Annually

Low

Medium

2

Responsibility: Clerk

385 To maintain adequate statistics.

Ensure that a website statistics package is available on site.

Ensure that website statistics are available to Council and are regularly reported to the appropriate Council/committee meeting.

Ensure that examination of detail is an integral part of the process.

Administration/Legal

Loss of Data/ Inability to access backup

Monthly

Low

Medium

2

Responsibility: Clerk

377 To avoid risk arising from loss of data.

Ensure that a back-up copy of web content is held by the clerk and is updated on a monthly or other agreed time scale.
Where website is subject to outside management carry out monthly review and ensure that the Service Level Agreement is in place and adhered to.

Administration/Legal

Non compliance with Freedom of Information Act

Annually

Low

Medium

2

Responsibility: Clerk

381 To minimise risk.

Ensure that legal requirements are met in full.
Ensure that ALL information, as declared in the Council Model publication, is available via the Clerk to the Council and alternatively via the website.

Administration/Legal

Non conformance with the Data Protection Act

As and when

Low

High

3

Responsibility: Clerk

382 To minimise risk.

Where posting information to website, or storing personal information, ensure that permission is in place and the eight principles of data protection have been followed. The data must be; fairly and lawfully processed; processed for limited purposes; adequate, relevant and not excessive; accurate; not kept longer than necessary; processed in accordance with the data subject's rights; secure; and not transferred to countries without adequate protection.

Administration/Legal

Ownership and Control of Universal Resource Locator (URL)

Annually

Low

Medium

2

Responsibility: Clerk

316 To ensure that council has full control of website.

Ensure that Clerk to the Council is listed as registrant of website when web address is purchased and registered.
 Ensure that hosting charges and domain renewal charges are met by Council.
 Ensure that Council has full details of web address, account name, username and password to manage the web address.

Administration/Legal

Risk arising from paid advertising

Annually

N/A

0

Responsibility:

389 To minimise risk.

Determine Council policy for accepting paid advertising. Ensure that all advertisements comply with the Advertising Standards.

Formulate Terms & Conditions for advertisers, including refund policy should a advert be withdrawn from display. Ensure that provision is included to deal with advertising proving unreliable or offensive including capability for rapid removal from website.

Administration/Legal

Risk arising from use of unlicensed software

Annually

Low

Medium

2

Responsibility: Clerk

375 To ensure that the council is protected from charges of condoning use of unlicensed software.

The Council must ensure that only properly licensed software is used and must maintain records of all software used to build and manage the site. This is particularly important where the site is built or managed on behalf of the Council.

Administration/Legal

The placing of information on site that may put people at risk.

Annually

Low

Medium

2

Responsibility: Clerk

388 To minimise risk.

Ensure that all involved are aware of the risks involved when publishing information regarding individuals or groups of individuals. Formulate and implement a policy that follows best practice guidelines to protect those involved. Only designated personnel are able to upload information on website.

Technical

Failure to meet needs/expectations of visitors to site.

Annually

Low

Medium

2

Responsibility: Clerk

380 To minimise risk.

Employ only suitably skilled persons to design develop site.
Maintain a record of all views, comments, complaints received.
Carry out a regular review of the website, with third parties where appropriate and initiate agreed changes/improvements where necessary.
Maintain dialogue with site visitors where appropriate.

Technical

Inadequate control of website

Annually

Low

Medium

2

Responsibility: Clerk

378 To minimise risk arising from third party input.

Ensure in all circumstances where third party is involved in design and control of website that a written formal agreement is in place that details financial and other responsibilities between the Council and third party(s).
 Issue a set of written guidelines controlling site content.
 Ensure that a Service Level Agreement with the website provider is in place.

Technical

Lack of visibility of website to search engines

Quarterly

Low

Medium

2

Responsibility: Clerk

384 To minimise risk and maximise visitor numbers.

Ensure that the site is registered with leading search engines (Rapid registration is available at a cost).
 Update and change the front page of the site (and other pages) regularly to ensure that the search engine Spider/Google regularly visits the site and is updated as required.

Technical

Risk arising from poor design / appearance of website

As and when

Low

Medium

2

Responsibility: Clerk

379 To minimise risk arising from poor design.

Ensure that design is undertaken by suitably qualified and experienced operators.
Get details of and view previously developed sites.
Set standards for site design and ensure that Council is provided with full details prior to implementation.

Completed by:

Date:

Position:

No of Risks **19**

No of risks scored: **18**

No of Action Plans: **0**