

Your Duty = Power to provide and maintain shelters

Assessment year: 2022

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

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

Risk /			Control	Low = 1 Medium = 2 and High = 3	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required	
ID	Hazard	/ Requirement							
Administration/Legal					Annually	Low	Low	1	
Absence of Highway Authority Licence.					Responsibility: Clerk				
268	To ensure that the authority has all necessary licence s.		Maintain register of licence requirements. Carry out periodical review.						

Administration/Legal

Provision of adequate insurance cover.

AnnuallyLowLow1

Responsibility: Clerk

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.
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## Environmental

Cleaning of Bus Shelters.

Weekly

Low

Medium

2

Responsibility: Clerk

- 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 professional cleaning company as and when required.

## Environmental

Design & Position.

As and when

Low

Low

1

Responsibility: Clerk

- 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.

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

Weekly

Medium

Medium

4

Yes

Responsibility: Clerk

Action by: Clerk

Action by date: 31/03/2023

Action plan: Weekly inspections.

## Financial

Failure to collect all Advertising Income.

- 266 To maximise income to the council.
- Ensure that proper financial controls are in place to provide for prompt billing and collection of all income due.  
Follow defined procedure for outstanding debt.

Annually

N/A

N/A

0

Responsibility: Clerk

Physical  
Maintenance of Bus Shelters.

Quarterly      Low      Medium      2

Responsibility: Clerk

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.

Comments: Introduce weekly inspections and cleaning

Completed by:      Date:      Position:      No of Risks      7      No of risks      7      No of Action      1  
scored:      Plans:

Your Duty =

Power to make bye-laws in regard to pleasure grounds  
Cycle parks

Assessment year: 2022

Act =

Public Health Act 1875, s. 164  
Road Traffic Regulation Act 1984, s.57(7)

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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Physical

Failure to maintain register.

Annually

Low

Low

1

Responsibility: Clerk

255

Need to maintain a comprehensive register of all bye-laws.

Ensure that the register is up to date and properly maintained.

Completed by:

Date:

Position:

No of Risks1

No of risks scored:1

No of Action Plans:0

Your Duty = Powers to provide

Assessment year: 2022

Act = s 8 LGA 1894; Open Spaces Act 1906; s 19LG (Misc Provns) 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
Administration/Legal				Annually	N/A	N/A	0
Failure to meet statutory requirements - parking orders etc.				Responsibility:			
183	Council has a duty to meet all statutory requirements.		Define responsibility for meeting requirements. Ensure that all service requirements are met.				

Administration/Legal

Failure to police/enforce regulations.

184	To ensure proper control and operation of car parks.	Make proper provision for enforcement of regulations. Define responsibility for action. Carry out regular policing of car parks. Maintain liaison with local enforcement agencies.
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Administration/Legal

Staff training.

Annually N/A N/A 0

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.

Environmental

Cleaning and litter control.

Monthly Medium Low 2

Responsibility: Clerk

- 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.

**Environmental**

Fly tipping.

Annually

Medium

Low

2

Responsibility: Clerk

- 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

N/A

N/A

0

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

N/A

N/A

0

Responsibility:

177 To ensure regular review of charges.

Ensure annual review of all charges as an integral part of the budget process.

Financial

Inadequate budgetary provision.

Annually

Low

Medium

2

Responsibility: Clerk

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***Low****Low****1***Responsibility: Clerk*

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***N/A****N/A****0***Responsibility:*

178 To minimise risk of loss of income.

Define responsibility for collection of income.  
Maintain proper records of tickets issued/sold etc and reconcile to cash collected on a regular basis.  
Ensure that all ticket machines are fully maintained and tested daily.  
Collect and bank cash daily.  
Enforce regulations.  
Carry out audit/spot checks.

**Financial**

Ticket control.

Annually

N/A

N/A

0

*Responsibility:*

179	To minimise loss/potential loss arising from misuse of tickets.	Define responsibility for stock ordering and control. Maintain proper stock records and reconcile periodically. Ensure that all tickets issued from stock are recorded and signed for. Periodically carry out physical inspection/audit to ensure correct ticket controls are in place.
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**Physical**

Maintenance of Car Park Surfaces.

Annually

Medium

Medium

4

Yes

*Responsibility: Clerk**Action by: Clerk**Action by date: 31/03/2023**Action plan: Regular inspection of the car park.*

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.
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**Physical**

Maintenance of equipment.

Quarterly

N/A

N/A

0

*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

Medium

Medium

4

Yes

*Responsibility: Clerk**Action by: Clerk**Action by date: 31/03/2023**Action plan: Regular and documented inspections to be undertaken.*

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: Clerk*

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

N/A

N/A

0

*Responsibility: Clerk*

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      Medium      Medium      4      Yes

Responsibility: Clerk
Action by: Clerk
Action by date: 31/03/2023
Action plan: Regular recorded visits.

- 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    17

No of risks scored:    17

No of Action Plans:    3

Your Duty =

Duty to adopt a code of conduct

Assessment year: 2022

Act =

p 3 Local Government Act 2000

Scoring note:

Low = 1

Medium = 2

and High = 3

Risk /		Control	Low = 1	Review	Likelihood	Impact	Your	
ID	Hazard / Requirement		Medium = 2	timing &	of	on	action	
			and High = 3	Responsibility	occurrence	Council	Score required	
Administration/Legal				Quarterly	Low	Low	1	
Failure to maintain / update Register of Interests/Gifts			Responsibility: Clerk					
00	To maintain records of members Declarations of Interest	<p>All Council members are aware of their statutory responsibilities. Every Councilor 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 Risks1

No of risks scored:1

No of Action Plans:0

Assessment year: 2022

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

**Your  
action  
Score required**

**Control**

0

Responsibility: Clerk

Responsibility: Clerk

2

Responsibility: Clerk

Responsibility: Clerk



## Environmental

Dog fouling.

- 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.

Annually	Medium	Medium	4	Yes
Responsibility: Clerk				
Action by: Clerk				
Action by date: 31/03/2023				
Action plan: Review signage. Raise local awareness using Social Media and web.				

## Environmental

Grass cutting/mowing/hay.

- 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.

Annually	Medium	Medium	4	Yes
Responsibility: Clerk				
Action by: Clerk				
Action by date: 31/03/2023				
Action plan: Ensure reliable contractor is in place. Ensure BPC mowing is effective.				

**Environmental**

Overgrazing.

Annually

N/A

N/A

0

*Responsibility: Clerk*

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

Medium

Low

2

*Responsibility: Clerk*

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

Medium

Low

2

Responsibility: Clerk

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

N/A

N/A

0

Responsibility: Clerk

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

N/A

N/A

0

Responsibility: Clerk

- 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 process.

## Physical

Dumping of Rubbish/Hazardous waste.

Annually

Low

Medium

2

Responsibility: Clerk

- 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: Clerk*

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***Low****Medium****2***Responsibility: Clerk*

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: Clerk*

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: Clerk*

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: Clerk*

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

Low

1

*Responsibility: Clerk*

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      Medium      Medium      4      Yes

Responsibility: Clerk
Action by: Clerk
Action by date: 31/03/2023
Action plan: Groundsman to monitor any potential unauthorised usage and report back to office.

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    17 scored:	No of Action    3 Plans:
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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: 2022

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
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Administration/Legal

Failure to obtain all necessary licences, ie bar, music, weddings, etc.

Annually

Low

Low

1

Responsibility:

231	To meet all statutory requirements for service provision.	Define responsibility for obtaining licences. Maintain adequate records of licence application, renewal etc.
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Administration/Legal

Maintenance of diary of events/usage.

Annually

Low

Medium

2

Responsibility: 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.
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## Environmental

Cleaning.

225

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

Monthly

Medium

Medium

4

Yes

Responsibility: Clerk

Action by: Clerk

Action by date: 31/3/2023

Action plan: Cleaning Spec to be agreed and monitored.  
Cleaner to use work record documentation to record activity.

## Environmental

Pollution, ie. noise, litter etc.

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.

Annually

Low

Low

1

Responsibility: Clerk

## Environmental

Vandalism.

- 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.

Annually

Medium

Medium

4

Yes

Responsibility: Clerk

Action by: Clerk

Action by date: 31/03/2023

Action plan: Speak to Crime Prevention Officer regarding improvements to front and side of building. Possible use of CCTV.

## Financial

Failure to collect income.

- 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.  
Provide for periodical reconciliation and financial report to Council.

Quarterly

Low

Medium

2

Responsibility: Clerk

Financial

Failure to review charges.

Annually

Low

Low

1

Responsibility: Clerk

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

Low

1

Responsibility: Clerk

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

Medium

2

*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

Medium

2

*Responsibility: Clerk**Action by: Clerk**Action by date: 30/06/2020**Action plan: Prepare a rolling Maintenance Plan and set up a sinking fund.*

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.  
Arrange adequate insurance cover.

**Physical**

Maintenance of equipment.

Annually

Low

Low

1

*Responsibility: Clerk*

- 211 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

Medium

Low

2

*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.

**Physical**

## Security of buildings

Annually

Medium

Medium

4

Yes

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.

*Responsibility: Clerk**Action by: Clerk**Action by date: 31/03/2023**Action plan: Determine key holders and review security with Crime Prevention Officer***Physical**

## Security of equipment.

Annually

Low

Low

1

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.

*Responsibility: Clerk*

Physical  
Security of Hazardous Substances + D73.

Annually

Responsibility:

- 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 Risks16

No of risks scored:14

No of Action Plans:3



Your Duty = Power to facilitate discharge of any function

Assessment year: 2022

Act = s 111 Local Government Act 1972

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

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

Physical

Loss arising from theft/misappropriation.

AnnuallyLowHigh3

Responsibility: Clerk

Action by: Clerk

Action by date: 30/06/2020

Action plan: Laptop kept in a secure environment. All data is duplicated on One Drive.

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.

Physical

Loss/damage arising from unauthorised use.

AnnuallyMediumMedium4Yes

Responsibility: Clerk

Action by: Clerk

Action by date: 31/10/2023

Action plan: Passwords updated. Password Vault to be used.

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

Action by: Clerk

Action by date: 21/04/2020

Action plan: All data is maintained on One Drive. IT equipment is good quality. Software is robust.

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.  
Council operate up to date anti-virus software.  
Council has a backup laptop it could independently use in the event of a total crash.

Completed by:      Date:      Position:      No of Risks    3      No of risks scored:    3      No of Action Plans:    1

Your Duty = Power to meet

Assessment year: 2022

Act = Local Government Act 1972

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

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

Administration/Legal

Access.

AnnuallyMediumMedium4Yes

Responsibility: Clerk

Action by: Clerk

Action by date: 31/03/2023

Action plan: Access training for officers on proper use of centre doors. Training for evacuation equipment from upper office to be provided. Contact Peninsula for assistance

218

To meet all statutory requirements and maintain effective administration.

Ensure public access is available to all meetings of the Council, except for meetings of the Staff and Salaries committees.  
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.  
Disability access should be provided.  
Specific area should be set aside for press & public.  
Table set aside for press and public.  
Time should be allocated for public questions and comments.

Administration/Legal

Failure to meet statutory duty.

LowMedium2

Responsibility: Clerk

217

To meet all statutory requirements and maintain effective administration.

All meetings comply with LGA 1972.  
Clerk and Assistant Clerk are CiLCA qualified, if required.  
Council randomly checks its own internal controls as well as Internal Auditor checks.  
All members are notified of meeting by way of summons and agenda in accordance with LGA 1972.  
All public notices are posted as prescribed in LGA 1972.  
Clerk/Assistant Clerk ensures meetings are quorate and attendance records are maintained.  
Minutes are taken of all Council and Committee meetings and signed at the next meeting by the Chairman.  
All minutes are produced in accordance with legislation and kept in files in the

**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    4  
scored:**No of Action    1  
Plans:*

Your Duty =

Duty to disclose documents and to adopt publication scheme

Assessment year: 2022

Act =

Freedom of Information Act 2000

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

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

Financial

Legal Liability as a result of Asset Ownership.

Annually

Low

Medium

2

Responsibility: Clerk

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.
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Physical

Loss / Damage to Civic Regalia.

Monthly

N/A

N/A

0

Responsibility: Clerk

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.
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**Physical**

Loss of assets.

Annually

Low

Low

1

Responsibility: Clerk

- 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: 2022

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

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

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

Administration/Legal

Data Protection - Registration & compliance.

AnnuallyHighMedium6Yes

Responsibility: Clerk

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.
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Administration/Legal

Failure to appoint representative on CCTV group.

AnnuallyHighMedium6Yes

Responsibility: Clerk  
Action by: Clerk  
Action by date: 31/03/2023  
Action plan: CCTV representative to be appointed

307	To ensure that council interest is properly represented.	Ensure that representative(s) are properly appointed by Council. Arrange periodical reports to Council.
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**Administration/Legal**

Failure to comply with Code of Practice.

Annually

High

Medium

6

Yes

335 To meet requirements of code.

Ensure that where appropriate operatives are aware of code requirements.  
Provide for necessary training.*Responsibility: Clerk*

Action by: Clerk

Action by date: 31/03/2023

Action plan: CCTV Code of Practice to be written, agreed and adopted.

**Administration/Legal**

Failure to provide for recording media.

Annually

High

Medium

6

Yes

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.*Responsibility: Clerk*

Action by: Clerk

Action by date: 31/03/2023

Action plan: CCTV policy to document access arrangements of CCTV footage.



## Financial

Inadequate budget provision.

Annually

Medium

Low

2

Responsibility: Finance Committee

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.

Comments: Finance Committee alongside Clerk to ensure adequate budget provision for CCTV system maintenance.

## Physical

Failure of system - equipment.

Annually

High

Medium

6

Yes

Responsibility: Clerk

Action by: Clerk

Action by date: 31/03/2023

Action plan: CCTV policy to give details of action to take in the event of a systems failure.

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

High

Medium

6

Yes

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.

*Responsibility: Clerk**Action by: Clerk**Action by date: 31/03/2023*

*Action plan: Determine policy for control room operations  
. Allocate responsibility for security/control of premises.*

**Physical**

Security of equipment.

Quarterly

High

Medium

6

Yes

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.

*Responsibility: Clerk**Action by: Clerk**Action by date: 31/03/2023**Action plan:*

**Physical**

Vandalism.

- 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.

Monthly

High

Medium

6

Yes

*Responsibility: Clerk**Action by: Clerk**Action by date: 31/03/2023**Action plan: Groundsman to add visual check of the equipment to weekly check list. Clerk/Admin to check remote access functionality weekly.***Technical**

Unauthorised use of equipment.

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

Annually

Medium

High

6

Yes

*Responsibility: Clerk**Action by: Clerk**Action by date: 31/03/2023**Action plan: Passwords to be securely held. Access only permitted to authorised personnel.***Completed by:****Date:****Position:***No of Risks 10**No of risks scored: 10**No of Action Plans: 9*

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

Assessment year: 2022

Act = Data Protection Act 1998

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

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

Administration/Legal

Breach of confidentiality.

DailyLowMedium2

Responsibility: Clerk

29	To ensure that statutory requirements are met.	<div>That the Council is registered as a Data Controller with the Information Commi ssioners Office. That the Council has a Data Protection Policy. All Council Officers undertake training when they commence employment and and periodically afterwards. All Councillors are aware of their obligation under Data Protection and undergo ad hoc training.</div>
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Completed by:

Date:

Position:

No of Risks1

No of risks scored:1

No of Action Plans:0

Your Duty = Duty to Appoint

Assessment year: 2022

Act = s 112 Local Government Act 1972

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

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

Administration/Legal

Failure to comply with Employment Law.

AnnuallyLowMedium2

Responsibility: Clerk

Action by: Clerk

Action by date: 24/04/2020

Action plan: Engage Employment Specialist.

23	To ensure that the council fulfils its responsibilities.	Contracts of employment issued to all employees. Annual review of Staff Contracts of Employment undertaken. Clerk has responsibility for maintaining up to date knowledge of new legislation and brining this to the attention to all relevant parties.  Training arranged as and when required including Clerks CPD.
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Financial

Overpayment or underpayment of salaries and expenses.

MonthlyLowLow1

Responsibility: Clerk

785	Ensure that all payments to staff are in accordance with employment contracts approved by the council.	Monthly payroll schedule to be verified by the relevant number of parties/staff. Monthly employers payments to be verified by the relevant third party/ies as laid out in policy. Cheques and electronic payments to be signed/verified by the relevant third party/ies as laid out in policy.
-----	--	--

**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.

AnnuallyLowLow1

Responsibility: Clerk

- 18
- To minimise risk arising from high turnover of staff.
- Staff Appraisals conducted on an annual basis and when required.  
Complete exit questionnaire.

Professional

Lack of Employee motivation/efficiency.

AnnuallyLowMedium2

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

Medium

Medium

4

Yes

*Responsibility: Clerk**Action by: Clerk**Action by date: 31/03/2023**Action plan: All procedures to be well documented.*

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 8  
scored:**No of Action  
Plans: 1*



Your Duty = Duty to ensure responsibility for financial affairs

Assessment year: 2022

Act = s 151 LGA 1972

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

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

Administration/Legal

Failure to comply with Customs & Excise regulations.

QuarterlyMediumMedium4Yes

Responsibility: Clerk

Action by: Clerk

Action by date: 31/03/2023

Action plan: Activity diary to be compiled to ensure that all processes are complete in time.

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.
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Administration/Legal

Failure to comply with Inland Revenue regulations.

QuarterlyMediumMedium4Yes

Responsibility: Clerk

Action by: Clerk

Action by date: 31/03/2023

Action plan: All procedures to be documented to ensure completion within the timescales.

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 Clerk or responsible financial officer; checked by the Assistant Clerk Arrange prompt payment of all sums due.
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**Administration/Legal**

Failure to maintain record of council assets.

*Annually***Low****Low****1***Responsibility: Clerk*

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.  
Periodical inventory checks carried out.  
Asset register reviewed annually as a minimum.

**Administration/Legal**

Incurring expenditure without proper legal authority.

*Annually***Medium****Low****2***Responsibility: Clerk*

338 To ensure all expenditure is intra vires, ie. "within the powers".

Record in minutes powers under which expenditure is being approved.  
That the Clerk checks to ensure all expenditure is within legal authority.  
  
That the Council has attained General Power of Competence.

## 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.

All approvals for expenditure are properly recorded in Council minutes and on the Scribe accounting package.

The Clerk ensures that no alternative statutory authority is available.

## Financial

Failure to keep proper financial records.

Monthly

Low

Medium

2

Responsibility: Clerk

35

Clerk is appointed Responsible Financial Officer and Proper Officer.

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

The Council has appointed Councillors as random audit checkers to randomly inspect the Council's procedures and the work of the office staff.

Independent internal auditor appointed.

Annual Return completed for submission to the External Auditor.

All reports relating to expenditure and receipts together with the bank reconciliation and outstanding debts are approved by the Council on a monthly basis.

Year To Date budget sheets are also presented and approved by Council on a monthly basis which tallies with the bank reconciliation All reports are attached as appendices to the minutes and signed by the Chairman.

**Financial**

Failure to maintain an effective payments system.

*Monthly***Low****Medium****2***Responsibility: Clerk*

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**

Failure to set a precept within sound budgeting arrangements.

*Monthly***Low****High****3***Responsibility: Clerk*

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**

Loss of money through theft/misappropriation.

Quarterly

Low

High

3

*Responsibility: Clerk*

- 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

High

3

*Responsibility: Clerk*

- 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.

**Financial**  
Risk to third party as a consequence of providing a service

Annually	Low	Medium	2
Responsibility: Clerk			

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

Completed by:	Date:	Position:	No of Risks    11	No of risks scored:    11	No of Action Plans:    2
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Your Duty = Duty to comply with the regulations.

Assessment year: 2022

Act = Data Protection Act 2018

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

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

Administration/Legal

Failure in complying with special protection for children.

AnnuallyN/AN/A0

Responsibility:

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.
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Administration/Legal

Failure in updating the Clerks/RFO job description.

AnnuallyN/AN/A0

Responsibility:

852	To have the Clerks/RFO 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 Clerk/RFO 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.
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Comments: NCALC is the DPO

## 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/RFO 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: Clerk

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: Clerk

- 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: Clerk*

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 Clerk/RFO 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.
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## 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.
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**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.
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**Administration/Legal**

Non compliance of Council members and contractors.

Annually

Medium

Medium

4

Yes

*Responsibility: Clerk**Action by: Clerk**Action by date: 31/03/2023**Action plan: Training Courses to include GDPR*

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.
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Administration/Legal		Annually	Low	Medium	2
Non compliance of Council to manage the process.		Responsibility: Clerk			
854	That the Council manage the GDPR process.	<p>The Council is the data controller and the Clerk/RFO 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.</p>			
		Comments: All considered at the Annual Parish Council Meeting			

Administration/Legal		Annually	Low	Low	1
Non display of this policy on the Councils web site.		Responsibility: Clerk			
851	To have our Privacy notice available on-line for general access/viewing.	<p>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</p>			



Administration/Legal			Annually	Low	Medium	2	
Non identification of how long the data held.			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 Clerk/RFO 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			Annually	Medium	Medium	4	Yes
Non identification of security and controls of data held.			Responsibility: Clerk				
			Action by: Clerk				
			Action by date: 31/03/2023				
			Action plan: Information Audit to be carried out				
837	To record and identify what security and controls are in place to the secure the data.	NCALC is the data controller and the Clerk/RFO 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.					

Non identification of who holds and can access the data

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

The Council is the data controller and the Clerk/RFO 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.

Responsibility:

Action by: Clerk

Action by date: 31/03/2023

Action plan: Information Audit to be carried out

Your Duty =

Power to accept gifts

Assessment year: 2022

Act =

Local Government Act 1972, s 139

Scoring note:

Low = 1

Medium = 2

and High = 3

Risk /			Control	Low = 1 Medium = 2 and High = 3	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
ID	Hazard	/ Requirement						
Administration/Legal					Annually	Low	Medium	2
Failure to notify/record gifts.					Responsibility: Clerk			

314

To protect interest of council and members.

Ensure that all staff/members are aware of responsibilities.  
Maintain gift register.

Completed by:

Date:

Position:

No of Risks1

No of risks scored:1

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: 2022

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

Risk /			Control	Low = 1 Medium = 2 and High = 3	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required	
ID	Hazard	/ Requirement							
Administration/Legal					Annually	Low	Medium	2	
Maintenance and Security of Deeds of ownership etc.					Responsibility: Clerk				

162	To ensure security of records.	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. Where possible paper and electronic copies are also held.
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Administration/Legal

Maintenance of Asset Register

Annually

Low

Medium

2

Responsibility: Clerk

163	To ensure that all assets of the council are properly recorded.	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 a n annual basis and cross referenced with the insurance schedule. All items valued at over £100 are included.
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## Environmental

Failure to comply within consultation deadline.

Annually

Low

Medium

2

Responsibility: Clerk

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

Medium

Medium

4

Yes

Responsibility: Clerk

Action by: Clerk

Action by date: 31/03/2023

Action plan: SM and web to inform residents on procedures to follow to report promptly to WNC.

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: Clerk

- 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.

## Environmental

Vandalism

Annually

Medium

Medium

4

Yes

Responsibility: Clerk

Action by: Clerk

Action by date: 31/03/2023

Action plan: Regular inspections and prompt action. Social Media to be used to raise local awareness.

- 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.

**Financial**

Failure to collect income

Annually

Low

Medium

2

*Responsibility: Clerk**Action by: Clerk**Action by date: 31/03/2023**Action plan: Payment dates into a diary.*

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: Clerk*

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: Clerk

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: Clerk

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: Clerk*

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 in 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: Clerk*

- 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.

*Comments: Gates are locked at The Ashway. St Davids has limited vehicle access***Completed by:****Date:****Position:***No of Risks 14**No of risks scored: 14**No of Action Plans: 2*

Your Duty =

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

Assessment year: 2022

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

Administration/Legal

Inefficient service provision

Monthly

Low

Medium

2

Responsibility: Clerk

Action by: Clerk

Action by date: 31/07/2020

Action plan: Review Staffing Structure

7	To employ trained/experienced personnel.	Ensure that staff have appropriate training. Ensure that staff 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.
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Environmental

Inappropriate location of litter bins

Annually

Low

Medium

2

Responsibility: Clerk

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

Medium

Low

2

Responsibility: Clerk

5

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

**Environmental**

Vandalism/theft/damage

Annually

Medium

Medium

4

Yes

Responsibility: Clerk

Action by: Clerk

Action by date: 31/03/2023

Action plan: Replace Parish bins.

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.

<b>Financial</b>			Annually	Low	Medium	2
Inadequate budget provision			Responsibility: Clerk			
339	To ensure adequate funding.	Ensure that service requirements are included in budgetary process.				

<b>Financial</b>			Annually	Low	Low	1
Inadequate insurance cover			Responsibility: Clerk			
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

MonthlyMediumMedium4Yes

Responsibility: Clerk

Action by: Clerk

Action by date: 31/03/2023

Action plan: Raise local awareness on how to report WN C responsible bins promptly.

2To 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 7No of risks scored: 7No of Action Plans: 2

Your Duty = N/a - Local group to cover any risks not listed in other groups

Assessment year: 2022

Act = Not applicable

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

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

Administration/Legal

N/A      N/A      0

Responsibility: Clerk

315	This record is created to allow any non listed Function to be added to the system.	Amend to your local requirement.  For information / set-up purposes.
-----	--	--

Your Duty =

Duty to meet

Assessment year: 2022

Act =

s 12 Local Government Act 1972

Scoring note:

Low = 1

Medium = 2

and High = 3

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

Administration/Legal

Disability & Discrimination Act

Annually

Responsibility: Clerk

360	Ensure that provisions of the act are met.	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.
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Administration/Legal

Failure to comply with new Regulations /Legislation

MonthlyLowMedium2

Responsibility: Clerk

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.
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**Administration/Legal**

Failure to meet statutory duty on meetings

Monthly

Low

Medium

2

*Responsibility: Clerk*

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.

**Administration/Legal**

Failure to report Council business in Minutes

Quarterly

Low

Medium

2

*Responsibility: Clerk*

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.

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

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    5

No of risks scored:    4

No of Action Plans:    0

Your Duty =

Power to provide information relating to matters affecting local government

Assessment year: 2022

Act =

Local Government Act 1972, s 142

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

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

Administration/Legal

Defamation

As and whenLowHigh3

Responsibility: Clerk

130To 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

QuarterlyLowMedium2

Responsibility: Clerk

132To 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 whenLowMedium2

Responsibility: Clerk

131To meet required standard.

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

Environmental

Failure to deliver and litter

QuarterlyN/AN/A0

Responsibility:

128To 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

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

Medium

Low

2

*Responsibility: Clerk**Action by: Clerk**Action by date: 30/04/2020**Action plan: Media & Communications Committee Work Programme*

341 To ensure review of service requirement.

Ensure that service requirements are included in budgetary process.

<b>Physical</b> Non production of newsletter		QuarterlyMediumMedium4Yes
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.	Responsibility: Clerk Action by: Clerk Action by date: 31/03/2023 Action plan: On the Media & Communications Work Programme

<b>Physical</b> Non production of newsletter		QuarterlyMediumMedium4Yes
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.	Responsibility: Clerk Action by: Clerk Action by date: 31/03/2023 Action plan: On the Media & Communications Work Programme

<b>Physical</b> Non production of newsletter		QuarterlyMediumMedium4Yes
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.	Responsibility: Clerk Action by: Clerk Action by date: 31/03/2023 Action plan: On the Media & Communications Work Programme

<b>Physical</b> Non production of newsletter		QuarterlyMediumMedium4Yes
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.	Responsibility: Clerk Action by: Clerk Action by date: 31/03/2023 Action plan: On the Media & Communications Work Programme

<b>Physical</b> Non production of newsletter		QuarterlyMediumMedium4Yes
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.	Responsibility: Clerk Action by: Clerk Action by date: 31/03/2023 Action plan: On the Media & Communications Work Programme

<b>Physical</b> Non production of newsletter		QuarterlyMediumMedium4Yes
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.	Responsibility: Clerk Action by: Clerk Action by date: 31/03/2023 Action plan: On the Media & Communications Work Programme

<b>Physical</b> Non production of newsletter		QuarterlyMediumMedium4Yes
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.	Responsibility: Clerk Action by: Clerk Action by date: 31/03/2023 Action plan: On the Media & Communications Work Programme

<i>Responsibility: Clerk</i>
Action by: Clerk
Action by date: 31/03/2023
Action plan: On the Media & Communications Work Programme

<i>Responsibility: Clerk</i>
Action by: Clerk
Action by date: 31/03/2023
Action plan: On the Media & Communications Work Programme

<i>Responsibility: Clerk</i>
Action by: Clerk
Action by date: 31/03/2023
Action plan: On the Media & Communications Work Programme

<i>Responsibility: Clerk</i>
Action by: Clerk
Action by date: 31/03/2023
Action plan: On the Media & Communications Work Programme

<b>Completed by:</b>	<b>Date:</b>	<b>Position:</b>	<i>No of Risks</i> 7	<i>No of risks scored:</i> 7	<i>No of Action Plans:</i> 1
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<b>Completed by:</b>	<b>Date:</b>	<b>Position:</b>	<i>No of Risks</i> 7	<i>No of risks scored:</i> 7	<i>No of Action Plans:</i> 1
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<b>Completed by:</b>	<b>Date:</b>	<b>Position:</b>	<i>No of Risks</i> 7	<i>No of risks scored:</i> 7	<i>No of Action Plans:</i> 1
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<b>Completed by:</b>	<b>Date:</b>	<b>Position:</b>	<i>No of Risks</i> 7	<i>No of risks scored:</i> 7	<i>No of Action Plans:</i> 1
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<b>Completed by:</b>	<b>Date:</b>	<b>Position:</b>	<i>No of Risks</i> 7	<i>No of risks scored:</i> 7	<i>No of Action Plans:</i> 1
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<b>Completed by:</b>	<b>Date:</b>	<b>Position:</b>	<i>No of Risks</i> 7	<i>No of risks scored:</i> 7	<i>No of Action Plans:</i> 1
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Your Duty =

Power to deal with offensive ditches

Assessment year: 2022

Act =

Public Health Act 1936, s 260

Public Health Act 1875, s 164

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

Public Health Act 1875, s 164			Low = 1 Medium = 2 and High = 3	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action require
ID	Risk / Hazard	/ Requirement	Control					
Environmental				Annually	Low	Medium	2	
Matters prejudicial to health				Responsibility: Clerk				

342

To minimize risk.

Define policy for dealing with nuisance.  
Advise District Council  
Determine responsibility and issue notice.  
Make complaint to Magistrates Court.

Completed by:

Date:

Position:

No of Risks1

No of risks scored:1

No of Action Plans:0

Your Duty =

Power to acquire land and maintain

Assessment year: 2022

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

Risk /		Control	Low = 1 Medium = 2 and High = 3	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required	
ID	Hazard / Requirement							
Administration/Legal				Annually	Low	Medium	2	
Absence of agreements with users, permits etc			Responsibility: Clerk					

126

To facilitate control of facilities.

Ensure that signed contracts/agreements/permits are in place where necessary.  
Maintain a register of users.

Environmental

Fly tipping

Weekly

Low

Medium

2

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.

Responsibility: Clerk



## Environmental

### Pollution

As and when

Low

Medium

2

Responsibility: Clerk

- 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

High

Medium

6

Yes

Responsibility: Clerk

Action by: Clerk

Action by date: 31/03/2023

Action plan: Regular inspections & Weekly Playground Reports

- 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

Low

1

Responsibility: Clerk

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

Low

1

Responsibility: Clerk

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

AnnuallyLowMedium2

Responsibility: Clerk

125To 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.

QuarterlyLowMedium2

Responsibility: Clerk

779To 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

Medium

Medium

4

Yes

Responsibility: Clerk

Action by: Clerk

Action by date: 31/03/2023

Action plan: Regular machinery check

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

Medium

Medium

4

Yes

Responsibility: Clerk

Action by: Clerk

Action by date: 31/03/2023

Action plan: Regular monitoring checks of the grounds

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: Clerk*

- 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

Medium

Medium

4

Yes

*Responsibility: Clerk**Action by: Clerk**Action by date: 31/03/2023**Action plan: H& S inspections. Use specialist supplier*

- 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.



Your Duty = Rights of consultation				Assessment year: 2022			
Act = Localism Act 2011, s9. Town and Country Planing Act 1990, ss 61E-61Q, s 4B, Planning and Compulsory Purchase Act 2004, s 38A				<div>Scoring note: Low = 1 Medium = 2 and High = 3</div>			
Risk /	Hazard / Requirement		Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Environmental				Annually	Low	Medium	2
Failure to comply within consultation deadline				<div>Responsibility: Clerk</div>			
64	To meet consultation timetable.		Planning applications are considered at full Council meetings. During Summer and Christmas recess adequate delegated arrangements are made to ensure timely consideration and responses are provided. Responses to planning applications are e-mailed to the Planning Authority the day after the Council meeting. Where necessary liaison with the Planning Authority for an extension is made.				
Completed by:				Date:		Position:	
				No of Risks	1	No of risks scored:	1
						No of Action Plans:	0

Your Duty = Power to provide

Assessment year: 2022

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

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

Risk /			Control	LOW = 1 Medium = 2 and High = 3	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required	
ID	Hazard	/ Requirement							
Administration/Legal					Annually	Low	Medium	2	
Inadequate maintenance of records				Responsibility: Clerk					

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
				Responsibility: Clerk			

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: Clerk

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

Physical

Personal Injury

Daily

Medium

Medium

4

Yes

Responsibility: Clerk

Action by: Clerk

Action by date: 31/03/2023

Action plan: Weekly Inspections

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: 1

Your Duty = Power to provide

Assessment year: 2022

Act = s 133 Local Government Act 1972

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

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

Financial

Inadequate budget provision

AnnuallyLowLow1

Responsibility: Clerk

345To ensure proper financial provision.Ensure requirements included in annual budget process.

Physical

Fire

AnnuallyMediumMedium4Yes

Responsibility: Clerk

Action by: Clerk

Action by date: 31/03/2023

Action plan: Fire evacuation procedure required for upper meeting room. Councillors and officers to be trained in use of the evac equipment. Peninsula may be required to

353To 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

N/A

N/A

0

*Responsibility:*

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

Medium

2

*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.

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: 1

Your Duty = Power to provide 'free resource'

Assessment year: 2022

Act = s 137 Local Government Act 1972

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

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

Financial

Inadequate budget provision

AnnuallyLowHigh3

Responsibility: Clerk

346To ensure proper financial provisionEnsure service requirement is included in annual budgetary process.

Technical

Failure of Website/Internet Providers

WeeklyLowMedium2

Responsibility: Clerk

28To 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 Risks2

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: 2022

Act =

Local Government Act 1972 s 133

Scoring note:

Low = 1

Medium = 2

and High = 3

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

Administration/Legal

Absence of service level agreements

Annually

Medium

Medium

4

Yes

Responsibility: Clerk

Action by: Clerk

Action by date: 31/03/2023

Action plan: SLA for building users

Ensure that all service level agreements are fully completed and operational.

Monitor performance to ensure conditions met.

Review conditions periodically.

Administration/Legal

Failure to complete user agreements

Annually

Medium

Low

2

Responsibility: Clerk

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.

**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

Low

Medium

2

*Responsibility: Clerk*

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: 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: Clerk**Action by: Clerk**Action by date: 25/03/2020**Action plan: System in place for payments*

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

Low

1

*Responsibility: Clerk*

110 To ensure annual review of all charges.

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

**Financial**

Inadequate budget provision

Annually

Low

Low

1

*Responsibility: Clerk*

109 To provide for budgetary review of service.

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

**Physical**

Fire

Quarterly

N/A

N/A

0

*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

N/A

N/A

0

*Responsibility: Clerk*

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

## Maintenance of buildings

Annually

Medium

Medium

4

Yes

*Responsibility: Clerk**Action by: Clerk**Action by date: 31/03/2023**Action plan: Maintenance Plan to be drawn up.*

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

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

Medium

Medium

4

Yes

*Responsibility: Clerk**Action by: Clerk**Action by date: 31/03/2023**Action plan: Speak to Crime Prevention Officer*

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: 16**No of Action Plans: 3*

Your Duty = Power to provide

Assessment year: 2022

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
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Administration/Legal

Provision of inadequate standard of seating.

AnnuallyMediumLow2

Responsibility: Clerk

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.

Environmental

Vandalism

AnnuallyMediumMedium4Yes

Responsibility: Clerk

Action by: Clerk

Action by date: 31/03/2023

Action plan: Inspection Sheets

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.

**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: Clerk*

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: Clerk

- 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      Low      1

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:    1



Your Duty = Power to light roads and public places

Assessment year: 2022

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

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

Administration/Legal

Contracts with service providers

AnnuallyLowMedium2

Responsibility:

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

AnnuallyLowLow1

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:

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      Low      1

Responsibility:

To minimize associated risk.

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

## Environmental

### Vandalism

- 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.

Annually

Low

Medium

2

Responsibility:

Action by: Clerk

Action by date: 30/06/2020

Action plan: Inspection Sheets

## Financial

### Inadequate budget provision

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

Annually

Low

Medium

2

Responsibility:

<b>Physical</b>		Annually		Low	Medium	2
Maintenance		Responsibility:				
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.				

<b>Physical</b>		Annually		Medium	High	6	Yes
Security of inspection plates etc.		Responsibility: Clerk					
		Action by: Clerk					
		Action by date: 31/03/2023					
		Action plan: Need for regular inspections					
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: 8

No of Action Plans: 1

Your Duty = Power to encourage tourism to the councils area

Assessment year: 2022

Act = Local Government Act 1972, s 144

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

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

Financial

Inappropriate funding applications

AnnuallyLowLow1

Responsibility: Clerk

355To ensure integrity of funding.

Determine procedures for dealing with grant/loan applications.  
Ensure that any conditions are adhered to.  
Carry out regular monitoring and review.

Physical

Inadequate budget provision

AnnuallyLowLow1

Responsibility: Clerk

59To ensure proper financial provision.

Ensure that service requirement is included in annual budget process.

Your Duty =

Right to be notified of planning applications

Assessment year: 2022

Act =

Town and Country Planning Act 1990 s 1 (p8)

Scoring note:

Low = 1

Medium = 2

and High = 3

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

Administration/Legal

Failure to meet consultation deadlines.

Annually

Low

Medium

2

Responsibility: 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.
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Administration/Legal

Maintenance of register/records

Annually

Low

Medium

2

Responsibility: 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.
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Physical  
Security of records

Annually	Low	Medium	2
Responsibility: Clerk			

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
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Your Duty =

Power to erect (with Highway Authority approval)

Assessment year: 2022

Act =

s 3 Parish Council Act 1970

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

Risk /			Control	Low = 1 Medium = 2 and High = 3	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action require							
ID	Hazard	/ Requirement														
Administration/Legal																
Failure to obtain necessary approval.													As and when	Low	Low	1
													Responsibility: Clerk			
256	Determine responsibility for administration. Ensure that appropriate applications are submitted to Highway Authority.															

Financial

<b>Financial</b>		Annually	Low	Low	1
Inadequate budget provision		Responsibility: Clerk			
358	To ensure proper financial provision.	Ensure service requirement included in annual budget.			



Physical  
Inadequate maintenance.

Quarterly      Low      Medium      2

Responsibility: Clerk

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

Physical  
Vandalism

Monthly      Low      Low      1

Responsibility: Clerk

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:    4      No of Action Plans:    0

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

Assessment year: 2022

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 / Hazard / Requirement			Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Physical				Annually	Low	Medium	2
Inadequate budget provision				Responsibility: Clerk			
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				Annually	Low	Medium	2
Inadequate maintenance.				Responsibility: Clerk			
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.				

Responsility: Clerk

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
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Your Duty = Power for councils to have their own websites

Assessment year: 2022

Act = Local Government Act 1972, s 142

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

Risk /			Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required	
ID	Hazard	/ Requirement						
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.					
Administration/Legal								
Compromise of copyright by inclusion of website links or frames.				Annually	Low	Low	1	
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 Low 1

Responsibility: Clerk

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: Clerk

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

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 all website activity and are up to date with current site status.  
Provide training where necessary to minimise risk.

*Responsibility: Clerk**Action by: Clerk**Action by date: 30/06/2020**Action plan: Employ an Assistant Clerk to undertake duties including Web Site***Administration/Legal**

Insurance

Low

Medium

2

373

To protect council.

Ensure that appropriate insurance cover is held by Council.

*Responsibility: Clerk*

**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****Low****1***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

Medium

2

*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

N/A

0

*Responsibility: Clerk*

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

Low

1

*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:    19      No of Action Plans:    0