

Your Duty = Power to Provide

Assessment year: 2020

Act = s 26/28/29 Local Government and Rating Act 1997

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					
Agreement with service provider.					
260	To ensure that a proper service level agreement is in place with provider.	Ensure that a signed Purchase Order is in place as a prerequisite to service provision - PO1366 dated 3 March 2015 refers.	Annually	Low	Low 1
Responsibility:					
Administration/Legal					
Provision of adequate insurance cover.					
261	To ensure that the position of the council is fully protected.	Ensure that the Council holds appropriate insurance cover for mandatory and other insurance risks. Ensure that agreed cover is held by service providers through the physical inspection of insurance documentation. Ensure that insurance is subject to annual review.	Annually	Low	Medium 2
Responsibility:					

Financial

Control of tokens.

Annually

N/A

N/A

0

Responsibility:

259 Ensure proper security of tokens.

Define responsibility for security of tokens.
Carry out regular stock checks and reconcile to stock records.
Ensure proper system in place for distribution of tokens.

Financial

Cost control - subsidy level.

Annually

N/A

N/A

0

Responsibility:

257 To ensure that the Council receives value for money.

Ensure that an agreement is in place with service providers for review.
Ensure that review is properly carried out in accordance with agreed procedure

Financial

Fare levels.

Annually

N/A

N/A

0

Responsibility:

258 To ensure that charges are appropriate for service. Carry out periodic review of charges in conjunction with service provider and in accordance with service level agreement.

Physical

Failure of service.

Annually

Low

Low

1

Responsibility:

256 To ensure continuity of service provision. Ensure that agreement with service providers properly completed as a prerequisite of service provision.
Enforce conditions of agreement where necessary.
Maintain regular liaison with service provider.

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

No of Risks 6

No of risks scored: 6

No of Action Plans: 0

Your Duty = Power to provide and maintain shelters

Assessment year: 2020

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

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

<i>Risk /</i> ID	<i>Hazard</i> / Requirement	Control	<i>Review timing & Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
Administration/Legal						
Absence of Highway Authority Licence.						
268	To ensure that the authority has all necessary licences.	Maintain register of licence requirements. Carry out periodical review.	Annually	Low	Low	1
<i>Responsibility:</i>						
Administration/Legal						
Provision of adequate insurance cover.						
267	To ensure that the Council has adequate insurance cover.	Bus shelters covered in overall Council Insurance Policy. Inspect shelters periodically for damage or safety risks prejudicial to public safety	Annually	Low	Medium	2
<i>Responsibility:</i>						

Environmental

Cleaning of Bus Shelters.

Weekly

Low

Low

1

Responsibility:

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:

263 To maintain high standards and reputation of the Council.

Ensure that design of all shelters is in keeping with architectural values of the Council.
 Ensure that shelters are properly sited.

Environmental

Vandalism.

Weekly

Low

Low

1

Responsibility:

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

Arrange regular monitoring of sites.
 Liaise with local enforcement agencies / PCSOs.
 Instigate appropriate action against offenders -police function.

Financial

Failure to collect all Advertising Income.

Annually

N/A

N/A

0

Responsibility:

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.

Physical

Maintenance of Bus Shelters.

Quarterly

Low

Low

1

Responsibility:

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

Completed by:

Date:

Position:

No of Risks 7

No of risks scored: 7

No of Action Plans: 0

Your Duty = Duty to adopt a code of conduct

Assessment year: 2020

Act = p 3 Local Government Act 2000

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

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal						
	Failure to maintain / update Register of Interests/Gifts		Quarterly	Low	Medium	2
30	To maintain records of members Declaration of Interest	<p>All Council members are aware of their statutory responsibilities. Every Council member is issued with information for new Councillors together with a copy of the Council's Standing Orders and Financial Regulations upon signing their Declaration of Acceptance of Office.</p> <p>Register of Members' Interests maintained. Councillors are reminded on a six monthly basis of the need to review their Register of Members' Interests to ensure it is accurate and up to date.</p> <p>Chairman asks for interests to be declared at each meeting. Councillors declaring an interest at a meeting are required to complete a 'Members Declaration of Interest' form, which is kept by the Clerk.</p> <p>Register of gifts and hospitality book maintained.</p>	Responsibility:			

Completed by:

Date:

Position:

No of Risks 1

No of risks scored: 1

No of Action Plans: 0

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

Assessment year: 2020

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

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

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

Agreements with users not in place.

Annually N/A N/A 0

Responsibility:

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

Provision of adequate insurance cover.

Annually Low Medium 2

Responsibility:

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

Dog fouling.

Annually

Low

Low

1

Responsibility:

245 To minimize the health hazard associated with dog fouling.

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

Environmental

Grass cutting/mowing/hay.

Annually

Low

Low

1

Responsibility:

241 To ensure proper control of common land resources.

Ensure that grass cutting/ sale of hay is subject to tender bids - meadow grass cutting currently undertaken by TRDC.
Enforce conditions of contract.
Inspect contractor's insurance documentation.

Environmental

Overgrazing.

Annually

N/A

N/A

0

Responsibility:

242 To minimize the risk associated with overgrazing.

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

Environmental

Vandalism.

Monthly

Low

Low

1

Responsibility:

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

Arrange regular inspection.
Review security arrangements.
Maintain liaison with enforcement agency / PCSOs
Instigate legal action against perpetrators where possible - TRDC / Police Function

Environmental

Weed control.

Annually

Low

Low

1

Responsibility:

243 To limit weed growth.

Ensure that weed control is carried out annually as planned.
 Arrange physical inspection of area(s) and report on effectiveness.
 Ensure proper control of hazardous substances.
 Monitor Ragwort to ensure that it does not come within 100m of grazing animals.

Financial

Failure to collect charges.

Annually

N/A

N/A

0

Responsibility:

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

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

Financial

Failure to review charges.

Annually

N/A

N/A

0

Responsibility:

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

Physical

Dumping of Rubbish/Hazardous waste.

Annually

Medium

Low

2

Responsibility:

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 - TRDC function.

Physical

Inadequate maintenance of fences and boundaries.

Annually

Low

Low

1

Responsibility:

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.
Arrange for periodical inspection and report.

Physical

Inadequate maintenance of footpaths & bridle paths.

Annually

Low

Medium

2

Responsibility:

236

To ensure proper maintenance and minimise risk.

Define responsibility for and ensure maintenance is carried out in accordance with planned programme (see Rangers Work Schedule) and P3 agreement with Herts County Council.
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

N/A

N/A

0

Responsibility:

237 To ensure that all signs are properly maintained.

TRDC function.

Physical

Inadequate maintenance of trees & hedges.

Annually

Low

Low

1

Responsibility:

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

High

3

Responsibility:

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

N/A

N/A

0

Responsibility:

238 To ensure adequate standards of drainage are maintained. TRDC function

Physical

Uncontrolled/unauthorised usage.

<i>Annually</i>	N/A	N/A	0
<i>Responsibility:</i>			

239 To minimise risk arising from uncontrolled use. TRDC / Police function

Completed by:

Date:

Position:

No of Risks **17**

No of risks scored: **17**

No of Action Plans: **0**

Your Duty = Power to facilitate discharge of any function

Assessment year: 2020

Act = s 111 Local Government Act 1972

Scoring note:

Low = 1
Medium = 2
and High = 3

<i>Risk / ID</i>	<i>Hazard / Requirement</i>	<i>Control</i>	<i>Review timing & Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
Physical						
	Loss arising from theft/misappropriation.		Annually	Low	High	3
Responsibility:						
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.		Annually	Low	Medium	2
Responsibility:						
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:

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: 0

Your Duty = Power to meet

Assessment year: 2020

Act = Local Government Act 1972

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

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required	
Administration/Legal						
Access.						
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 HR & Compliance committee and any other confidential business. 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 if possible. Time should be allocated for public questions and comments.	Annually	Low	Low	1
Responsibility:						
Administration/Legal						
Failure to meet statutory duty.						
217	To meet all statutory requirements and maintain effective administration.	All meetings comply with LGA 1972. Clerk is CiLCA qualified. 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/Administrative Officer 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		Low	Medium	2
Responsibility:						

Physical

Personal Injury.

Annually

Low

Low

1

Responsibility:

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

Low

1

Responsibility:

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.

 Annual service for office alarm system to be undertaken.

Completed by:

Date:

Position:

No of Risks 4

No of risks scored: 4

No of Action Plans: 0

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

Assessment year: 2020

Act = Freedom of Information Act 2000

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

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

Physical

Loss of assets.

Annually

Low

Medium

2

Responsibility:

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:

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

0

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

Assessment year: 2020

Act = Data Protection Act 1998

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

<i>Risk /</i> ID	<i>Hazard / Requirement</i>	<i>Control</i>	<i>Review timing & Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
Administration/Legal						
Breach of confidentiality.						
29	To ensure that statutory requirements are met.	That the Council is registered as a Data Controller with the Information Commissioners Office. That the Council has a Data Protection Policy. All Council Officers undertake training when they commence employment and periodically afterwards. All Councillors are aware of their obligation under Data Protection and undergo ad hoc training.	Daily	Low	Medium	2
<i>Responsibility:</i>						

Completed by:

Date:

Position:

No of Risks 1

No of risks scored: 1

No of Action Plans: 0

Your Duty = Duty to Appoint

Assessment year: 2020

Act = s 112 Local Government Act 1972

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

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal					
	Failure to comply with Employment Law.	Annually	Low	High	3
Responsibility:					
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.			
Financial					
	Overpayment or underpayment of salaries and expenses.	Monthly	Low	Medium	2
Responsibility:					
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

High

3

Responsibility:

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

High

3

Responsibility:

17 To improve recruitment.

Recruitment policy reviewed when the need arises to recruit staff.

Professional

Inability to retain staff.

Annually

Low

Medium

2

Responsibility:

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.

Annually

Low

Low

1

Responsibility:

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:

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, H
 APTC etc.
 Staff encouraged to network with other Clerks in the area.
 Appropriate training records maintained.

Professional

Loss of key staff.

Quarterly

Low

High

3

Responsibility:

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 0
Plans:

Your Duty = Duty to ensure responsibility for financial affairs

Assessment year: 2020

Act = s 151 LGA 1972

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

<i>Risk /</i> ID	<i>Hazard / Requirement</i>	<i>Control</i>	<i>Review timing & Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
Administration/Legal						
	Failure to comply with Customs & Excise regulations.		Quarterly	Low	Low	1
			<i>Responsibility:</i>			
40	Efficient financial administration.	VAT properly administered, with returns being made on a quarterly basis. Refer to guidance from HMRC where necessary. Ensure that all input tax and output tax is properly recorded. Complete and submit VAT claims promptly and on time. All claims reconciled to cashbook.				
<hr/>						
Administration/Legal						
	Failure to comply with Inland Revenue regulations.		Quarterly	Low	Low	1
			<i>Responsibility:</i>			
39	Efficient financial administration.	Maintenance of comprehensive records of all calculations of income tax, national insurance deducted from pay. Ensure that regular returns to Inland Revenue; prepared by the Clerk or responsible financial officer; checked by the Assistant Clerk Arrange prompt payment of all sums due.				
<hr/>						

Administration/Legal

Failure to maintain record of council assets.

Annually

Low

Low

1

Responsibility:

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

Low

Low

1

Responsibility:

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

Low

1

Responsibility:

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.
 The Clerk ensures that no alternative statutory authority is available.

Financial

Failure to keep proper financial records.

Monthly

Low

Medium

2

Responsibility:

35

Clerk is appointed Responsible Financial Officer and Proper Officer.
 Standing Orders and Financial Regulations are in place and reviewed as a minimum annually.

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 bi-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:

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:

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:

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

Financial

Poor Financial Management

Annually

Low

Medium

2

Responsibility:

- 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

Low

1

Responsibility:

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: 0

Your Duty = Power to accept gifts

Assessment year: 2020

Act = Local Government Act 1972, s 139

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

<i>Risk /</i> <i>ID Hazard / Requirement</i>	<i>Control</i>	<i>Review timing & Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
Administration/Legal Failure to notify/record gifts.		Annually	Low	Low	1
314 To protect interest of council and members.	Ensure that all staff/members are aware of responsibilities. Maintain gift register.	Responsibility:			

Completed by:

Date:

Position:

No of Risks 1

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: 2020

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

Administration/Legal Maintenance of Asset Register			Annually	Low	Low	1
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 an annual basis and cross referenced with the insurance schedule. All items valued at over £100 are included.	Responsibility:			

Environmental

Failure to comply within consultation deadline.

Annually

Low

Low

1

Responsibility:

784 To meet consultation timetable.

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

Environmental

Fly tipping

Annually

Medium

Low

2

Responsibility:

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

Low

1

Responsibility:

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.

See grounds maintenance works schedules.

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

Low

Medium

2

Responsibility:

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

N/A

N/A

0

Responsibility:

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

N/A

N/A

0

Responsibility:

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:

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:

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

Low

1

Responsibility:

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

High

3

Responsibility:

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:

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:

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.

Arrangements set up jointly with other local Parish Councils for use of Watford bases solicitors (Penamn Sedgwick) to initiate legal proceedings.

Completed by:

Date:

Position:

No of Risks 14

No of risks scored: 14

No of Action Plans: 0

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

Assessment year: 2020

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

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

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal					
	Inefficient service provision	Monthly	Low	Low	1
		Responsibility:			
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.			
<hr/>					
Environmental					
	Inappropriate location of litter bins	Annually	Low	Low	1
		Responsibility:			
3	To determine location for best use.	Define Council policy and plan for location of bins. Carry out periodical review.			

Environmental

Unauthorised Fly posting/nuisance.

Annually

Low

Low

1

Responsibility:

5

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

Environmental

Vandalism/theft/damage

Annually

Low

Low

1

Responsibility:

4

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

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

Financial

Inadequate budget provision

Annually

Low

Low

1

Responsibility:

339 To ensure adequate funding.

Ensure that service requirements are included in budgetary process.

Financial

Inadequate insurance cover

Annually

Low

Low

1

Responsibility:

6 To ensure that the council has proper insurance protection.

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

Physical

Failure to empty

Monthly

Low

Medium

2

Responsibility:

2

To maintain high standard of service provision.

Define responsibility for clearing bins.

Implement effective programme.

Ensure appropriate plans in place for emergency/overflow situation.

Completed by:

Date:

Position:

No of Risks 7

No of risks scored: 7

No of Action Plans: 0

Your Duty = Duty to meet

Assessment year: 2020

Act = s 12 Local Government Act 1972

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

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal						
Disability & Discrimination Act						
360	Ensure that provisions of the act are met.	<p>Ensure that all conditions of the Act as they affect service provision are met. Allocate responsibility to ensure that standards/ongoing requirements are met.</p> <p>Carry out periodical review of service.</p>	Annually	Low	Low	1
Responsibility:						
Administration/Legal						
Failure to comply with new Regulations /Legislation						
33	All Meetings open to everyone.	<p>Clerk to keep up to date with changing regulations/legislation and undertake training as required.</p> <p>Council to ensure membership of appropriate local/national associations is maintained.</p> <p>Council to continue to subscribe to appropriate publications.</p> <p>Encourage staff networking.</p> <p>Clerk to undertake CPD and training as and when required/appropriate.</p> <p>Poster is displaying regarding the recording of meetings.</p>	Monthly	Low	Low	1
Responsibility:						

Administration/Legal

Failure to meet statutory duty on meetings

Monthly

Low

Low

1

Responsibility:

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:

32 Proper recording of council minutes.

Ensure proper, timely and accurate recording of Council business in the minutes.

All minutes comply with the requirements of LGA 1972.
Resolutions clearly identifiable. Accurate minute numbering, signed and paginated.
Maintain security of master copy.

Administration/Legal

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

Annually

Low

Medium

2

Responsibility:

34

All Meetings open to everyone.

Ensure members and staff are aware of Electors' Rights.

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: 5

No of Action Plans: 0

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

Assessment year: 2020

Act = Local Government Act 1972, s 142

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

<i>Risk /</i> ID	<i>Hazard</i> / Requirement	Control	<i>Review</i> timing & <i>Responsibility</i>	<i>Likelihood</i> of <i>occurrence</i>	<i>Impact</i> on <i>Council</i>	<i>Your</i> action <i>Score required</i>
Administration/Legal						
	Defamation		As and when	Low	Medium	2
130	To minimize associated risk.	All input is subject to careful check by Lead Councillor and Officers before going to print. Arrange for professional examination of any sensitive material. Ensure that adequate insurance cover is held.	<i>Responsibility:</i>			
<hr/>						
Administration/Legal						
	Failure to meet minimum requirement for quality status		Quarterly	Low	Low	1
132	To meet required standard.	Arrange testing/ assessment of input to ensure that requirement is met.	<i>Responsibility:</i>			

Administration/Legal

Failure to meet statutory obligation re non - political content

As and when

Low

Low

1

Responsibility:

131 To meet required standard.

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

Environmental

Failure to deliver and litter

Quarterly

Low

Low

1

Responsibility:

128 To minimise litter arising from newsletter distribution.

Test distribution arrangements.
Take appropriate action against offenders.

Financial

Failure to collect income from advertising etc

Annually

N/A

N/A

0

Responsibility:

129 To maximise income and minimize loss.

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

Financial

Inadequate budget provision

Annually

Low

Low

1

Responsibility:

341 To ensure review of service requirement.

Ensure that service requirements are included in budgetary process.

Physical

Non production of newsletter

Quarterly

Low

Low

1

Responsibility:

127

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

Completed by:

Date:

Position:

No of Risks 7

No of risks scored: 7

No of Action Plans: 0

Your Duty = Power to acquire land and maintain

Assessment year: 2020

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 / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal			Annually	Low	Medium	2
Absence of agreements with users, permits etc			Responsibility:			
126	To facilitate control of facilities.	Ensure that signed contracts/agreements/permits are in place where necessary. Maintain a register of users. Ensure contingency plan in place if Rangers are unavailable.				

Environmental			Weekly	Medium	Low	2
Fly tipping			Responsibility:			
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 - TRDC / Police function.				

Environmental

Pollution

As and when

Low

Low

1

Responsibility:

122

To minimize risk/complaint arising from pollution at council owned facilities.

Carry out regular site inspections.
Record all complaints received and ensure that they are investigated and prompt action taken where appropriate.
Liaise with local enforcement agencies.

Environmental

Vandalism

Monthly

Low

Low

1

Responsibility:

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:

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:

123 To ensure that all charges are reviewed annually.

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

Financial

Inadequate budget provision

Annually

Low

Medium

2

Responsibility:

125 To ensure proper financial provision.

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

Physical

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

Quarterly

Low

High

3

Responsibility:

779 To ensure that all staff have appropriate training.

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

Physical

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

Quarterly

Low

High

3

Responsibility:

780

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

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

Ensure that the correct, properly maintained equipment is available as appropriate.

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

Physical

Personal injury.

Annually

Low

High

3

Responsibility:

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:

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

Physical

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

Quarterly

Low

Medium

2

Responsibility:

- 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.

Physical

Stock control

Annually

Low

Low

1

Responsibility:

119 To minimize risk of loss.

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

Completed by:

Date:

Position:

No of Risks 13

No of risks scored: 13

No of Action Plans: 0

Your Duty = Rights of consultation

Assessment year: 2020

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

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

Review timing & Responsibility

Likelihood of occurrence

Impact on Council

Your action Score required

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

Failure to comply within consultation deadline

Annually

Low

Low

1

Responsibility:

54 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: 2020

Act = s 133 Local Government Act 1972

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

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Financial						
	Inadequate budget provision		Annually	Low	Low	1
345	To ensure proper financial provision.	Ensure requirements included in annual budget process.	Responsibility:			

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

Physical

Legionella bacteria in water supply

As and when

Low

High

3

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:

24 All office accommodation to be of a good standard

Periodical inspection of office conducted by Clerk.
Report any adverse conditions to Council/committee as appropriate
Arrange repair/maintenance.

Physical

Poor/Faulty Office Furniture

Monthly

Low

Low

1

Responsibility:

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

Low

1

Responsibility:

26

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

Completed by:

Date:

Position:

No of Risks 6

No of risks scored: 6

No of Action Plans: 0

Your Duty = Power to provide 'free resource'

Assessment year: 2020

Act = s 137 Local Government Act 1972

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

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Financial						
	Inadequate budget provision		Annually	Low	Low	1
346	To ensure proper financial provision	Ensure service requirement is included in annual budgetary process.	Responsibility:			

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

Completed by:

Date:

Position:

No of Risks 2

No of risks scored: 2

No of Action Plans: 0

Your Duty = Power to provide

Assessment year: 2020

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

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

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal						
	Provision of inadequate standard of seating.		Annually	Low	Low	1
	Responsibility:					
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		Annually	Low	Medium	2
	Responsibility:					
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

Low

1

Responsibility:

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:

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:

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:

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

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

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

No of Risks 6

No of risks scored: 6

No of Action Plans: 0

Your Duty = Power to encourage tourism to the councils area

Assessment year: 2020

Act = Local Government Act 1972, s 144

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

<i>Risk /</i> ID	<i>Hazard</i> / Requirement	<i>Control</i>	<i>Review</i> timing & <i>Responsibility</i>	<i>Likelihood</i> of <i>occurrence</i>	<i>Impact</i> on <i>Council</i>	<i>Your</i> action <i>Score</i> required
Financial						
	Inappropriate funding applications		Annually	Low	Low	1
			<i>Responsibility:</i>			
355	To 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		Annually	Low	Low	1
			<i>Responsibility:</i>			
59	To ensure proper financial provision.	Ensure that service requirement is included in annual budget process.				

Completed by:

Date:

Position:

No of Risks **2**

No of risks **2**
scored:

No of Action **0**
Plans:

Your Duty = Right to be notified of planning applications

Assessment year: 2020

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

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

ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal						
Failure to meet consultation deadlines.						
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.	Annually	Low	Low	1
Responsibility:						
Administration/Legal						
Maintenance of register/records						
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.	Annually	Low	Low	1
Responsibility:						

Physical

Security of records

Annually

Low

Low

1

Responsibility:

60 To safeguard planning records.

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

Completed by:

Date:

Position:

No of Risks 3

No of risks scored: 3

No of Action Plans: 0

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

Assessment year: 2020

Act = s 3 Parish Council Act 1970

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

<i>Risk /</i> ID	<i>Hazard / Requirement</i>	<i>Control</i>	<i>Review timing & Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
Administration/Legal						
	Failure to obtain necessary approval.		As and when	Low	Low	1
			<i>Responsibility:</i>			
356		Determine responsibility for administration. Ensure that appropriate applications are submitted to Highway Authority.				
Financial						
	Inadequate budget provision		Annually	Low	Low	1
			<i>Responsibility:</i>			
358	To ensure proper financial provision.	Ensure service requirement included in annual budget.				

Physical

Inadequate maintenance.

Quarterly

Low

Medium

2

Responsibility:

357

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

Physical

Vandalism

Monthly

Medium

Low

2

Responsibility:

58

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

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

Completed by:

Date:

Position:

No of Risks 4

No of risks scored: 4

No of Action Plans: 0

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

Assessment year: 2020

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

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

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Physical						
	Inadequate budget provision		Annually	Low	Low	1
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.	Responsibility:			

Physical						
	Inadequate maintenance.		Annually	Low	Low	1
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.	Responsibility:			

Physical

Vandalism

As and when

Low

Medium

2

Responsibility:

57

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

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

Completed by:

Date:

Position:

No of Risks 3

No of risks scored: 3

No of Action Plans: 0

Your Duty = Power for councils to have their own websites

Assessment year: 2020

Act = Local Government Act 1972, s 142

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

<i>Risk /</i> ID	<i>Hazard</i> / Requirement	Control	<i>Review</i> timing & <i>Responsibility</i>	<i>Likelihood</i> of <i>occurrence</i>	<i>Impact</i> on <i>Council</i>	<i>Your</i> action <i>Score required</i>
Administration/Legal						
Availability of Software tools to build and manage site						
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.	As and when	Low	Low	1
Responsibility:						
<hr/>						
Administration/Legal						
Compromise of copyright by inclusion of website links or frames.						
386	To minimise risk.	If website contains links to other sites ensure permission of destination website is prerequisite.	Annually	Low	Low	1
Responsibility:						

Administration/Legal

Confusion arising from links to external websites

Annually

Low

Low

1

Responsibility:

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

Low

1

Responsibility:

321 To maintain effective administration.

Councillors are asked for feedback on Council website.

Administration/Legal

Dependence upon an individual

Annually

Low

Low

1

Responsibility:

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.

Administration/Legal

Insurance

Low

Medium

2

Responsibility:

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

Administration/Legal

Lack of motivation for continued management of website.

Quarterly

Low

Low

1

Responsibility:

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:

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

Low

1

Responsibility:

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:

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:

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

Low

1

Responsibility:

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:

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:

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:

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

Low

1

Responsibility:

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

Low

1

Responsibility:

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

Low

1

Responsibility:

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

Medium

Low

2

Responsibility:

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