

Your Duty = Duty to adopt a code of conduct

Assessment year: 2019

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						
30	To maintain records of members Declarations of Interest	<p>All Council members are aware of their statutory responsibilities. Every Council member is issued with information for new Councillors together with a copy of the Council's Standing Orders and Financial Regulations upon signing their Declaration of Acceptance of Office.</p> <p>Register of Members' Interests maintained. Councillors are reminded on an annual 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>	Quarterly	Low	Medium	2
Responsibility: Clerk						

Completed by:

Date:

Position:

No of Risks 1

No of risks scored: 1

No of Action Plans: 0

Your Duty = Power to facilitate discharge of any function

Assessment year: 2019

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	Medium	2
			Responsibility: Clerk			
325	Maintain adequate security of site and equipment.	Access to laptop only available when Council staff are present. All computers are password protected. Security of site and equipment is maintained at all times. Clerk to keep laptop with them at all times when out.				
<hr/>						
Physical						
	Loss/damage arising from unauthorised use.		Annually	Low	Medium	2
			Responsibility: Clerk			
318	Maintain security of computer.	Access restricted through use of controlled passwords. Passwords are changed periodically. Maintain physical security of computer and site.				
<hr/>						

Technical

Crash of IT System.

Monthly

Low

Medium

2

Responsibility: Clerk

27 To minimise risk arising from breakdown of equipment. Council computer systems are backed up internally 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: 2019

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 Staffing committee. 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 is provided. Specific area should be set aside for press & public. Table set aside for press and public. Time is be allocated for public questions and comments.	Annually	Low	Low	1
Responsibility: Clerk						
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 & Level 4 Com Gov qualified. Council randomly checks its own internal controls as well as Internal Audit. 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 Town Hall or with the Clerk.		Low	Low	1
Responsibility: Clerk						

Physical

Personal Injury.

Annually

Low

Low

1

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

Low

1

Responsibility: Clerk

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

Completed by:

Date:

Position:

No of Risks 4

No of risks scored: 4

No of Action Plans: 0

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

Assessment year: 2019

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 required</i>
Financial						
Legal Liability as a result of Asset Ownership.						
44	Provision of adequate public liability insurance	Detailed asset register is maintained and reviewed annually. Adequate public liability insurance is in place. Separate legal liability and asset risk assessments are maintained by the Clerk.	Annually <i>Responsibility: Clerk</i>	Low	Low	1
Physical						
Loss / Damage to Civic Regalia.						
45	To safeguard council assets.	None held except for gavel	Monthly <i>Responsibility: Chairman</i>	Low	Low	1

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

Low

1

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 Clerk's office
 - 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 = Duty of Notification and Duty to Disclose (subject access)

Assessment year: 2019

Act = Data Protection Act 1998

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

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal					
Breach of confidentiality.					
29	To ensure that statutory requirements are met.	The Council is registered as a Data Controller with the Information Commissioners Office. The Council has a Data Protection Policy. The Council has a Data Protection Officer - NCALC 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
Responsibility: Clerk					

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: 2019

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	Low 1
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 policy in place. Training arranged as and when required including Clerks CPD.			
Financial					
	Overpayment or underpayment of salaries and expenses.		Monthly	Medium	Low 2
Responsibility:					
785	Ensure that all payments to staff are in accordance with employment contracts approved by the council.	Monthly payroll verified by 2 councillors Monthly employers payments to be verified by 2 councillors Cheques and electronic payments to be signed/verified by 2 councillors			

Professional

Attacks on Personnel.

Monthly

Low

Medium

2

Responsibility: Staffing Committee

22 To protect staff.

Ensure appropriate insurance cover held.
Ensure staff have telephone access at all times during their work.
Advise staff to take all relevant safe guides and precautions.
Regular lone worker training in place.
Appropriate insurance is maintained.

Professional

Inability to recruit.

As and when

Low

Low

1

Responsibility:

17 To improve recruitment.

Recruitment policy reviewed when the need arises to recruit staff.

Professional

Inability to retain staff.

Annually

Low

Low

1

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

Low

1

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, N
CALC etc.
Staff encouraged to network with other Clerks in the area via SLCC Northants
Branch training "over a cuppa".
Appropriate training records maintained.

Professional

Loss of key staff.

Quarterly

Low

Low

1

Responsibility:

19 To avoid problems arising from loss of key personnel. Ensure procedures for key functions documented.

Completed by:

Date:

Position:

No of Risks 8

No of risks scored: 8

No of Action Plans: 0

Your Duty = Duty to ensure responsibility for financial affairs

Assessment year: 2019

Act = s 151 LGA 1972

Scoring note:

Low = 1
Medium = 2
and High = 3

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

Administration/Legal

Failure to maintain record of council assets.

Annually

Low

Medium

2

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

Low

Low

1

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.

The Council does not have General Power of Competence.

Financial

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

Quarterly

Low

Low

1

Responsibility: Clerk

41

To ensure that expenditure is properly authorised and controlled.

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 RBS Alpha 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 before each meeting.
 NCALC 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 at each meeting.
 Year To Date budget sheets are also presented and approved by Council at each meeting 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 payments authorised by at least two authorised members.
 Signatories to endorse invoices and check payments against them
 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

Medium

2

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 at each meeting.

Financial

Loss of money through theft/misappropriation.

Quarterly

Low

Medium

2

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 monthly basis, with Council receiving a monthly reconciliation.
 Council presented with financial reports at each meeting.
 Council holds adequate fidelity guarantee insurance.

Financial

Poor Financial Management

Annually

Low

Low

1

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

Low

1

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: 0

Your Duty = Duty to comply with the regulations.

Assessment year: 2019

Act = Data Protection Act 2018

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 in complying with special protection for children.		Annually	Low	Low	1
	Responsibility: Clerk					
848	To have procedures and processes in place defining how to deal with special protection of data for children under the age of 13.	There is special protection for the personal data of a child. The age when a child can give their own consent is 13. If the Council requires consent from young people under 13, the Council must obtain a parent or guardian's consent in order to process the personal data lawfully. Consent forms for children aged 13 plus must be written in language that they will understand.				
	Comments: Not known so far - unlikely					
Administration/Legal						
	Failure in updating the Clerks/RFO job description.		Annually	Low	Low	1
	Responsibility: Clerk					
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 NCALC 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.				
	Comments: NCALC are the DPO not the clerk					

Administration/Legal

Failure to appoint a Data Protection Officer (DPO).

Annually

Low

Low

1

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 NCALC 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

Low

1

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.
- The council is registered with the ICO

Administration/Legal

Failure to display of a Privacy notice.

Annually

Low

Low

1

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

Comments: On Website reviewed 16.12.19

Administration/Legal

Failure to have a GDPR document.

Annually

Low

Low

1

Responsibility: Clerk

855 To have a GDPR document. The Council/DPO is required to produce a GDPR policy document, on website. 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

Low

1

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

Comments: On Website reviewed 16.12.19

Administration/Legal

Failure to have a privacy notice review process.

Annually

Low

Low

1

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

Comments: On Website reviewed 16.12.19

Administration/Legal

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

Annually

Low

Low

1

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

Low

1

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.

Comments: Viewed on line 15.1.2020

Administration/Legal

Failure to have consent of data owners.

Annually

Low

Low

1

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

Low

1

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

Low

1

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 of the data map should be minuted.

Administration/Legal

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

Annually

Low

Low

1

Responsibility: Clerk

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

Administration/Legal

Inability to correct data errors.

Annually

Low

Low

1

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

Low

1

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

Low

1

Responsibility: Clerk

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

Administration/Legal

Non compliance of Council members and contractors.

Annually

Low

Low

1

Responsibility: Clerk

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

Administration/Legal

Non compliance of Council to manage the process.

Annually

Low

Low

1

Responsibility: Clerk

854 That the Council manage the GDPR process.

The Council is the data controller and NCALC is the Data Protection Officer (DPO). It is the DPO's duty to undertake an information audit and to manage the information collected by the Council. The DPO must undertake an information audit which details the personal data held, where it came from, the purpose for holding that information and with whom the Council will share that information.

This will include information held electronically or as a hard copy. Information held could change from year to year with different activities, and so the information audit should be reviewed at least annually or when the conducted ahead of the review of this policy and the reviews should be minuted.

Administration/Legal

Non display of this policy on the Councils web site.

Annually

Low

Low

1

Responsibility: Clerk

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

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

Administration/Legal

Non identification of how long the data held.

Annually

Low

Low

1

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

Administration/Legal

Non identification of security and controls of data held.

Annually

Low

Low

1

Responsibility:

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

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

Administration/Legal

Non identification of who holds and can access the data

Annually

Low

Low

1

Responsibility: Clerk

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

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

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

Assessment year: 2019

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

Environmental

Failure to comply within consultation deadline.

Annually

Low

Low

1

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

Low

Medium

2

Responsibility: Clerk

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.

Comments: Liaise with relevant authorities to get removed
Keep fences & gates secure

Environmental

Maintenance of land including grass cutting

Annually

Low

Low

1

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.

Comments: Maintenance contract reviewed annually

Environmental

Vandalism

Annually

Low

Medium

2

Responsibility: Clerk

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.

To consider CCTV in high risk areas.

Comments: Liaise with relevant authorities
Remove with urgency
Checking part of the usual weekly checks

Financial

Failure to collect income

Annually

Low

Low

1

Responsibility: Clerk

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.

*Comments: Ensure diarised payments made in a timely fashion***Financial**

Failure to review rents and other charges

Annually

Low

Low

1

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.

Comments: Annual review conducted in accordance with leases

Financial

Inadequate budget provision

Annually

Low

Low

1

Responsibility: Clerk

159 To ensure proper budget provision.

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

*Comments: Reviewed annually***Physical**

Maintenance of fences, hedges, gates, footpaths etc.

Annually

Low

Low

1

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.

*Comments: maintenance contract in place
weekly inspections in place*

Physical

Maintenance of furniture

Monthly

Low

Low

1

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 place.

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

*Comments: Weekly inspections and annual inspections***Physical**

Public/Personal Injury

Annually

Low

Low

1

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

Low

1

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.

*Comments: Contractors equipment own responsibility***Physical**

Unauthorised access/trespass

Annually

Low

Low

1

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: Fences and entrances checked regularly***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: 2019

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

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						
	Inefficient service provision		Monthly	Low	Low	1
7	To employ trained/experienced personnel.	Contractors employed and weekly checks	<i>Responsibility:</i>			
			<i>Comments: Responility of</i>			
Environmental						
	Inappropriate location of litter bins		Annually	Low	Low	1
3	To determine location for best use.	Define Council policy and plan for location of bins. Carry out periodical review.	<i>Responsibility: Clerk</i>			

Environmental

Unauthorised Fly posting/nuisance.

Annually

Low

Low

1

Responsibility: Clerk

5

WBC responsibility

Comments: Part of routine checks

Environmental

Vandalism/theft/damage

Annually

Low

Medium

2

Responsibility: Clerk

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.
To consider CCTV in high risk areas

Financial

Inadequate budget provision

Annually

Low

Low

1

Responsibility: Clerk

339 To ensure adequate funding.

Ensure that service requirements are included in budgetary process.

Financial

Inadequate insurance cover

Annually

Low

Low

1

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

Monthly

Low

Low

1

Responsibility: Clerk

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.

Comments: WBC/contracts - weekly checks

Completed by:

Date:

Position:

No of Risks 7

No of risks 7
scored:

No of Action
Plans: 0

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

Assessment year: 2019

Act = Not applicable

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

Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
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Risk / ID Hazard / Requirement	Control	Low	Low	1
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Administration/Legal

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.
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Comments: Local Functions Risk Assessed on an ad hoc basis for insurance purposes

Completed by:	Date:	Position:	No of Risks 1	No of risks scored: 1	No of Action Plans: 0
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Your Duty = Duty to meet

Assessment year: 2019

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.	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.	Annually	Low	Low 1
Responsibility: Clerk					
Administration/Legal					
Failure to comply with new Regulations /Legislation					
33	All Meetings open to everyone.	Clerk to keep up to date with changing regulations/legislation and undertake training as required. Council to ensure membership of appropriate local/national associations is maintained. Council to continue to subscribe to appropriate publications. Encourage staff networking. Clerk to undertake CPD and training as and when required/appropriate. Poster is displaying regarding the recording of meetings.	Monthly	Low	Low 1
Responsibility: Clerk					
Comments: Regular training undertaken					

Administration/Legal

Failure to meet statutory duty on meetings

Monthly

Low

Low

1

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 is CiLCA qualified.

Administration/Legal

Failure to report Council business in Minutes

Quarterly

Low

Low

1

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.

Administration/Legal

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

Annually

Low

Low

1

Responsibility: Councillor

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: 5

No of Action Plans: 0

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

Assessment year: 2019

Act = Local Government Act 1972, s 142

Scoring note:

Low = 1
Medium = 2
and High = 3

<i>Risk / ID</i>	<i>Hazard / Requirement</i>	<i>Control</i>	<i>Review timing & Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
Administration/Legal						
Defamation						
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.	As and when	Low	Low	1
			Responsibility: Clerk			
Administration/Legal						
Failure to meet minimum requirement for quality status						
132	To meet required standard.	Arrange testing/ assessment of input to ensure that requirement is met. Council puts a piece in Church newsletter monthly	Quarterly	Low	Low	1
			Responsibility: Clerk			

Administration/Legal

Failure to meet statutory obligation re non - political content

As and when

Low

Low

1

Responsibility: Clerk

131 To meet required standard.

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

Environmental

Failure to deliver and litter

Quarterly

Low

Low

1

Responsibility: Clerk

128 To minimise litter arising from newsletter distribution.

Test distribution arrangements.
Take appropriate action against offenders.

Financial

Failure to collect income from advertising etc

Annually

Low

Low

1

Responsibility: Clerk

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: Clerk

341 To ensure review of service requirement.

Ensure that service requirements are included in budgetary process.

Physical

Non production of newsletter

Quarterly

Low

Low

1

Responsibility: Clerk

127

Clerk responsible for ensuring all publication deadlines are met.

Completed by:

Date:

Position:

No of Risks 7

No of risks scored: 7

No of Action Plans: 0

Your Duty = Power to deal with offensive ditches

Assessment year: 2019

Act = Public Health Act 1936, s 260
Public Health Act 1875, s 164

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

Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
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Risk / ID	Hazard / Requirement	Control	<i>Annually</i>	<i>Low</i>	<i>Low</i>	<i>1</i>
Environmental						
Matters prejudicial to health						
<i>Responsibility: Clerk</i>						
342	To minimize risk.	Define policy for dealing with nuisance. Advise WBC				

Completed by:

Date:

Position:

No of Risks **1**

No of risks scored: **1**

No of Action Plans: **0**

Your Duty = Power to acquire land and maintain

Assessment year: 2019

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					
Absence of agreements with users, permits etc					
126	To facilitate control of facilities.	Annually	Low	Low	1
Responsibility: Clerk					
	Ensure that signed contracts/agreements/permits are in place where necessary. Maintain a register of users.				

Environmental					
Fly tipping					
121	To minimise the impact of fly tipping and associated health/safety risk.	Weekly	Low	Medium	2
Responsibility: Clerk					
	Carry out regular site inspections. Arrange for safe disposal facility. Ensure any hazardous substances are properly dealt with. Maintain liaison with local enforcement agencies. Enforce regulations/bye-laws as appropriate.				

Environmental

Pollution

As and when

Low

Low

1

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

Low

Medium

2

Responsibility: Clerk

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

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 and in accordance with leases

Financial

Inadequate budget provision

Annually

Low

Low

1

Responsibility: Clerk

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

Low

1

Responsibility: Clerk

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

Low

1

Responsibility: Clerk

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

Low

1

Responsibility: Clerk

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

Low

1

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

Low

Low

1

Responsibility: Clerk

- 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

Medium

2

Responsibility: Clerk

119 To minimize risk of loss.

None held

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: 2019

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

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: Clerk

54	To meet consultation timetable.	Planning applications are considered at full Council meetings or the planning committee depending on timing 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.			
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Completed by:

Date:

Position:

No of Risks 1

No of risks 1
scored:

No of Action 0
Plans:

Your Duty = Power to provide

Assessment year: 2019

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

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						
	Inadequate maintenance of records		Annually	Low	Low	1
<i>Responsibility: Clerk</i>						
324	To maintain a register of complaints/injuries and action taken.	To ensure that proper records of all complaints/injuries are maintained.				

Financial						
	Inadequate budget provision		Annually	Low	Low	1
<i>Responsibility: Clerk</i>						
344	To ensure proper financial provision.	Ensure that service requirements are detailed in annual budget process.				

Financial

Inadequate insurance cover

Annually

Low

Low

1

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

Low

Low

1

Responsibility: Clerk

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.

Physical

Vandalism

Annually

Low

Medium

2

Responsibility: Clerk

1135 To ensure the equipment remains safe

Weekly checks conducted
To consider CCTV in high risk areas

Comments: Play area and equipment checked weekly.

Completed by:

Date:

Position:

No of Risks 5

No of risks scored: 5

No of Action Plans: 0

Your Duty = Power to provide 'free resource'

Assessment year: 2019

Act = s 137 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>
Financial						
	Inadequate budget provision		Annually	Low	Low	1
<i>Responsibility: Clerk</i>						
346	To ensure proper financial provision	Ensure requirement is included in annual budgetary process.				
<hr/>						
Technical						
	Failure of Website/Internet Providers		Weekly	Low	Low	1
<i>Responsibility: Clerk</i>						
28	To maintain high standard of service provision.	Ensure a backup copy of data is maintained. Liaise with provider to ensure early reinstatement of service.				

Completed by:

Date:

Position:

No of Risks 2

No of risks scored: 2

No of Action Plans: 0

Your Duty = Power to provide

Assessment year: 2019

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

Scoring note:

Low = 1
Medium = 2
and High = 3

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal					
Provision of inadequate standard of seating.					
372	To minimise risk arising from provision.	Annually	Low	Low	1
		Responsibility: Clerk			
	Carry out annual inspection of all seating included on asset register Ensure secure installation as required				

Environmental

Vandalism

370	To minimise the risk of loss/damage/injury arising from vandalism. To minimise risk arising from anti-social behaviour.	Annually	Low	Low	1
		Responsibility: Clerk			
	Maintain liaison with enforcement agencies. The Council should instigate legal action against perpetrators where appropriate. To consider CCTV in high risk areas				

Physical

Fire

Annually

Low

Low

1

Responsibility: Clerk

351 To safeguard against fire risk.

Ensure Health/Safety testing complete on installation
Provide for strict security/control of combustible materials held by Council.
Ensure appropriate signage in place.
Ensure appropriate regulations/controls adhered to.

Physical

Injury or damage arising from use.

Annually

Low

Low

1

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

Low

1

Responsibility: Clerk

371 To minimise risk arising.

Arrange regular inspection
 Arrange repairs and maintenance as required.
 Have arrangement in place to remove/replace dangerous equipment.
 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 of required standard.

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

No of Risks 6

No of risks scored: 6

No of Action Plans: 0

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

Assessment year: 2019

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: Clerk</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: Clerk</i>			
358	To ensure proper financial provision.	Ensure service requirement included in annual budget.				

Physical

Inadequate maintenance.

Quarterly

Low

Low

1

Responsibility: Clerk

357

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

Physical

Vandalism

Monthly

Low

Medium

2

Responsibility: Clerk

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.
To consider CCTV in high risk areas

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: 2019

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

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

Physical

Inadequate budget provision

Annually Low Low 1

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

Inadequate maintenance.

Annually Low Low 1

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.
Annual maintenance carried out prior to Remembrance Sunday.

Physical

Vandalism

As and when

Low

Medium

2

Responsibility: 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.
To consider CCTV in high risk areas

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: 2019

Act = Local Government Act 1972, s 142

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

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
Administration/Legal					
Availability of Software tools to build and manage site					
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: Clerk					
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: Clerk					

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

Low

1

Responsibility: Clerk

321 To maintain effective administration.

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

Administration/Legal

Dependence upon an individual

Annually

Low

Low

1

Responsibility: Clerk

- 376 To ensure that the site activity is not restricted to one person. Ensure that a minimum of two people have the necessary ability to undertake all website activity and are up to date with current site status. Provide training where necessary to minimise risk. Lead Councillor needs to be appointed to oversee the website & communications.

Administration/Legal

Insurance

Low

Low

1

Responsibility: Clerk

- 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: 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 to be appointed to oversee. Councillors should be 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

Low

1

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

Low

1

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

Low

1

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

Low

1

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

Low

Low

1

Responsibility: Clerk

389 To minimise risk.

Determine Council policy for accepting paid advertising. Ensure that all advertisements comply with the Advertising Standards. VAT is payable on any advertising.

Formulate Terms & Conditions for advertisers, including refund policy should an 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

Low

1

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

Low

1

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

Low

1

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

Low

1

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

Low

1

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