

Your Duty =

Assessment year: 2021

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

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

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

<b>Administration/Legal</b>						
	Maintenance of Allotment Register.		Annually	Low	Low	1
			Responsibility: Head of Grounds & Environmental Service			
309	To maintain an up to date register of allotment holders.	Responsibility to maintain a proper register ensuring all amendments are promptly recorded. Define responsibility of allotment society where appropriate. Allotments Association is kept up to date with changes if relevant.				

**Administration/Legal**

Poor Grass Cutting.

Annually

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

50 To maintain required standards at allotment sites. Undertaken by LLTC staff to pre-defined standards.

**Administration/Legal**

Provision of adequate insurance cover.

Annually

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

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

**Environmental**

Accumulation of rubbish.

Annually

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

301 To maintain acceptable standards for site.

Responsibility for site maintenance is clearly defined.  
All allotment sites are periodically inspected.  
The terms and conditions of tenancy agreements are enforced.  
Maintain liaison with Allotments Association.  
Skip provided once per year, per site.

**Environmental**

Build up of non-compostable rubbish

Quarterly

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

53 To maintain high standard of cleanliness and minimize risk.

The terms and conditions of the tenancy agreements are enforced.  
Skip provided once per year, per site.

## Environmental

Dumping/Hazardous substances

Quarterly

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

- 302 To maintain acceptable standards and minimize danger arising from hazard..
- Site responsibilities are clearly defined.  
The terms and conditions of allotment tenancy agreements are enforced.  
All allotment sites are inspected periodically.  
Skip provided once a year for removal of waste.

## Environmental

Loss / Damage to water supply.

As and when

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

- 49 To maintain adequate water supply and minimise loss /damage arising there from.
- Define responsibility for maintenance of water supply.  
Ensure that system is in place to report and rectify all faults.  
Maintain such arrangements as necessary with local contractor.

## Environmental

Untidy Plots.

Quarterly

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

- 52 To ensure that site is maintained to the required/acceptable standard.
- Define responsibility.  
Ensure site visits are carried out periodically.  
Ensure that the rules, terms and conditions of tenancy agreements are enforced.  
Notify allotment holder of problem and serve notice where necessary.  
Liaise where appropriate with Allotment Association.

## Environmental

Vandalism of sites.

Quarterly

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

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

## Environmental

Vermin.

Annually

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

304 To control and minimise impact.

Define responsibility for standards of hygiene/cleanliness etc. of site.  
Rules, terms and conditions of tenancy agreements are enforced.  
All allotment sites are inspected periodically.  
Instigate appropriate action to deal with any identified problems.

## Financial

Failure to collect rents & charges.

Quarterly

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

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

Define responsibility for collection of income due.  
Proper records of income received and banked are maintained. Periodical reconciliation to allotment register should be carried out.  
Terms and conditions of allotment tenancy agreements are enforced.  
Allotment Register is accurately maintained.  
Follow defined procedures for outstanding debts.

## Financial

Failure to review rents & charges.

Annually

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

- 306 To ensure that rent income is subject to regular review.  
w. Review allotment rents and charges annually as an integral part of the annual budget process.  
Assess cost of invoicing compared to income generated.

## Physical

Maintenance of Council owned equipment.

Annually

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

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

**Physical**

Personal injury.

Annually

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

300 To minimise risk.

Ensure that any conditions that might lead to personal injury are minimised and properly controlled.  
Carry out periodical examination of allotment environment.

**Physical**

Public Injury as a result of contractor.

As and when

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

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

Ensure that contract requires provision of appropriate insurance cover.  
Inspect contractors insurance documentation to confirm compliance.



**Physical**  
Security.

Annually Low Low 1

Responsibility: Head of Grounds & Environmental Service

299 To ensure security of site and equipment.

Ensure that responsibility of allotment holders is clearly defined in tenancy agreement.  
Ensure that proper facilities are in place to safeguard council assets.

**Physical**

Unoccupied Plots.

Monthly Low Low 1

Responsibility: Head of Grounds & Environmental Service

47 To control and minimise empty allotments.

An allotment waiting list is maintained.  
Details on website and noticeboards.  
Allotments promoted in community newsletter periodically.

**Completed by:**

**Date:**

**Position:**

No of Risks 18

No of risks scored: 18

No of Action Plans: 0

Your Duty = Powers to provide

Assessment year: 2021

Act =

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

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

<b>Administration/Legal</b> Health & Safety.			Annually	Low	Low	1
Responsibility: Head of Grounds & Environmental Service						
208	To maintain a high standard of Health & Safety and meet all statutory requirements.	Ensure Health/Safety testing complete.				

**Environmental**  
Pandemic

Annually **High** **Low** **3**

1147

Reduced venue capacity and Covid-19 risk assessment approved by Council.  
Amended guidelines issued to venue hirers.

<i>Responsibility: Head of Grounds &amp; Environmental Service</i>
Action by: Head of Grounds & Environmental Services
Action by date: 01/01/2021
Action plan: Council approved risk assessment in place to mitigate risks

**Physical**  
Security.

As and when **Low** **Low** **1**

210

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

<i>Responsibility: Head of Grounds &amp; Environmental Service</i>
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**Completed by:**

**Date:**

**Position:**

No of Risks **4**

No of risks scored: **4**

No of Action Plans: **0**

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

Assessment year: 2021

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

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

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
<b>Administration/Legal</b>					
Provision of adequate insurance cover.					
267	To ensure that the Council has adequate insurance cover.	Ensure that all insurance cover is reviewed annually. Ensure that appropriate action is taken to provide cover for any new risks arising in the year.	Annually	Low	Low 1
Responsibility: Finance officer					
<b>Environmental</b>					
Cleaning of Bus Shelters.					
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 as and when required.	As and when	Low	Low 1
Responsibility: Head of Grounds & Environmental Service					

**Environmental**

Vandalism.

Weekly

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

265 To minimise the risk of loss/damage/injury arising from vandalism. Arrange periodic monitoring of sites. Liaise with local enforcement agencies.

**Physical**

Maintenance of Bus Shelters.

Quarterly

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

262 To ensure that Bus Shelters are maintained to the appropriate standards. Maintain proper records of work carried out. Carry out periodical physical inspection.

**Completed by:**

**Date:**

**Position:**

No of Risks 4

No of risks scored: 4

No of Action Plans: 0

**Your Duty = Power to make bye-laws in regard to pleasure grounds  
Cycle parks**

Assessment year: 2021

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

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

Risk / ID	Hazard	Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
		<b>Physical</b> Failure to maintain register.		Annually	High	Medium	6 Yes
				Responsibility: Head of Grounds & Environmental Service			
				Action by: Head of Grounds & Environmental Services			
				Action by date: 01/08/2021			
				Action plan: Update required to include additional land To be re-issued to Secretary of State following committee approval			
255	Need to maintain a comprehensive register of all bye-laws.		Ensure that the register is up to date and properly maintained. Consider any new areas of land not covered by existing Bye Laws.				
				Comments: Current bye laws do not cover all Town Council owned land.			

Completed by:

Date:

Position:

No of Risks 1

No of risks scored: 1

No of Action Plans: 1

**Your Duty = Powers to provide**

Assessment year: 2021

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

Scoring note:

Low = 1  
Medium = 2  
and High = 3

**Review  
timing &  
Responsibility**

**Likelihood  
of  
occurrence**

**Impact  
on  
Council**

**Your  
action  
Score required**

<b>Risk / ID</b>	<b>Hazard / Requirement</b>	<b>Control</b>	<b>Review timing &amp; Responsibility</b>	<b>Likelihood of occurrence</b>	<b>Impact on Council</b>	<b>Your action Score required</b>
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## Environmental

Cleaning and litter control.

Monthly

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

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

Fly tipping.

Annually

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

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

Inadequate insurance cover.

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

181 To minimise risk.

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

**Physical**

Maintenance of Car Park Surfaces.

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

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

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



**Physical**

Personal injury.

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

168

To minimise risk of injury to persons using council facility.

Arrange regular physical inspection of car parks.  
Ensure that appropriate insurance cover is held and reviewed annually.  
Ensure that all staff have appropriate training and adhere to approved working practices.  
Ensure that the correct practices are in place.

**Physical**

Security.

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

170

To maintain a high standard of security.

Define responsibility for security of car parks.  
Maintain liaison with local enforcement agencies.  
Ensure that all disclaimer notices etc. are in place.

**Physical**

Vandalism.

Quarterly

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

172 To minimise the risk of loss/damage/injury arising from vandalism. To minimise the impact on service provision. Arrange regular monitoring of sites. Maintain liaison with local enforcement agencies. Instigate appropriate action against offenders.

**Completed by:**

**Date:**

**Position:**

No of Risks 7

No of risks scored: 7

No of Action Plans: 0

Assessment year: 2021

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

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

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

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

Loss of burial records through theft or natural disaster.

As and when      **Low**      **Medium**      **2**

Responsibility: Officers

776	Minimise loss of burial records through theft or natural disaster.	All records are held in a fire proof safe. Electronic records are held on a cloud based system and regularly backed up.				
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**Environmental**

Dog fouling.

Quarterly      **Low**      **Low**      **1**

Responsibility: Head of Grounds & Environmental Service

293	To minimize the impact of dog fouling.	Cemetery rules exclude dogs but this is unenforceable as dog control orders do not cover cemeteries.				
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**Environmental**

Maintenance of Cemetery including grass cutting.

Annually

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

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

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

**Environmental**

Pandemic

Annually

High

Low

3

Responsibility: Head of Grounds & Environmental Service

1148 Legal restrictions regarding funerals as a result of Covid-19

Attendance numbers at funerals reduced per Government guidance.

**Environmental**

Vandalism.

Monthly

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

- 292 To minimise the risk of loss/damage/injury arising from vandalism. Maintain efficient and effective security.  
 Maintain liaison with local enforcement agencies.

**Financial**

Failure to bank income.

Annually

Low

Low

1

*Responsibility: Finance officer*

- 296 To minimise risk of loss. Provide for regular statement of income to Council/committee.  
 Provide for internal audit testing of income banked against underlying records.

**Financial**

Failure to collect charges.

Annually

Low

Low

1

*Responsibility: Finance officer*

295 To maximise the collection of income.

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

**Financial**

Failure to review charges.

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

294 Annual review of charges.

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

**Physical**

Control of hazardous substances including certification for use etc.

Annually

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

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

**Physical**

Control of hazardous substances.

Monthly

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

- 273 To minimise risk of loss/damage/injury arising from use of hazardous substances. Define responsibility for use and control. Provide for any necessary training. Provide for appropriate clothing. Ensure that any necessary licences, certificates for use have been obtained. Ensure that security is sound. Ensure that any disposals are made according to the legal requirement.

**Physical**

Failure of Water Supply.

As and when

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

290 To provide an adequate supply of water.

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

**Physical**

Fire.

Annually

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

288 To minimise the risk of damage/injury arising from fire

Ensure Health/Safety testing complete.  
Ensure appropriate staff training  
Provide for strict security/control of combustible materials held by Council.  
Provide appropriate extinguishers etc.  
Ban burning of rubbish/cemetery waste.



**Physical**

Headstones/kerbstones safety survey.

Quarterly

High

Medium

6

Yes

*Responsibility: Head of Grounds & Environmental Service*

Action by: Head of Grounds & Environmental Services

Action by date: 31/12/2021

Action plan: Safety survey to be completed by end of 2021 and actions identified.

287 To minimise risk of injury.

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

**Physical**

Maintenance of buildings.

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

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

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

**Physical**

Maintenance of equipment.

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

282 To ensure that all equipment is properly maintained.

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

**Physical**

Personal injury.

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

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

Ensure that all staff have appropriate training and adhere to approved working practices.  
Ensure that the correct, properly maintained tools are available as appropriate.  
  
Ensure that all appropriate disclaimer notices, warning signs etc. are in place.  
Maintain records of training.  
Maintain records of injuries.  
Ensure adequate insurance cover held.  
Define responsibility in job descriptions.

**Physical**

Security of cemeteries and buildings.

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

279 To ensure that proper security arrangements are in place.

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

**Physical**

Security/control of equipment.

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

281 To ensure proper control of council assets.

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

**Physical**  
Theft.

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

289 To minimize the risk of loss through theft.

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

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**Completed by:**

**Date:**

**Position:**

*No of Risks* **19**

*No of risks scored:* **19**

*No of Action Plans:* **1**

**Your Duty = Power to provide public clocks**

Assessment year: 2021

**Act = Parish Councils Act 1957, s.2**

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

<i>Risk /</i> <b>ID</b>	<i>Hazard / Requirement</i>	<i>Control</i>	<i>Review timing &amp; Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
<b>Administration/Legal</b>						
	Provision of adequate insurance cover.		Annually	Low	Low	1
<i>Responsibility: Finance officer</i>						
254	To ensure that all risks are adequately covered.	Ensure that all risks are reviewed annually. Ensure that appropriate insurance cover is in place.				
<hr/>						
<b>Physical</b>						
	Maintenance of Clock.		Annually	Low	Low	1
<i>Responsibility: Officers</i>						
251	To ensure efficient and accurate timekeeping.	Maintenance of St Andrews clock is responsibility of Trustees				

**Physical**

Security of Clock.

Annually

Low

Low

1

Responsibility: Officers

250 To ensure security of council assets.

Define responsibility for security.  
Ensure sound arrangements in place.

**Completed by:**

**Date:**

**Position:**

No of Risks 3

No of risks scored: 3

No of Action Plans: 0

Your Duty = Duty to adopt a code of conduct

Assessment year: 2021

Act = p 3 Local Government Act 2000

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

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
<b>Administration/Legal</b>						
	Failure to maintain / update Register of Interests/Gifts		Quarterly	Low	Low	1
Responsibility: Head of Democratic & Central Services						
30	To maintain records of members Declarations of Interest	<p>All Council members are aware of their statutory responsibilities. Every Councilor is issued with information for new Councillors together with a copy of the Council's Standing Orders and Financial Regulations upon signing their Declaration of Acceptance of Office.</p> <p>Register of Members' Interests maintained. Councillors are reminded on a six monthly basis of the need to review their Register of Members' Interests to ensure it is accurate and up to date.</p> <p>Chairman asks for interests to be declared at each meeting.</p> <p>Register of gifts and hospitality book maintained.</p> <p>Councillors reminded every six months that all gifts/hospitality valued at £25 or more must be declared.</p> <p>Councillors are encouraged to attend refresher training.</p>				

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: 2021

**Act =** s 111 Local Government Act 1972

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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## Physical

Loss arising from theft/misappropriation.

Annually

Low

Low

1

Responsibility: Head of Democratic & Central Services

325	Maintain adequate security of site and equipment.	Access to Council offices only available when Council staff are present. The building is alarmed. All computers are password protected. High security of site and equipment is maintained at all times.				
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## Physical

Loss/damage arising from unauthorised use.

Annually

Low

Medium

2

Responsibility: Head of Democratic & Central Services

318	Maintain security of computer.	Access restricted through use of controlled passwords. Passwords are changed periodically. Maintain physical security of computer and site.				
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**Physical**

Use of social media - reputational damage, libel

Quarterly

Medium

Medium

4

Yes

1140 To minimise risk arising from use of social media

Ensure the council has a social media policy which employees are aware of  
Ensure social media communications are checked for accuracy and content  
Ensure social media communications are monitored regularly and responses made where appropriate to do so  
Consider provision of training to councillors and if applicable, contractors  
Limit password access to social media accounts to only where essential  
Change passwords periodically and when key staff leave employment

Responsibility: Head of Democratic & Central Services

Action by: Head of Democratic & Central Services

Action by date: 31/07/2021

Action plan: Social media policy in place; awaiting recommendations from external social media security audit.

Comments: Dec 2020: social media security audit being undertaken by third party

**Technical**

Crash of IT System.

Monthly

Low

Medium

2

27 To minimise risk arising from breakdown of equipment.

Council computer systems are backed up daily, including remote sites.  
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.

Responsibility: Head of Democratic & Central Services

Comments: Local backup of data held on server; some data cloud based.

**Completed by:**

**Date:**

**Position:**

No of Risks 4

No of risks scored: 4

No of Action Plans: 1

Your Duty = Power to meet

Assessment year: 2021

Act = Local Government Act 1972

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

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
<b>Administration/Legal</b>						
	Access.		Annually	Low	Low	1
Responsibility: Head of Democratic & Central Services						
218	To meet all statutory requirements and maintain effective administration.	Ensure public access is available to all meetings of the Council. Members of the press and public may be asked to leave a meeting during the discussion of exempt items such as staffing matters, quotations or tenders submitted by contractors. Disability access is be provided. Specific area is set aside for press & public. Time is allocated for public questions and comments (15 minutes total).				
<b>Administration/Legal</b>						
	Failure to meet statutory duty.			Low	Low	1
Responsibility: Head of Democratic & Central Services						
217	To meet all statutory requirements and maintain effective administration.	All meetings comply with LGA 1972. Clerk and Deputy Clerk are 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/Deputy 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				

**Administration/Legal**

Pandemic

Annually

High

Medium

6

Yes

*Responsibility: Head of Democratic & Central Services**Action by: Head of Democratic & Central Services**Action by date: 07/05/2021**Action plan: Awaiting Government ruling on meetings after 7 May 2021. Remote meetings may continue or hybrid meetings may be needed.**Comments: Legislation allows remote meetings until 7 May 2021**No parish or annual meeting need be held 4/4/20-7/5/21*

1165 Need to ensure Council business can be transacted.

- temporary authority granted by Council on 20 March 2020 for decision making whilst meetings could not take place
- legislation now allows remote meetings until 7 May 2021
- remote meeting protocol in place
- temporary amendments to standing orders agreed
- meetings resumed July 2020, being held remotely

**Physical**

Personal Injury.

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

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: Head of Democratic & Central Services

219 To ensure that effective security arrangements are in place. 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 5

No of risks scored: 5

No of Action Plans: 1

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

Assessment year: 2021

Act = Freedom of Information Act 2000

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

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
<b>Administration/Legal</b>			Annually	High	High	9 Yes
Pandemic			Responsibility: Head of Grounds & Environmental Service			
			Action by: Head of Grounds & Environmental Services			
			Action by date: 28/01/2021			
			Action plan: Any amendments must be endorsed by Council through the agreed authorisation process.			
			Comments: Covid-19 risk assessment endorsed August 2020 and must be reviewed upon any changes in legislation or guidance.			
<b>Financial</b>			Annually	Low	Low	1
Legal Liability as a result of Asset Ownership.			Responsibility: Finance officer			
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.				

**Physical**

Loss / Damage to Civic Regalia.

Monthly

Low

Low

1

*Responsibility: Head of Democratic & Central Services*

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.

**Physical**

Loss of assets.

Annually

Low

Low

1

*Responsibility: Finance officer*

43 To minimise the risk of loss through theft/misappropriation of assets.

Effective security of all assets maintained.

Asset Register maintained and reviewed annually as a minimum.

Ensure that adequate and appropriate insurance cover is held.

**Professional**

Failure to effectively process documents.

Daily

Low

Medium

2

Responsibility: Officers

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 safe in Council office.  
Paper waste is disposed of securely.  
All documents kept on computer are backed up daily.  
Restricted access to Council Offices unless with a Council Officer.  
Copies of all incoming and outgoing correspondence are held electronically or paper copy.  
Financial information held electronically as well as paper copy.  
Data held only as required in accordance with retention policy and data protection regulations.

**Completed by:**

**Date:**

**Position:**

No of Risks 5

No of risks scored: 5

No of Action Plans: 1

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

Assessment year: 2021

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

Scoring note:

Low = 1  
Medium = 2  
and High = 3

**Review  
timing &  
Responsibility**

**Likelihood  
of  
occurrence**

**Impact  
on  
Council**

**Your  
action  
Score  
required**

<b>Risk / ID</b>	<b>Hazard / Requirement</b>	<b>Control</b>	<b>Review timing &amp; Responsibility</b>	<b>Likelihood of occurrence</b>	<b>Impact on Council</b>	<b>Your action Score required</b>
<b>Administration/Legal</b>						
	Data Protection - Registration & compliance.		Annually	Low	Low	1
			Responsibility: Head of Democratic & Central Services			
336	To ensure statutory requirements are met.	Arrange for any necessary Data Protection registration and compliance. Check if any necessary registration needs to be arranged. Ensure that personnel are aware of compliance requirements. Arrange necessary training.				
<b>Administration/Legal</b>						
	Failure to comply with Code of Practice.		Annually	Low	Low	1
			Responsibility: Clerk			
335	To meet requirements of code.	LLTC camera locations and usage reviewed with Beds Police and CBC in 2019 to ensure Code requirements met. New signage installed in 2019.				
			Comments: Local authority responsibility.			



**Financial**

Inadequate budget provision.

Annually

Low

Low

1

Responsibility: Clerk

329 Ensure annual service review.

Annual budget provision made.  
Review will be required once CBC moves to new control room and upgrades equipment to digital cameras and systems.

**Physical**

Failure of system - equipment.

Annually

Low

Low

1

Responsibility:

332 To minimise risk.

CBC monitor, maintain and repair all CCTV cameras.

Comments: Cameras owned by LLTC will be tested and maintained by the local authority.

**Physical**

Security of equipment.

Quarterly

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

333 To minimise the risk of loss/damage.

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

**Physical**

Vandalism.

Monthly

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

330 To minimise risk arising from vandalism/antisocial behaviour.

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

**Completed by:****Date:****Position:**No of Risks **6**No of risks scored: **6**No of Action Plans: **0**

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

Assessment year: 2021

**Act =** Data Protection Act 1998

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

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
<b>Administration/Legal</b>					
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. Data Protection Act updated 2018 to include GDPR All Councillors are aware of their obligation under Data Protection and undergo ad hoc training. Policies adopted 2018 including data breach procedure. Information audit undertaken 2018 along with creation of privacy notices, impact assessments, consents added to forms, staff training, IT security reviewed.	Quarterly	Low	Low 1
Responsibility: Head of Democratic & Central Services					

**Completed by:**

**Date:**

**Position:**

No of Risks 1

No of risks 1  
scored:

No of Action 0  
Plans:

Your Duty = Duty to Appoint

Assessment year: 2021

Act = s 112 Local Government Act 1972

Scoring note:

Low = 1  
Medium = 2  
and High = 3

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
<b>Administration/Legal</b>						
	Failure to comply with Employment Law.		Annually	Low	Low	1
			Responsibility: Clerk			
23	To ensure that the council fulfils its responsibilities.	<p>Contracts of employment issued to all employees. Staff Contracts of Employment reviewed when required. Clerk has responsibility for maintaining up to date knowledge of new legislation and bringing this to the attention to all relevant parties (to be advised by Council's retained HR support provider)</p> <p>Training arranged as and when required including Clerk's CPD (requirement to meet criteria for General Power of Competence)</p>				
			Comments: HR support through Luton Borough Council until 1/4/2021			
<b>Financial</b>						
	Overpayment or underpayment of salaries and expenses.		Monthly	Low	Low	1
			Responsibility: Finance officer			
785	Ensure that all payments to staff are in accordance with employment contracts approved by the council.	<p>Monthly payroll schedule to be verified by the relevant number of parties/staff. 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.</p>				

Responsibility:

1139 To ensure risk to employees is minimised

Ensure town council sites and activities are regularly risk assessed  
Ensure any potential hazards are clearly marked  
Ensure repairs and maintenance are undertaken  
Additional risk assessments to be undertaken during pregnancy  
All staff to undertake relevant training annually or every three years (H&S, CO SHH, manual handling, ladder safety, workstation assessments etc)  
Ensure a lone working procedure is in place and in followed

**Physical**  
Pandemic

Annually High High 9 Yes

1152 To ensure duty of care towards staff is met

Council approved risk assessment for Covid-19 in place.  
All home working employees requested to complete DSE assessments and equipment provided where possible.  
Higher risk employees identified and appropriate preventative measures taken to safeguard them.

Responsibility:

Action by: Officers

Action by date: 28/01/2021

Action plan: All heads of service and line managers to regularly review working arrangements for their staff.

Comments: Council approved risk assessment for Covid-19 in place.

EAP helpline/web portal available to all staff.

**Professional**

Attacks on Personnel.

Monthly

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

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

Low

1

Responsibility: Clerk

17 To improve recruitment.

Recruitment policy reviewed when the need arises to recruit staff.

**Professional**

Inability to retain staff.

Annually

Low

Low

1

Responsibility: Officers

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: Officers

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: Officers

20 To meet Council commitment to staff training.

Training provided as and when identified/requested, including CPD.  
Training requirements reviewed as part of the annual appraisal system.  
Advantage taken of any localised training through local associations, SLCC, D ALC etc.  
Staff encouraged to network with relevant contacts e.g. other Council ceclerks, NALC/SLCC, other relevant sector bodies.  
Appropriate training records maintained.

**Professional**

Loss of key staff.

Quarterly

Medium

Medium

4

Yes

Responsibility: Officers

Action by: Officers

Action by date: 31/08/2021

Action plan: Operational procedures for all service areas to be reviewed and updated by end of August 2021 to ensure business continuity.

19 To avoid problems arising from loss of key personnel.

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

Completed by:

Date:

Position:

No of Risks 10

No of risks scored: 9

No of Action Plans: 2



Your Duty = Provision of entertainment and support of the arts

Assessment year: 2021

Act = Local Government Act 1972, s 145

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

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
<b>Administration/Legal</b>						
Cancellation						
1143	Minimise risk of losses in the event of cancellation	Create cancellation policy if appropriate. Review terms and conditions of agreements with traders, suppliers, performers at events to ensure clarity in the event of a forced cancellation.	Annually	Low	Low	1
Responsibility: Head of Cultural & Economic Services						
<b>Administration/Legal</b>						
Health and safety risk to staff and public at events						
1146	To ensure all possible measures are taken to minimise potential risk to event staff and attendees	Provide event assessed risks information to the Council's retained Health & safety consultant for their advice and act on any recommendations received. Provide event assessed risks information to the Safety Advisory Group (SAG) for their advice and act on any recommendations received. advise committee on significant recommendations and actions taken. Ensure adequate insurance cover is in place. Ensure agreements with traders/suppliers/entertainers are clear regarding their responsibilities and liabilities and reviewed annually. Ensure a named officer is appointed production manager for events (and a deputy if required). Ensure adequate communications mechanisms for the event are in place. Ensure first aid cover is provided where necessary.	Annually	Low	Medium	2
Responsibility: Head of Cultural & Economic Services						

**Administration/Legal**

Lack of staffing at events

Annually

Low

Medium

2

*Responsibility: Head of Cultural & Economic Services*

1144 To ensure sufficient staffing to allow events to take place safely

Determine requirements for each event as part of the risk assessment, based on event details and anticipated attendance.  
 Ensure arrangements for sourcing additional event staff where required.  
 Ensure contingency arrangements in place where possible, in case of non attendance on the day due to illness etc.

**Administration/Legal**

Pandemic

Annually

High

High

9

Yes

*Responsibility: Head of Cultural & Economic Services**Action by: Head of Cultural & Economic Services**Action by date: 01/03/2021**Action plan: Alternative plans agreed by committee for first half of 2021. Even for second half of 2021 to be confirmed.*

1166 To ensure health and safety requirements arising from the Covid-19 pandemic are met.

Risks are: legal, financial, physical, environmental.  
 Council endorsed risk assessment in place relating to Covid-19.  
 All scheduled events to have specific risk assessments.  
 Alternative plans agreed by committee for first half of 2021.  
 Events proposed for second half of 2021 to be reviewed depending on Government guidance later in the year.

*Comments: Risks are: legal, financial, physical, environmental.**All scheduled events to have specific risk assessments.*

**Financial**

Loss of income

Annually

Low

Low

1

*Responsibility: Finance officer*

1145 Failure to collect income.

Define responsibility for collection of income.  
 Ensure that all income due to the Council and received is properly recorded.  
 Make provision for prompt banking.

**Completed by:****Date:****Position:***No of Risks* **5***No of risks scored:* **5***No of Action Plans:* **1**

Your Duty = Duty to ensure responsibility for financial affairs

Assessment year: 2021

Act = s 151 LGA 1972

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

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
<b>Administration/Legal</b>					
	Failure to comply with Customs & Excise regulations.	Quarterly	Low	Low	1
Responsibility: Finance officer					
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.			
<b>Administration/Legal</b>					
	Failure to comply with Inland Revenue regulations.	Quarterly	Low	Low	1
Responsibility: Finance officer					
39	Efficient financial administration.	Maintenance of comprehensive records of all calculations of income tax, national insurance deducted from pay (managed by Payroll Functions on behalf of LL TC and checked by both accountant and auditor). Ensure that regular returns to Inland Revenue; prepared by the Finance officer ; checked by the Clerk Arrange prompt payment of all sums due.			

**Administration/Legal**

Failure to maintain record of council assets.

Annually

Low

Low

1

*Responsibility: Finance officer*

327 To minimize the risk of loss associated with failure to maintain adequate records.

Asset register maintained by Finance Officer.  
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: Officers*

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

Ensure decisions taken in meetings comply with Standing Orders and Financial Regulations and are clearly recorded in the minutes.  
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: Head of Democratic & Central Services*

41

To ensure that expenditure is properly authorised and controlled.

Council has attained General Power of Competence.  
 Ensure that grant applications are complete and fully supported prior to submission to committee/Council.  
 All approvals for expenditure are properly recorded in Council minutes .  
 Ensure that no alternative statutory authority is available.

**Financial**

Failure to keep proper financial records.

Quarterly

Low

Low

1

*Responsibility: Finance officer*

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 are received by Committee on a regular basis.  
 Year To Date budget sheets are also presented to quarterly meetings of standing committees.

**Financial**

Failure to maintain an effective payments system.

Monthly

Low

Low

1

Responsibility: Finance officer

326 To minimize the risk of loss.

Determine responsibility for control of expenditure.  
 All payments supported by an invoice/voucher.  
 All details are checked and payment entered into a cash book or equivalent.  
 All payments are approved by Committee and appended to minutes.  
 All cheques and BACS payments approved by at least two authorised members and the Town Clerk/Deputy.  
 All expenditure is subject to sound budgetary control.

**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.

Determine responsibility of clerk/committee/council.  
 Ensure that presentation to council/committee follows an agreed timetable.  
 Precept is set as a result of comprehensive income and expenditure 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 Committee on a quarterly basis.

**Financial**

Loss of money through theft/misappropriation.

Quarterly

Low

Medium

2

*Responsibility: Finance officer*

- 38 To ensure that effective financial controls are in place. Determine responsibility for cash at all sources.  
 Receipts are issued for all cash 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.  
 Ensure regular bank reconciliation.  
 Arrange regular reporting to committee/Council.  
 Council holds adequate fidelity guarantee insurance.

**Financial**

Pandemic

Annually

High

Medium

6

Yes

*Responsibility: Responsible Finance Officer**Action by: Responsible Finance Officer**Action by date: 31/12/2021*

*Action plan: Budgetary impact reported to Council.  
 2021-22 budget takes income loss into account.  
 Ongoing monitoring of any financial risk and report to co*

- 1169 To mitigate risks arising from the pandemic. Council procedures undertaken electronically not paper.  
 Electronic/email sign off of all expenditure.  
 Credit card limit increased due to higher likelihood of transactions.  
 All payments made by bank transfer, not cheque.  
 Incoming payments to be made electronically.  
 Market move to cashless pitch fee payments.

*Comments: Limited procedural impact as payments already made, received and approved electronically.*



**Financial**

Poor Financial Management

Annually

Low

Medium

2

Responsibility: Officers

- 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. Maintain 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: Finance officer

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

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

No of Risks 12

No of risks scored: 12

No of Action Plans: 1

Your Duty = Duty to comply with the regulations.

Assessment year: 2021

Act = Data Protection Act 2018

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

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
<b>Administration/Legal</b>						
	Failure in complying with special protection for children.		Annually	Low	Medium	2
			Responsibility: Officers			
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.				
<b>Administration/Legal</b>						
	Failure to be registered with the ICO.		Annually	Low	Medium	2
			Responsibility: Head of Democratic & Central Services			
850	To be registered with the ICO.	The Data Protection Act 1998 requires every data controller, eg organisation, who is processing personal information to register with the ICO, unless they are exempt.				

## Administration/Legal

Failure to display of a Privacy notice.

Annually

Low

Medium

2

Responsibility: Head of Democratic & Central Services

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

## Administration/Legal

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

Annually

Low

Medium

2

Responsibility: Head of Democratic & Central Services

- 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: Officers

842

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

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

**Administration/Legal**

Failure to have consent of data owners.

Annually

Low

Low

1

Responsibility: Officers

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: Officers

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. RISK MANAGEMENT & INTERNAL CONTROL STATEMENT REFERS TO ALL RISKS OUTLINED IN RISK REGISTER

**Administration/Legal**

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

Annually

Medium

Medium

4

Yes

Responsibility: Officers

Action by: Officers

Action by date: 01/08/2021

Action plan: Information audit due before start of 2020-21 delayed due to Covid-19. External data protection audit also delayed due to Covid-

831 To have a fully completed audit showing checks taken place and listing all data held electronically and non electronically.

It is the Council's duty to undertake an information audit and to manage the information collected by the Council. Information held could change from year to year with different activities.

**Administration/Legal**

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

Annually

Low

Low

1

Responsibility: Head of Democratic & Central Services

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.

DATA BREACH PROCEDURES IN PLACE.

**Administration/Legal**

Inability to correct data errors.

Annually

Low

Low

1

Responsibility: Officers

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 (sometimes 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: Officers

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: Officers

844 The ability to allow the data owner to view their own data held by the Council.

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

## Administration/Legal

Non compliance of Council members and contractors.

Annually

Low

Medium

2

Responsibility: Councillors

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: Head of Democratic & Central Services

854 That the Council manage the GDPR process.

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



**Administration/Legal**

Non display of this policy on the Councils web site.

Annually

Low

Low

1

Responsibility: Head of Democratic & Central Services

831 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: Officers

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.

Data should only be held as long as it is deemed necessary in accordance with the council's retention policy.

**Completed by:**

**Date:**

**Position:**

No of Risks 16

No of risks scored: 16

No of Action Plans: 1

**Your Duty =** Power to accept gifts

Assessment year: 2021

**Act =** Local Government Act 1972, s 139

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

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

**Completed by:**

**Date:**

**Position:**

No of Risks 1

No of risks scored: 1

No of Action Plans: 0

**Your Duty =** Power to participate in schemes of collective investment

Assessment year: 2021

**Act =** Trustee Investments Act 1961, s 11

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

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
<b>Administration/Legal</b>					
Maintenance of Investment Register					
167	To maintain proper records.	Determine responsibility for maintenance of investment register. Maintain effective internal audit.	Annually	Low	Low 1
		Responsibility: Finance officer			
<b>Financial</b>					
Failure to review interest rates etc.					
166	To maximize return on investments.	Determine policy and responsibility for investment of Council funds. Carry out regular review to ensure maximum return is achieved. Maintain effective internal audit.	Annually	Medium	Medium 4 Yes
		Responsibility: Responsible Finance Officer			
		Action by: Responsible Finance Officer			
		Action by date: 22/02/2021			
		Action plan: Investment policy due to committee for review in February 2021.			
		Comments: Review of Council investment policy due by end of 2020-21.			

**Financial**

Financial Loss i.e. theft

Annually

Low

High

3

Responsibility: Finance officer

164 To minimize risk arising from theft/misappropriation.

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

**Financial**

Inappropriate investment

Annually

Low

Low

1

Responsibility: Finance officer

165 To ensure integrity of investment.

Investment Strategy adopted by Council in April 2016 - to be reviewed during 2021.  
 Record details/approval of all investments in Council minutes.  
 Ensure regular report to Council.

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

No of Risks 4

No of risks scored: 4

No of Action Plans: 1

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

Assessment year: 2021

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

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

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
<b>Administration/Legal</b>			Annually	Medium	Medium	4 Yes
	Lack of clarity on management of land east of the town		Responsibility: Councillors Action by: Councillors Action by date: 31/12/2021 Action plan: To be progressed by Council through ongoing discussion with the local authority			
1153	Clarity and forward planning required to ensure resources in place for management of additional land		Comments: Clarification needed from local authority to ensure adequate forward planning of resources to manage additional land			
<b>Administration/Legal</b>			Annually	Low	Low	1
	Maintenance and Security of Deeds of ownership etc.		Responsibility: Head of Grounds & Environmental Service			
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.				

## Administration/Legal

### Maintenance of Asset Register

Annually

Medium

Low

2

Responsibility: Head of Grounds & Environmental Service

- 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.  
Add assets to Pear Technology mapping system.  
Photograph assets for inventory.

## Environmental

### Failure to comply within consultation deadline.

Annually

Low

Low

1

Responsibility: Head of Democratic & Central Services

- 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

Low

1

Responsibility: Head of Grounds & Environmental Service

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.  
Liaise with police/other authority where necessary.  
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: Head of Grounds & Environmental Service

156 To ensure that council assets are properly maintained.

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

## Environmental

### Vandalism

Annually

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

- 157 To minimise the risk of loss/damage/injury arising from vandalism.
- Land is inspected on a regular basis.  
CCTV in operation on some town council owned sites.  
Maintain liaison with law enforcement agencies.

## Financial

### Failure to collect income

Annually

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

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



**Financial**

Failure to review rents and other charges

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

160 To ensure that all rents and charges are subject to re view. All rents and charges are subject to review as part of the budgetary process.

**Financial**

Inadequate budget provision

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

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

Medium

Low

2

Responsibility: Head of Grounds & Environmental Service

152 To ensure proper maintenance of council owned assets. Develop a planned maintenance programme for all fences, hedges, gates, footpaths etc on land owned by LLTC

**Physical**

Maintenance of furniture

Monthly

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

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. Arrange for prompt repairs to damage. Ensure that any service contracts are place. All public furniture owned by the Council is listed on the Assets Register.

**Physical**

Public/Personal Injury

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

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: Head of Grounds & Environmental Service*

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

Low

1

*Responsibility: Head of Grounds & Environmental Service*

155 To maintain security of council assets.

Determine Council policy for access to land.  
Appropriate signage is in place.  
Council liaises with local police as and when required.

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**Completed by:**

**Date:**

**Position:**

*No of Risks* 15

*No of risks scored:* 15

*No of Action Plans:* 1

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

Assessment year: 2021

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

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

Risk / ID Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
<b>Administration/Legal</b>					
	Inefficient service provision	Monthly	Low	Low	1
<i>Responsibility: Head of Grounds &amp; Environmental Service</i>					
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/>					
<b>Environmental</b>					
	Inappropriate location of litter bins	As and when	Low	Low	1
<i>Responsibility: Head of Grounds &amp; Environmental Service</i>					
3	To determine location for best use.	Carry out periodical review.			

**Environmental**

Unauthorised Fly posting/nuisance.

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

5

Define policy on fly posting  
Maintain liaison with enforcement agencies.

**Environmental**

Vandalism/theft/damage

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

4

To minimise the risk of loss/damage/injury arising from vandalism. Monitor all areas on a regular basis.

**Financial**

Inadequate budget provision

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

339 To ensure adequate funding.

Ensure that service requirements are included in budgetary process.

**Financial**

Inadequate insurance cover

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

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: Head of Grounds & Environmental Service*

2

To maintain high standard of service provision.

Define responsibility for clearing bins.  
Implement effective programme.

**Completed by:**

**Date:**

**Position:**

No of Risks 7

No of risks scored: 7

No of Action Plans: 0



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

Assessment year: 2021

Act = Not applicable

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
<b>Administration/Legal</b> Community Grants						
1133	To ensure risks are minimised.	Ensure approved procedures are in place for community grant applications Ensure applicants submit financial information and a copy of constitution/rules alongside their application. Ensure applicants report back to the Council on expenditure of any grant funding. Ensure grant funding does not exceed S.137 limits unless another Power is being exercised in awarding grant funding. Ensure protocols in place for any funding outside Council's grant schemes.	Annually	Medium	Medium	4 Yes
			<i>Responsibility: Head of Democratic &amp; Central Services</i>			
			Action by: Head of Democratic & Central Services			
			Action by date: 22/02/2021			
			Action plan: Protocol to be devised to cover Council funding/donations which fall outside of approved general/guaranteed grant procedures or use of Town Council assets.			

Completed by:

Date:

Position:

No of Risks 1

No of risks scored: 1

No of Action Plans: 1

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

Assessment year: 2021

**Act =** Food Act 1984, s50

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

<i>Review timing &amp; Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
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<i>Risk / ID</i>	<i>Hazard / Requirement</i>	<i>Control</i>	<i>Review timing &amp; Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
<b>Administration/Legal</b>						
Agreements with stall holders.						
146	To ensure proper administration of market.	Ensure that a signed agreement is in place as a pre-requisite to market stall occupation. Make appropriate arrangements in respect of casual users. Maintain a register of stall holders.	Annually	Low	Low	1
<i>Responsibility: Head of Cultural &amp; Economic Services</i>						

<b>Administration/Legal</b>						
Contracts with Service providers ie Waste disposal						
1	To ensure that proper arrangements are in place.	Ensure that all signed contracts are in place. Check that insurance requirements etc are being met. Enforce conditions of contract.	Annually	Low	Low	1
<i>Responsibility: Head of Cultural &amp; Economic Services</i>						

**Administration/Legal**

Inadequate insurance cover

Annually

Low

Low

1

Responsibility: Finance officer

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

**Environmental**

Inadequate cleaning of market premises.

Monthly

Low

Low

1

Responsibility: Head of Cultural & Economic Services

- 141 To maintain high standard of service provision. Determine responsibility for cleanliness/hygiene of premises.

**Environmental**

Pandemic

Annually

High

Medium

6

Yes

*Responsibility: Head of Cultural & Economic Services**Action by: Head of Cultural & Economic Services**Action by date: 31/12/2021**Action plan: To monitor ongoing compliance with risk assessment and keep under review as Government guidance changes.**Comments: Council approved risk assessment in place.*

1159 To ensure compliance with health and safety requirements related to Covid-19

Council approved risk assessment in place.  
Revised layout and number of stalls to allow for social distancing.  
Use of staff/volunteer stewards to assist with distancing.**Environmental**

Rubbish accumulation

Weekly

Low

Low

1

*Responsibility: Head of Cultural & Economic Services*

142 To maintain high standard of cleanliness and minimize risk.

Define responsibility for cleanliness/hygiene of premises.

## Environmental

### Vandalism

Annually

Low

Low

1

Responsibility: Head of Cultural & Economic Services

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

## Financial

### Failure to collect income

Annually

Low

Medium

2

Responsibility: Finance officer

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

**Financial**

Failure to review charges

Annually

Low

Low

1

*Responsibility: Head of Cultural & Economic Services*

144 To ensure that all pitch charges are reviewed annually.

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

Charges for bank payments following move away from cashless payments will need monitoring during first year to ensure adequate budget provision.

**Financial**

Inadequate budget provision

Annually

Low

Low

1

*Responsibility: Head of Cultural & Economic Services*

340 To ensure proper financial provision.

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

**Financial**

Pandemic

Annually

High

Medium

6

Yes

1160 To plan for possible income loss resulting from Covid-19 pandemic

Impact on income factored in to emerging 2021-22 budget and will be kept under regular review, reported to quarterly Market Sub Committee

Responsibility: Head of Cultural & Economic Services

Action by: Head of Cultural & Economic Services

Action by date: 29/01/2021

Action plan: Emerging 2021-22 adjusted to reflect anticipated income loss

To be reported to committee quarterly

**Physical**

Encroachment by stallholders

Monthly

Low

Low

1

139 To control market stall size.

Covered by Market Rules & Regulations

Responsibility: Head of Cultural & Economic Services

**Physical**

Maintenance of equipment

Monthly

Low

Low

1

*Responsibility: Head of Cultural & Economic Services*

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

**Physical**

Occupation of Unauthorised stalls

Daily

Low

Low

1

*Responsibility: Head of Cultural & Economic Services*

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



**Physical**

Public/Personal Injury

Daily

Low

Low

1

Responsibility: Head of Cultural & Economic Services

137 To minimize the risk of injury.

Define responsibility for all areas of the market operation.  
Risk assessments for LLTC responsibilities are in place to minimise the risk of injury to all market users.  
Arrange regular site inspection to ensure that defined standards are being maintained.  
Take action where necessary against offenders.

**Physical**

Security of equipment

Annually

Low

Low

1

Responsibility: Head of Cultural & Economic Services

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

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

**Physical**

Security of market

Annually

Low

Low

1

*Responsibility: Head of Cultural & Economic Services*

133 To maintain security of council premises.

Responsibility for security defined.  
Staff employed or contract with service provider in place.  
Identify appropriate staff training.  
Record of incidents maintained.  
Liaison with local enforcement agencies maintained.

**Completed by:**

**Date:**

**Position:**

*No of Risks 17*

*No of risks 17  
scored:*

*No of Action  
Plans: 2*

Your Duty = Duty to meet

Assessment year: 2021

Act = s 12 Local Government Act 1972

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

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
<b>Administration/Legal</b>						
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: Officers						
<b>Administration/Legal</b>						
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 displayed regarding the recording of meetings.	Monthly	Low	Low	1
Responsibility: Clerk						

**Administration/Legal**

Failure to meet statutory duty on meetings

Monthly

Low

Low

1

Responsibility: Head of Democratic &amp; Central Services

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

Low

1

Responsibility: Head of Democratic &amp; Central Services

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: Head of Democratic & Central Services*

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: 2021

**Act =** Local Government Act 1972, s 142

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

<i>Risk /</i> <i>ID</i>	<i>Hazard / Requirement</i>	<i>Control</i>	<i>Review timing &amp; Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
<b>Administration/Legal</b>						
	Defamation		As and when	Low	Low	1
			<i>Responsibility: Head of Cultural &amp; Economic Services</i>			
130	To minimize associated risk.	All input is subject to careful check by Officers before going to print. Ensure that adequate insurance cover is held.				
<hr/>						
<b>Administration/Legal</b>						
	Failure to meet statutory obligation re non - political content		As and when	Low	Low	1
			<i>Responsibility: Head of Cultural &amp; Economic Services</i>			
131	To meet required standard.	Ensure that content of newsletter is carefully tested to ensure that statutory requirement is met.				

**Financial**

Failure to collect income from advertising etc

Annually

Low

Low

1

*Responsibility: Finance officer*

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: Head of Cultural & Economic Services*

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: Head of Cultural & Economic Services*

127

Ensure all publication deadlines are met.  
Review arrangements periodically.

**Completed by:**

**Date:**

**Position:**

*No of Risks* **5**

*No of risks scored:* **5**

*No of Action Plans:* **0**



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

Assessment year: 2021

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

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

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
<b>Administration/Legal</b> Absence of agreements with users, permits etc			Annually	Low	Low	1
<i>Responsibility: Head of Grounds &amp; Environmental Service</i>						
126	To facilitate control of facilities.	Ensure that signed contracts/agreements/permits are in place where necessary. Maintain a register of users.				

<b>Administration/Legal</b> Lack of clarity regarding management of open spaces on land east of the town.			Annually	Medium	Medium	4	Yes
1154	Forward planning required to ensure adequate resources to manage additional land.		<i>Responsibility:</i> Action by: Councillors Action by date: 28/01/2021 Action plan: To be progressed by Council through ongoing discussion with the local authority.				
<i>Comments: Clarity required from local authority to ensure adequate forward planning of resources to manage additional open spaces.</i>							

## Environmental

### Fly tipping

Weekly

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

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

## Environmental

### Pollution

As and when

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

- 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: Head of Grounds & Environmental Service

- 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.

## Financial

### Failure to collect all income due to the council

Monthly

Low

Low

1

Responsibility: Finance officer

- 124 To maximise income and minimize risk of loss. Ensure that all income due to the Council and received is properly recorded.  
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: Head of Grounds & Environmental Service

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

Low

1

Responsibility: Head of Grounds & Environmental Service

125 To ensure proper financial provision.

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

**Physical**

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

Quarterly

Low

Medium

2

*Responsibility: Head of Grounds & Environmental Service*

779 To ensure that all staff have appropriate training.

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

**Physical**

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

Quarterly

Low

Medium

2

*Responsibility: Head of Grounds & Environmental Service*

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

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

**Physical**

Personal injury.

Annually

Low

Medium

2

*Responsibility: Head of Grounds & Environmental Service*

- 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: Head of Grounds & Environmental Service*

- 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: Head of Grounds & Environmental Service*

781 To minimise health and safety risks .

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

---

**Completed by:**

**Date:**

**Position:**

No of Risks 13

No of risks scored: 13

No of Action Plans: 1

**Your Duty = Power to provide**

Assessment year: 2021

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

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

<i>Risk /</i> <i>ID Hazard / Requirement</i>	<i>Control</i>	<i>Review timing &amp; Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
<b>Administration/Legal</b>					
	Inadequate maintenance of records	Annually	Low	Low	1
<i>Responsibility: Head of Grounds &amp; Environmental Service</i>					
324	To maintain a register of complaints/injuries and action taken.	To ensure that proper records of all complaints/injuries are maintained.			

<b>Administration/Legal</b>					
	Lack of prior involvement in new play areas	Annually	High	Low	3
<i>Responsibility: Head of Grounds &amp; Environmental Service</i>					
1155	Continue to press local authority for involvement in the development of new play areas to south/east of town which may eventually come under town council management.				



**Environmental**

Pandemic

Annually

High

Medium

6

Yes

*Responsibility: Head of Grounds & Environmental Service**Action by: Head of Grounds & Environmental Services**Action by date: 31/12/2021**Action plan: Ongoing review of risk assessment to ensure in line with Government guidance relating to Covid-19.*

1156 Need to ensure compliance with Covid-19 safety guidelines. Council approved risk assessment in place with reduced play area capacities to encourage social distancing. Regular spraying of play equipment to clean it.

*Comments: Information on reduced capacities and safety guidelines available at all play areas, on website and on social media.***Financial**

Inadequate budget provision

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

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: Head of Grounds &amp; Environmental Service

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: Head of Grounds &amp; Environmental Service

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 professional. All high risks identified in the RoSPA report are actioned. Inspection timetable is adhered to for all levels of inspection. Records kept of all inspections/maintenance. Ensure that a maintenance contract is in place.

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

No of Risks 6

No of risks scored: 6

No of Action Plans: 1

Your Duty = Power to provide

Assessment year: 2021

Act = s 133 Local Government Act 1972

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

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
<b>Administration/Legal</b>						
	Disruption to business continuity in the event of flood, fire or other hazard		Annually	Low	High	3
Responsibility: Head of Democratic & Central Services						
1142	Ensure measures are in place to protect business continuity	Ensure a business continuity plan exists and is updated annually, for all town council sites of operation				

<b>Financial</b>						
	Inadequate budget provision		Annually	Low	Low	1
Responsibility: Clerk						
345	To ensure proper financial provision.	Ensure requirements included in annual budget process.				

**Physical**

Fire

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

353 To safeguard against fire risk.

Staff receive health and safety training.  
Strict security/control of combustible materials held by Council.  
Fire extinguishers are tested/checked on a regular basis.  
Fire alarm tested weekly.  
Fire drills held on a regular basis  
Separate Risk Assessment for office work and visitors to the office completed by the Clerk.  
Ensure appropriate regulations/controls in hire documentation.

**Physical**

Legionella bacteria in water supply

As and when

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

399 Risk Assessment required every two years, if applicable

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

**Physical**

Poor Office Conditions

Quarterly

Low

Low

1

Responsibility: Officers

- 24 All office accommodation to be of a good standard  
Periodical inspection of office conducted by Clerk.  
Report any adverse conditions to Council/committee/landlord as appropriate  
Arrange repair/maintenance etc. in accordance with tenancy agreement.

**Physical**

Poor/Faulty Office Furniture

Monthly

Low

Low

1

Responsibility: Officers

- 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/replace.

**Technical**

Defective Electrical Equipment/Machinery

Monthly

Low

Low

1

Responsibility: Officers

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 7

No of risks 7  
scored:

No of Action  
Plans:

0

Your Duty = Power to provide 'free resource'

Assessment year: 2021

Act = s 137 Local Government Act 1972

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

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

<b>Technical</b>						
	Failure of Website/Internet Providers		Weekly	Low	Medium	2
			Responsibility: Head of Democratic & Central Services			
28	To maintain high standard of service provision.	Ensure a backup copy of data is maintained. Liaise with provider to ensure early reinstatement of service.				

Completed by:

Date:

Position:

No of Risks 2

No of risks scored: 2

No of Action Plans: 0

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

Assessment year: 2021

**Act =** Local Government Act 1972 s 133

Scoring note:

Low = 1  
Medium = 2  
and High = 3

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
<b>Administration/Legal</b>						
112	Absence of service level agreements	Ensure that all service level agreements are fully completed and operational. Monitor performance to ensure conditions met. Review conditions periodically.	Annually	Low	Low	1
Responsibility: Head of Grounds & Environmental Service						
<b>Administration/Legal</b>						
114	To provide effective control of facility bookings etc.	Determine responsibility for dealing with user applications. Completed agreement to be a pre-requisite of facility hire. Arrange periodical review of conditions of use etc.	Annually	Low	Low	1
Responsibility: Head of Grounds & Environmental Service						



**Administration/Legal**

Failure to obtain necessary licences.

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

- 113 To meet all statutory requirements for service provision.  
 Determine responsibility for obtaining licences.  
 Maintain adequate records of licence application, renewal etc.  
 Ensure premises licence is in place (where applicable).

**Administration/Legal**

Maintenance of diary of events etc

Quarterly

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

- 115 To provide effective control of facility bookings etc.  
 Determine responsibility for maintenance of events diary.  
 Ensure that a completed booking/application lettings agreement is a prerequisite to facility hire.

**Environmental**

Noise etc pollution

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

- 108 To minimize risk/complaint arising from noise pollution at council owned facilities. Where appropriate set conditions in hire documentation. Maintain record of any complaints received and instigate prompt action where appropriate.

**Environmental**

Pandemic

As and when

High

Medium

6

Yes

*Responsibility: Head of Grounds & Environmental Service*

Action by: Head of Grounds &amp; Environmental Services

Action by date: 29/01/2021

Action plan: Council approved risk assessment in place.  
 Revised terms and conditions for venue hirers.  
 To be monitored regularly.

- 1163 To ensure all Government guidelines relating to Covid-19 are being met. Council approved risk assessment in place. Reduced capacities to allow for social distancing. Only permitted activities to take place. Specific Covid-19 guidance provided to hirers. Reviewed whenever new Government guidance is published.

**Financial**

Failure to collect income.

Annually

Low

Low

1

*Responsibility: Finance officer*

111 To collect and bank all income due.

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

**Financial**

Failure to set/review charges.

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

110 To ensure annual review of all charges.

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

**Financial**

Inadequate budget provision

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

109 To provide for budgetary review of service.

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

**Financial**

Pandemic

As and when

High

Medium

6

Yes

*Responsibility: Head of Grounds & Environmental Service*

Action by: Head of Grounds & Environmental Services

Action by date: 29/01/2021

Action plan: Anticipated loss of income included in emerging 2021-22 budget.

1164 To forward plan for potential income loss through being unable to hire facilities due to Covid-19 restrictions

Emerging 2021-22 budget includes anticipated loss of income through reduced venue hire

**Physical**

Fire

Quarterly

Low

High

3

*Responsibility: Head of Grounds & Environmental Service*

103 To safeguard against fire risk.

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

**Physical**

Hazardous substances

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

106 To minimise risk associated with the use of hazardous substances.

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

**Physical**

Maintenance of buildings

Annually

Medium

Medium

4

Yes

*Responsibility: Head of Grounds & Environmental Service*

Action by: Head of Grounds &amp; Environmental Services

Action by date: 30/09/2021

Action plan: 10 year maintenance plan under development.

Information to be brought to Grounds Committee

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

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

**Physical**

Security of premises and contents

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

101 To safeguard council assets.

Define policy for security of premises and equipment.  
 Maintain asset register.  
 Allocate responsibility for security/control of equipment.  
 All offices/premises are locked outside working hours.  
 Letting agreements are in place with a condition to secure building on departure.

**Physical**

Stock control

Monthly

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

107 To minimize the risk of loss.

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

**Physical**

Theft

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

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

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

**Physical**

Vandalism.

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

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

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

---

**Completed by:**

**Date:**

**Position:**

*No of Risks* 17

*No of risks scored:* 17

*No of Action Plans:* 3



Your Duty = Power to provide

Assessment year: 2021

Act = Public Health Act 1936 s 87

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

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
<b>Administration/Legal</b>						
Contracts with service providers						
99	To ensure proper administrative arrangements.	Ensure that all contracts are signed and sealed. Monitor performance to ensure that contract conditions/obligations are met. Where appropriate examine contractor insurance documentation. Review conditions periodically.	Annually	Low	Low	1
Responsibility: Head of Cultural & Economic Services						

<b>Administration/Legal</b>						
Disability & Discrimination Act						
100	To meet statutory obligations for service provision.	Ensure that all conditions of the Act as they affect service provision are met. Allocate responsibility to ensure that standards/ongoing requirements are met.  Carry out periodical review of service.	Annually	Low	Low	1
Responsibility: Head of Cultural & Economic Services						

**Administration/Legal**

Pandemic

Annually

High

Medium

6

Yes

1158 Ensure health and safety legislation and guidance is complied with.

Capacity reduced to allow social distancing.  
Council approved risk assessment in place and under regular review.

*Responsibility: Head of Cultural & Economic Services*

Action by: Head of Cultural & Economic Services

Action by date: 31/12/2021

Action plan: To be kept under regular review.

*Comments: Council approved risk assessment in place*

**Administration/Legal**

Tenancy agreement with principal authority

Annually

Low

Low

1

98

Monitor performance to ensure conditions met.  
Principal authority has responsibility for Legionella testing.

*Responsibility: Head of Cultural & Economic Services*

**Environmental**

Pollution

Daily

Low

Low

1

*Responsibility: Head of Cultural & Economic Services*

93 To minimize risks arising from pollution.

Determine responsibility for control.

Ensure that all equipment is properly maintained and operating correctly.

Have arrangements in place as necessary to deal with any problems arising.

**Environmental**

Vandalism.

Annually

Low

Low

1

*Responsibility: Head of Cultural & Economic Services*

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

Maintain liaison with local enforcement agencies.

**Financial**

Failure to achieve desired standard of cleaning/hygiene

Daily

Low

Low

1

*Responsibility: Head of Cultural & Economic Services*

95

To maintain high standard of hygiene/cleanliness.

Below points all covered within cleaning contract:  
 Define responsibility for cleanliness/hygiene of premises.  
 Provide appropriate staff training.  
 Maintain a maintenance log/cleaning regime.  
 Arrange for periodical checks.

**Financial**

Inadequate budget provision

Annually

Low

Low

1

*Responsibility: Head of Cultural & Economic Services*

97

To ensure proper financial provision.

Ensure that service requirements are included in annual budget process.

**Physical**

Hazardous substances control

Annually

Low

Low

1

*Responsibility: Head of Cultural & Economic Services*

91 To minimize associated risks.

Cleaning contractor has responsibility for use and control.

**Physical**

Maintenance

Annually

Low

Low

1

*Responsibility: Head of Cultural & Economic Services*

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

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

Responsibility: Head of Cultural & Economic Services

89 To safeguard council property.

CCTV in place; responsibility of principal authority.  
Maintain liaison with external agencies.

**Completed by:**

**Date:**

**Position:**

No of Risks 11

No of risks 11  
scored:

No of Action  
Plans: 1

Your Duty = Power to provide

Assessment year: 2021

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

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

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
<b>Administration/Legal</b>						
	Provision of inadequate standard of seating.		Annually	Low	Low	1
Responsibility: Head of Grounds & Environmental Service						
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.				

<b>Environmental</b>						
	Vandalism		Annually	Low	Low	1
Responsibility: Head of Grounds & Environmental Service						
370	To minimise the risk of loss/damage/injury arising from vandalism. To minimise risk arising from anti-social behaviour.	Seek to mitigate risk as far as possible. Maintain liaison with enforcement agencies.				

**Physical**

Fire

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

351 To safeguard against fire risk.

Ensure appropriate regulations/controls adhered to.

**Physical**

Injury or damage arising from use.

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

362 To minimise risk arising from use.

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



**Technical**

Inadequate maintenance of shelters &amp; seats

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

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.

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

No of Risks 5

No of risks scored: 5

No of Action Plans: 0

**Your Duty = Power to provide**

Assessment year: 2021

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

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

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
<b>Administration/Legal</b>						
	Equipment nearing end of life expectancy.		Annually	Medium	High	6 Yes
			Responsibility: Head of Grounds & Environmental Service			
			Action by: Head of Grounds & Environmental Services			
			Action by date: 31/12/2021			
			Action plan: Keep Committee informed regarding status of equipment and possible options.			
			Comments: Equipment is nearing the end of its lifespan. Financial implications are significant and require forward planning.			

<b>Environmental</b>						
	Inadequate Safety Signage		Monthly	Low	Low	1
			Responsibility: Head of Grounds & Environmental Service			
367	To minimise risk.	Ensure that a notice is displayed at the site providing minimum advice:- Any restrictions of use i.e. equipment and age. Persons use facility only at their own risk. Users must wear appropriate protective clothing. No glass, dogs or alcohol allowed on site. The maximum number of users at any one time.				

## Environmental

### Vandalism

Weekly

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

- 366 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 site.  
Arrange for regular site visits.  
Consider use of professional security service where necessary.  
Maintain liaison with law enforcement agencies.

## Financial

### Legal Liability arising from asset ownership

Annually

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

- 363 To ensure control of risk.
- Ensure that Council's insurer is aware of facility provision.  
Ensure adequate cover is provided in policy.  
Carry out annual review.

**Physical**

General Health &amp; Safety

Monthly

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

364 To minimise risks arising.

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

**Physical**

Injury to users arising from accident.

Weekly

Low

Low

1

*Responsibility: Head of Grounds & Environmental Service*

365 To minimise risk.

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

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

No of Risks 6

No of risks scored: 6

No of Action Plans: 1

**Your Duty =** Power to provide recreational facilities  
 Power to do anything an individual may do provided it is not prohibited by other legislation.

Assessment year: 2021

**Act =** Local Government (Miscellaneous Provisions) Act 1976, s.19  
 General Power of Competence 2012

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**

Data protection of sensitive information regarding minors

Monthly      **Medium**      **Medium**      **4**      **Yes**

Responsibility: Head of Cultural & Economic Services  
 Action by: Officers  
 Action by date: 30/07/2021  
 Action plan: All data protection matters relating to Tactics to be reviewed by end of July 2021 (delayed due to Covid-19).

1136	Ensure legislative requirements are met including Data Protection Act 2018	Staff to be fully aware of data protection requirements and council policies. Paper documentation to be securely locked away. Electronic documentation only accessible to authorised personnel. Data Protection Impact Assessment to be reviewed annually. Passwords to be changed periodically.
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**Environmental**

Pandemic

Annually      **High**      **High**      **9**      **Yes**

Responsibility: Head of Cultural & Economic Services  
 Action by: Head of Cultural & Economic Services  
 Action by date: 31/12/2021  
 Action plan: Ongoing review.

1168	Need to ensure Government guidance is adhered to.	Council approved risk assessment in place. Limited delivery of services to mitigate risks.
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Comments: Council approved risk assessment in place. Services adapted to mitigate risks while continuing to support young people.

## Physical

Health and safety risks

Monthly

Low

Low

1

Responsibility: Head of Cultural & Economic Services

1135 Ensure building is safe for public access

Risk assessments to be done regularly and any actions completed.  
Periodic assessment by Council's health and safety provider.  
Ensure adequate insurance is in place.  
Ensure hirers of the building are made aware of their responsibilities and liabilities.

## Professional

Professional appropriate qualifications for staff

Monthly

Low

Medium

2

Responsibility: Head of Cultural & Economic Services

1137 To ensure staff dealing with young people are appropriately qualified for youth work

Check youth work qualifications prior to employment.  
Ensure staff training is reviewed annually through the appraisal process  
Review regularly to ensure minimum standards are met to provide the service.  
Ensure boundaries and guidelines are clear such that staff do not try to give advice outside their remit but make referrals to specialist organisations as appropriate.

**Professional**

Safeguarding of minors

Monthly

Low

Medium

2

Responsibility: Head of Cultural & Economic Services

1138 To ensure regulatory safeguarding requirements are met  
Ensure safeguarding training is undertaken for all staff.  
Ensure safeguarding procedures are reviewed periodically.

**Completed by:**

**Date:**

**Position:**

No of Risks 5

No of risks scored: 5

No of Action Plans: 2

**Your Duty =** Right to be notified of planning applications

Assessment year: 2021

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

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

<i>Risk / ID</i>	<i>Hazard / Requirement</i>	<i>Control</i>	<i>Review timing &amp; Responsibility</i>	<i>Likelihood of occurrence</i>	<i>Impact on Council</i>	<i>Your action Score required</i>
<b>Administration/Legal</b>						
	Failure to meet consultation deadlines.		Annually	Low	Low	1
			Responsibility: Head of Democratic & Central Services			
62	To meet consultation timetable.	<p>Scheme of delegation in place.</p> <p>Planning applications are considered by Planning &amp; Transport Committee every three weeks.</p> <p>Where necessary liaise with the Planning Authority for possible extension.</p> <p>Council responses to planning applications are submitted to the Planning Authority as soon as practicable after the meeting.</p>				
<b>Administration/Legal</b>						
	Maintenance of register/records		Annually	Low	Low	1
			Responsibility: Head of Democratic & Central Services			
61		<p>All planning applications are e-mailed/mailed directly to the Council,</p> <p>The planning applications form part of the Council minutes, so all decisions/comments are recorded within the Council minutes.</p>				



**Physical**

Security of records

Annually

Low

Low

1

Responsibility: Head of Democratic & Central Services

60 To safeguard planning records.

Planning records are held by the Planning Authority.  
Details of decisions taken by the Council are held within the minutes.

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**Completed by:**

**Date:**

**Position:**

No of Risks 3

No of risks scored: 3

No of Action Plans: 0

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

Assessment year: 2021

**Act =** s 3 Parish Council Act 1970

Scoring note:

Low = 1  
Medium = 2  
and High = 3

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

Failure to obtain necessary approval.

As and when

Low

Low

1

Responsibility: Officers

356

Determine responsibility for administration.  
Ensure that appropriate applications are submitted to Highway Authority.

## Financial

Inadequate budget provision

Annually

Low

Low

1

Responsibility: Officers

358

To ensure proper financial provision. Ensure service requirement included in annual budget.

**Physical**

Inadequate maintenance.

Quarterly

Low

Low

1

Responsibility: Officers

357

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

**Physical**

Vandalism

Monthly

Low

Low

1

Responsibility: Officers

58

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

Carry out regular inspection of signs.  
Maintain liaison with local enforcement agencies.

**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: 2021

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

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

Risk / ID	Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Your action Score required
<b>Physical</b>						
	Inadequate budget provision		Annually	Low	Low	1
<i>Responsibility: Head of Grounds &amp; Environmental Service</i>						
313	To ensure annual service review.	Review service provision within annual budget process.				

<b>Physical</b>						
	Inadequate maintenance.		Annually	Low	Low	1
<i>Responsibility: Head of Grounds &amp; Environmental Service</i>						
359	To maintain war memorial and the surrounding area to an acceptable standard	Carry out regular inspections of two War Memorials plus RAF Signals memorial. Any works identified to be undertaken by a professional contractor. Maintain detailed records of all work scheduled/completed. Annual maintenance carried out prior to Remembrance Sunday. Both war memorials have now been listed for protection.				

**Physical**

Vandalism

As and when

Low

Low

1

Responsibility: Head of Grounds & Environmental Service

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. Ensure that the relevant insurance is held.

**Completed by:**

**Date:**

**Position:**

No of Risks 3

No of risks scored: 3

No of Action Plans: 0

**Your Duty =** Power for councils to have their own websites

Assessment year: 2021

**Act =** Local Government Act 1972, s 142

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

<i>Risk /</i> <i>ID</i>	<i>Hazard</i>	<i>/ Requirement</i>	<i>Control</i>	<i>Review</i> <i>timing &amp;</i> <i>Responsibility</i>	<i>Likelihood</i> <i>of</i> <i>occurrence</i>	<i>Impact</i> <i>on</i> <i>Council</i>	<i>Your</i> <i>action</i> <i>Score</i> <i>required</i>
<b>Administration/Legal</b>							
	Availability of Software tools to build and manage site			As and when	Low	Low	1
	<i>Responsibility: Head of Democratic &amp; Central Services</i>						
374	To ensure that the council has full control of website.		Ensure Council has licence for appropriate software for website maintenance				

<b>Administration/Legal</b>							
	Compromise of copyright by inclusion of website links or frames.			Annually	Low	Low	1
	<i>Responsibility: Head of Democratic &amp; Central Services</i>						
386	To minimise risk.		If website contains links to other sites ensure permission of destination website is prerequisite.				

**Administration/Legal**

Confusion arising from links to external websites

Annually

Low

Low

1

Responsibility: Head of Democratic & Central Services

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: Head of Democratic & Central Services

321 To maintain effective administration.

Ensure that procedures are in place to create and approve website content, and to edit when required.

**Administration/Legal**

Dependence upon an individual

Annually

Low

Low

1

*Responsibility: Head of Democratic & Central Services*

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

**Administration/Legal**

Insurance

Low

Low

1

*Responsibility: Finance officer*

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: Head of Democratic & Central Services*

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.

Feedback provided to committee through communications update reports.

**Administration/Legal**

Lack of visibility of visitor numbers.

Annually

Low

Low

1

*Responsibility: Head of Democratic & Central Services*

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: Head of Democratic & Central Services

377 To avoid risk arising from loss of data.

Back up of the websites is part of the support/hosting agreement with websites provider.

**Administration/Legal**

Non compliance with Freedom of Information Act

Annually

Low

Low

1

Responsibility: Head of Democratic & Central Services

381 To minimise risk.

Ensure that legal requirements are met in full.  
Ensure that ALL information, as declared in the Council Publication Scheme, 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: Head of Democratic & Central Services*

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

High

3

*Responsibility: Head of Democratic & Central Services*

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 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

Low

1

Responsibility: Head of Democratic & Central Services

388 To minimise risk.

Ensure that all involved are aware of the risks involved when publishing information regarding individuals or groups of individuals. 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: Head of Democratic & Central Services

380 To minimise risk.

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

**Technical**

Inadequate control of website

Annually

Low

Medium

2

Responsibility: Head of Democratic & Central Services

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: Head of Democratic & Central Services*

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: Head of Democratic & Central Services*

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 18

No of risks scored: 18

No of Action Plans: 0