

LCRS Step 5 - Risk report for Allotments

Your Duty =

Dawlish Town Council

Assessment year: 2019

Scoring note:

Low = 1
Medium = 2
and High = 3

Action by:

Review
timing &
Responsibility

Likelihood
of
occurrence

Impact
on
Council

Score

Your
action
required
(>3)

ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action required (>3)
310	<p>Administration/Legal</p> <p>Absence of a completed agreement with every allotment holder.</p> <p>To have a completed agreement on file for every allotment holder.</p>	<p>Tenancy agreement is completed and signed by all parties prior to occupation.</p> <p>Allotment register maintained.</p> <p>Tenancy Agreements and the rules are reviewed annually to ensure adequacy of conditions.</p>	<p>Annually</p> <p>Yola Mitchell</p>	Low	Medium	2	
309	<p>Administration/Legal</p> <p>Maintenance of Allotment Register.</p> <p>To maintain an up to date register of allotment holders.</p>	<p>Administration Officer has designated responsibility to maintain a proper register ensuring all amendments are promptly recorded using the RBS Allotments package.</p>	<p>Annually</p> <p>Yola Mitchell</p>	Low	Medium	2	

50 Administration/Legal	Poor Grass Cutting. To maintain required standards at allotment sites.	Annually <i>Yola Mitchell</i> The paths between allotments are maintained by the tenants as part of their Tenancy Agreement The Tenancy Agreement Terms and Conditions are enforced.	Low	Low	1
312 Administration/Legal	Provision of adequate insurance cover. To ensure that the council is fully protected against mandatory and other risks.	Annually <i>Yola Mitchell</i> Annual review of insurance is carried out to ensure all appropriate risks are covered by the Town Council. All Tenants are members of the Brownsbrook Allotments Association. Any and all changes to allotment tenancies are notified to the Chairman of the Allotments Association.	Low	High	3
301 Environmental	Accumulation of rubbish. To maintain acceptable standards for site.	Annually <i>Yola Mitchell</i> Responsibility for site maintenance is clearly defined. Tenants are encouraged to report any issues as they arise. The terms and conditions of tenancy agreements are enforced. Brownsbrook Allotments Association and Town Council liaise and act quickly to resolve any issues that may arise.	Low	Low	1

53 Environmental	Build up of non-compostable rubbish To maintain high standard of cleanliness and minimize risk.	The terms and conditions of the tenancy agreements are enforced. There is good liaison with the Brownsbrook Allotments Association and the Town Council in order to address any issues as they arise.	Quarterly	Low	Low	1
302 Environmental	Dumping/Hazardous substances 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. The Town Council and the Brownsbrook Allotments Association will liaise and address any issues as they arise. The Town Council will liaise with police and/or other authorities where necessary.	Quarterly	Low	Medium	2
49 Environmental	Loss / Damage to water supply. To maintain adequate water supply and minimise loss/damage arising there from.	Town Council is responsible for maintenance of water supply. Procedures are in place to rectify faults should they occur. The water supply is switched off during the winter months to prevent burst pipes.	As and when	Low	Medium	2

Yola Mitchell

Yola Mitchell

Yola Mitchell

52 Environmental	Quarterly Yola Mitchell	Low	Low	1
Untidy Plots. To ensure that site is maintained to the required/acceptable standard.	The rules, terms and conditions of tenancy agreements are enforced. Allotment tenants are notified of any identified issues on their plots as they arise and given appropriate time to rectify issues. Notices are served as and when required. Town Council and Brownsbrook Allotments Association liaison is maintained at all times.			
48 Environmental	Quarterly Yola Mitchell	Low	Medium	2
Vandalism of sites. To minimise the risk of loss/damage/injury arising from vandalism.	All allotment sites are regularly monitored. Allotment tenants are encouraged to report any issues to the Brownsbrook Allotments Association and/or the Town Council. There is liaison with local policing teams in the areas affected when necessary.			
303 Environmental	As and when Yola Mitchell	Low	Medium	2
Vandalism. To minimise the risk of loss/damage/injury arising from vandalism.	Security is reviewed regularly and local police are consulted as and when required. The Town Council will instigate legal action against perpetrators where appropriate.			

304	Environmental Vermin. To control and minimise impact.	Define responsibility for standards of hygiene/cleanliness etc. of site. Rules, terms and conditions of tenancy agreements are enforced. Appropriate action to deal with any identified problems is taken. There is liaison between the Town Council and the Brownsbrook Allotments Association to identify and address issues early.	Annually Yola Mitchell	Low	Medium	2
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308	Financial Failure to collect rents & charges. To ensure that all income due to the council is properly collected and banked.	Town Council is responsible for collection of income due. Proper records of income received and banked are maintained. RBS Allotments and Accounts packages are used and records are audited internally and externally. Terms and conditions of allotment tenancy agreements are enforced. Allotment Register is accurately maintained. Finance Officer follows procedures for outstanding debts.	Quarterly Yola Mitchell	Low	High	3
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306	Financial Failure to review rents & charges. To ensure that rent income is subject to regular review.	Allotments rents and charges are reviewed annually as an integral part of the annual budget process.	Annually Yola Mitchell	Low	Medium	2
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298	Physical	Maintenance of Council owned equipment.	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.	Annually Yola Mitchell	Low	Low	1
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300	Physical	Personal injury.	To minimise risk.	Ensure that any conditions that might lead to personal injury are minimised and properly controlled. Examination of allotment environment is undertaken on a quarterly basis as a minimum with any required works identified. Liaison with Brownsbrook Allotments Association to identify any possible ricks early so they can be addressed.	Annually Yola Mitchell	Low	High	3
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51	Physical	Public Injury as a result of contractor.	To minimise risk to allotment holders and others when contractor on site.	Any Contractors instructed by the Town Council must have a minimum £5m public liability insurance and have completed a risk assessment and work method statement as a minimum requirement.	As and when Yola Mitchell	Low	High	3
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299	Physical Security.	To ensure security of site and equipment.	The responsibility of allotment holders is clearly defined in the tenancy agreement and rules. There is no Council equipment on site.	Annually Yola Mitchell	Low	Low	1
297	Physical Uncontrolled equipment.	To ensure that all equipment is properly secured and controlled and that safety of users is not compromised.	Terms and conditions of tenancy agreement are enforced. Allotment tenants are encouraged to report any issues. Town Council maintains liaison with Brownsbrook Allotments Association.	Quarterly Yola Mitchell	Low	Low	1
47	Physical Unoccupied Plots.	To control and minimise empty allotments.	An allotment waiting list is maintained. The Brownsbrook Allotments Association and the Town Council liaise to ensure any empty sites are adequately maintained. Town Council contacts those on waiting list as and when a plot becomes vacant and the register is updated accordingly.	Monthly Yola Mitchell	Low	Low	1

Completed by: _____ **Date:** _____ **Position:** _____ *No of Risks* **20** *No of risks scored:* **20** *No of Action Plans:* **0**

LCRS Step 5 - Risk report for Bus Shelters

Your Duty = Power to provide and maintain shelters

Dawlish Town Council

Assessment year: 2019

Action by:

Scoring note: Low = 1 Medium = 2 and High = 3
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ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action required (>3)
268	<p>Administration/Legal</p> <p>Absence of Highway Authority Licence.</p> <p>To ensure that the authority has all necessary licences.</p>	<p>Maintain register of licence requirements.</p> <p>Carry out periodical review.</p>	<p>Annually</p> <p>Andrew McKenzie</p>	<p>Low</p>	<p>Medium</p>	<p>2</p>	
267	<p>Administration/Legal</p> <p>Provision of adequate insurance cover.</p> <p>To ensure that the Council has adequate insurance cover.</p>	<p>Ensure that all insurance cover is reviewed annually.</p> <p>Ensure that appropriate action is taken to provide cover for any new risks arising in the year.</p>	<p>Annually</p> <p>Andrew McKenzie</p>	<p>Low</p>	<p>Medium</p>	<p>2</p>	

264	Environmental		Weekly <i>Andrew McKenzie</i>	Low	Low	1
	Cleaning of Bus Shelters.					
	To maintain high standards of health, safety and cleanliness.	Define responsibility and standards for regular cleaning . Carry out periodic physical inspection and take action where appropriate to ensure that set standards are maintained. Graffiti removed by professional cleaning company as and when required.				
263	Environmental		<i>As and when</i> <i>Andrew McKenzie</i>	Low	Low	1
	Design & Position.					
	To maintain high standards and reputation of the Council.	Ensure that design of all shelters is in keeping with architectural values of the council. Ensure that shelters are properly sited.				
265	Environmental		<i>Weekly</i> <i>Andrew McKenzie</i>	Low	Medium	2
	Vandalism.					
	To minimise the risk of loss/damage/injury arising from vandalism.	Arrange regular monitoring of sites. Liaise with local enforcement agencies. Instigate appropriate action against offenders.				

266	Financial	Failure to collect all Advertising Income. To maximise income to the council.	Annually Andrew McKenzie	Low	High	3
						Ensure that proper financial controls are in place to provide for prompt billing and collection of all income due. Follow defined procedure for outstanding debt.

262	Physical	Maintenance of Bus Shelters. To ensure that Bus Shelters are maintained to the appropriate standards.	Quarterly Andrew McKenzie	Low	Medium	2
						Ensure that property is entered on a schedule for periodical maintenance. Maintain proper records of work carried out. Carry out periodical physical inspection.

Completed by:	Date:	Position:	No of Risks 7	No of risks scored: 7	No of Action Plans: 0
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LCRS Step 5 - Risk report for Christmas Lights

Your Duty =

Act =

Assessment year:

Action by:

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

Review
 timing &
 Responsibility

Likelihood
 of
 occurrence

Impact
 on
 Council

Score

Your
 action
 required
 (>3)

ID **Risk /**
Hazard / Requirement

Control

Monthly
 Angie Weatherhead

Low

Low

1

822 **Administration/Legal**

Lack of lights

Ensuring a suitably procured contractor is able to fulfil the Town Council's requirements for provision, supply and maintenance of decorative lighting.

Completed by:

Date:

Position:

No of Risks **1**

No of risks
 scored: **1**

No of Action
 Plans: **0**

LCRS Step 5 - Risk report for Code of Conduct

Your Duty = Duty to adopt a code of conduct

Dawlish Town Council

Assessment year: 2019

Act = p 3 Local Government Act 2000

Scoring note:

Low = 1
Medium = 2
and High = 3

Action by:

Review
timing &
Responsibility

Likelihood
of
occurrence

Impact
on
Council

Score

Your
action
required
(>3)

**Risk /
Hazard / Requirement**

Control

30 **Administration/Legal**

Failure to maintain / update Register of Interests/Gifts

To maintain records of members Declarations of Interest

All council members are aware of their statutory responsibilities. Every Councillor is issued with information for new councillors together with a copy of the Town Council's Standing Orders and Financial Regulations upon signing their Declaration of Acceptance of Office.
Register of Members' Interests maintained.
Chairman asks for interests to be declared at each meeting.
Register of gifts and hospitality book maintained.
Councillors are encouraged to attend refresher training.

Quarterly

Low

Low

1

Andrew McKenzie

Completed by:

Date:

Position:

No of Risks 1

No of risks scored: 1

No of Action Plans: 0

LCRS Step 5 - Risk report for Community Centres

Your Duty = Power to provide and equip buildings for use of clubs having athletic, social or educational objectives

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

Scoring note: Low = 1 Medium = 2 and High = 3
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Dawlish Town Council

Assessment year: 2019

Action by:

ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action required (>3)
231	Administration/Legal Failure to obtain all necessary licences, ie bar, music, weddings, etc. To meet all statutory requirements for service provision.	Define responsibility for obtaining licences. Maintain adequate records of licence application, renewal etc.	Annually Angie Weatherhead	Low	Medium	2	
232	Administration/Legal Maintenance of diary of events/usage. To provide effective control of facility bookings etc.	Define responsibility for maintenance of diary. Completed booking/application a prerequisite to facility hire. All applications to be cross referenced to account/receipt number and filed. RBS Bookings package used as a central database for all bookings and requirements	Annually Manda Stone	Low	High	3	

225 Environmental	Cleaning.	<p>Define responsibility for cleanliness/hygiene of premises</p> <p>Maintain a maintenance log/cleaning regime.</p> <p>Arrange for periodical checks.</p> <p>Manor House & Riverside Centre Committee has overarching responsibility with delegations to officers where appropriate.</p>	Monthly	Low	Low	1
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227 Environmental	<p>Pollution, ie. noise, litter etc.</p> <p>To maintain desired standards for use of facilities and limit impact of pollution.</p>	<p>Ensure that adequate controls/conditions are included in booking application form.</p> <p>Ensure that all users are aware of conditions attached to use of premises.</p> <p>Define policy for dealing with offenders.</p>	Annually	Low	Low	1
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226 Environmental	<p>Vandalism.</p> <p>To minimise the risk of loss/damage/injury arising from vandalism.</p>	<p>Review security and monitor all areas on a regular basis</p> <p>Maintain liaison with local enforcement agencies.</p> <p>Define a policy for dealing with antisocial behaviour.</p> <p>Instigate legal action against perpetrators where appropriate.</p>	Annually	Low	Medium	2

230	Financial	Failure to collect income. To ensure that all income is received and properly banked.	Define responsibility for collection of income. Maintain an effective receipting system. Provide for prompt banking. Maintain proper records of income received and banked Enforce provisions of user agreements Provide for periodical reconciliation and financial report to council.	Quarterly Manda Stone	Low	High	3
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229	Financial	Failure to review charges. To ensure that all charges are subject to regular review.	Review all charges annually as an integral part of the budget process.	Annually Angie Weatherhead	Low	Medium	2
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228	Financial	Inadequate budget provision. To ensure that service provision is included in budgetary process.	Ensure that anticipated costs are adequately provided for in Budgetary process. Council approval to be sought for any unexpected expense to be met from reserves.	Annually Andrew McKenzie	Low	Medium	2
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349	Physical	Fire.		Quarterly <i>Andrew McKenzie</i>	Low	High	3
		To safeguard against fire risk.	<p>Ensure Health/Safety testing complete.</p> <p>Ensure appropriate staff training.</p> <p>Provide for strict security/control of combustible materials held by Council.</p> <p>Provide appropriate extinguishers etc.</p> <p>Ensure appropriate signage in place.</p> <p>Ensure appropriate regulations/controls in hire documentation.</p>				
220	Physical	Maintenance of buildings.		Annually <i>Andrew McKenzie</i>	Low	Medium	2
		To ensure that council property is properly maintained and minimise loss/damage/injury.	<p>Define responsibility for maintenance.</p> <p>Maintain detailed records of work scheduled and completed.</p> <p>Carry out regular inspections of all buildings.</p> <p>Ensure that proper contractual arrangements are in place for specialist/other services.</p> <p>Arrange adequate insurance cover.</p>				
221	Physical	Maintenance of equipment.		Annually <i>Andrew McKenzie</i>	Low	Medium	2
		To ensure that all equipment is properly maintained.	<p>Ensure that equipment is properly maintained through regular inspection/servicing.</p> <p>Ensure that proper maintenance records are complete and up to date.</p> <p>Ensure that responsibility is defined and any training requirement is complete.</p>				

213	Physical	Personal injury.		Annually	Low	High	3
		To ensure that any conditions that might lead to personal injury are minimised and properly controlled.	Ensure that all staff have appropriate training and adhere to approved working practices.				
			Ensure that the correct, properly maintained equipment is available as appropriate.				
			Ensure that any risks to the public are minimised and eliminated wherever possible.				
			Maintain records of staff training.				
			Maintain records of any injuries.				
			Define responsibility in job descriptions etc.				
<hr/>							
214	Physical	Security of buildings		Annually	Low	Medium	2
		To maintain a high standard of security.	Allocate responsibility for security/control of premises.				
			Define policy and provide for security.				
			Staff employed or contract with service provider in place.				
			Appropriate staff training complete.				
			Detailed schedules/records maintained.				
			Liaison with local enforcement agencies maintained.				
<hr/>							
222	Physical	Security of equipment.		Annually	Low	Medium	2
		To ensure that all property is secure and minimise loss by theft or otherwise.	Define policy for security of equipment.				
			Ensure that responsibility of users is clearly defined in hire/user agreement.				
			Allocate responsibility for security/control.				
			Maintain records of loss or damaged equipment.				
			Maintain asset register.				

223	Physical	Security of Hazardous Substances + D73.		Annually	Low	Medium	2
		To minimise the risk of damage/injury arising from the use of hazardous substances.	Define responsibility for use and control. Provide for any necessary training. Provide for appropriate clothing. Ensure that any necessary licences, certificates for use have been obtained. Ensure that security is sound. Ensure that any disposals are properly dealt with. Maintain proper records.	Andrew McKenzie			

224	Physical	Stock control.		Monthly	Low	Low	1
		To minimize the risk of loss.	Define responsibility for stock control. Arrange for regular stock checks. Maintain proper records. Reconcile stocks to sales etc records.	Manda Stone			

Completed by:	Date:	Position:	No of Risks 16	No of risks scored: 16	No of Action Plans: 0
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LCRS Step 5 - Risk report for Computing

Your Duty = Power to facilitate discharge of any function

Dawlish Town Council

Assessment year: 2019

Act = s 111 Local Government Act 1972

Scoring note:

Low = 1
Medium = 2
and High = 3

Action by:

Review
timing &
Responsibility

Likelihood
of
occurrence

Impact
on
Council

Score

Your
action
required
(>3)

ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action required (>3)
325	Physical Loss arising from theft/misappropriation. Maintain adequate security of site and equipment.	Access to Town Council offices only available when Town Council staff are present. The building is alarmed and all equipment is security tagged. All computers are password protected. High security of site and equipment is maintained at all times.	Annually Andrew McKenzie	Low	Low	1	
318	Physical Loss/damage arising from unauthorised use. Maintain security of computer.	Access restricted through use of controlled passwords. Passwords are changed periodically.	Annually Andrew McKenzie	Low	Low	1	

Crash of IT System.

To minimise risk arising from breakdown of equipment.

Town Council computer systems are backed up daily, with 3 different hard drives being rotated regularly.
 Town Council ensures equipment is properly maintained.
 Access is restricted to authorised users.
 Only approved software is used.
 Town Council operate up to date anti virus software.
 Town Council has a laptop it could independently use in the event of a total crash.

Completed by:	Date:	Position:	<i>No of Risks</i> 3	<i>No of risks scored:</i> 3	<i>No of Action Plans:</i> 0
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LCRS Step 5 - Risk report for Council Meetings

Your Duty =

Act = Local Government Act 1972

Dawlish Town Council

Assessment year: 2019

Action by:

Scoring note:

Low = 1
Medium = 2
and High = 3

ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action required (>3)
218	<p>Administration/Legal</p> <p>Access.</p> <p>To meet all statutory requirements and maintain effective administration.</p>	<p>There is a lift to the first floor as well as a wide staircase.</p> <p>Table set aside for press and public.</p> <p>Sufficient seating available for press and public.</p> <p>In the event that the lift is not working the meeting will be moved to a ground floor room</p>	<p>Annually</p> <p>Andrew McKenzie</p>	Low	Low	1	
217	<p>Administration/Legal</p> <p>Failure to meet statutory duty.</p> <p>To meet all statutory requirements and maintain effective administration.</p>	<p>All meetings comply with LGA 1972. Town Clerk is CiLCA qualified.</p> <p>Council randomly checks its own internal controls as well as Internal Auditor checks.</p> <p>All members are notified of meeting by way of summons and agenda in accordance with LGA 1972.</p> <p>All public notices are posted as prescribed in LGA 1972.</p> <p>Town Clerk ensures meetings are quorate and attendance records are maintained.</p> <p>Minutes are taken of all Council and Committee meetings and signed at the next meeting by the Chairman.</p> <p>All minutes are produced in accordance with legislation and kept in files in the Town Council office.</p>	<p>Andrew McKenzie</p>	Low	Low	1	

319	Physical		Annually	Low	Low	1
	Personal Injury.		Andrew McKenzie			
	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.				

219	Physical		Annually	Low	Low	1
	Security.		Andrew McKenzie			
	To ensure that effective security arrangements are in place.	Town Council officers are aware of responsibility for security/control and implementation in order to protect themselves and others.				

Completed by:	Date:	Position:	No of Risks 4	No of risks scored: 4	No of Action Plans: 0
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LCRS Step 5 - Risk report for Council Property and Documents

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

Dawlish Town Council

Assessment year: 2019

Act = Freedom of Information Act 2000

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

ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action required (>3)
44	Financial Legal Liability as a result of Asset Ownership. Provision of adequate public liability insurance	Detailed asset register is maintained. Adequate public liability insurance is in place with RSA.	Annually Andrew McKenzie	Low	High	3	
45	Physical Loss / Damage to Civic Regalia. To safeguard council assets.	Register of Assets maintained and updated annually and as and when required. Council has adequate insurance against damage and theft. Proper security/storage is in place. Users are aware of their responsibility when regalia is in their care. Civic Regalia is suitably maintained and cleaned. Civic Regalia is collected and returned under secure conditions.	Monthly Andrew McKenzie	Low	Medium	2	

43	Physical	Loss of assets.	To minimise the risk of loss through theft/misappropriation of assets.	Effectively security of all assets maintained. Asset Register maintained and reviewed annually as a minimum.	Annually	Low	Medium	2
					Andrew McKenzie			

46	Professional	Failure to effectively process documents.	To ensure effective processing and safe keeping of all documentation received by the Town Council	Town Clerk is responsible for maintenance of effective control of documentation. Deeds and leases stored in fire proof box in Town Council office, and then within security locked cupboard. All documents subject to the Council's adopted retention and disposal policy.	Daily	Low	Medium	2
					Andrew McKenzie			

Completed by:	Date:	Position:	No of Risks	4	No of risks scored:	4	No of Action Plans:	0
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LCRS Step 5 - Risk report for Crime Prevention - CCTV

Your Duty = Powers to spend money on various crime prevention measures

Dawlish Town Council

Assessment year: 2019

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

Scoring note:

Low = 1
Medium = 2
and High = 3

Action by:

Review
timing &
Responsibility

Likelihood
of
occurrence

Impact
on
Council

Score

Your
action
required
(>3)

ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action required (>3)
336	<p>Administration/Legal</p> <p>Data Protection - Registration & compliance.</p> <p>To ensure statutory requirements are met.</p>	<p>Arrange for any necessary Data Protection registration and compliance.</p> <p>Check if any necessary registration needs to be arranged.</p> <p>Ensure that personnel are aware of compliance requirements.</p> <p>Arrange necessary training.</p>	<p>Annually</p> <p>Andrew McKenzie</p>	<p>Low</p>	<p>High</p>	<p>3</p>	
307	<p>Administration/Legal</p> <p>Failure to appoint representative on CCTV group.</p> <p>To ensure that council interest is properly represented.</p>	<p>Ensure that representative(s) are properly appointed by council.</p> <p>Arrange periodical reports to Council.</p>	<p>Annually</p> <p>Yola Mitchell</p>	<p>Low</p>	<p>Low</p>	<p>1</p>	

335 Administration/Legal	Failure to comply with Code of Practice. To meet requirements of code.	Ensure that where appropriate operatives are aware of code requirements. Provide for necessary training.	Annually Yola Mitchell	Low	High	3
331 Administration/Legal	Failure to provide for recording media. To minimise risk of service loss.	Ensure that responsibility for supply of recording media, including adequate history, is determined. Provide for an emergency supply.	Annually Yola Mitchell	Low	Medium	2
329 Financial	Inadequate budget provision. Ensure annual service review.	Ensure that service/facility requirements are detailed in budget process. Ensure that any wayleave costs have also been identified and agreements drawn up with property owners.	Annually Yola Mitchell	Low	Medium	2

332	Physical	Failure of system - equipment.		Annually <i>Yola Mitchell</i>	Low	High	3
		To minimise risk.	Define responsibility for use and control. Provide for any necessary training and regular testing. Ensure that proper maintenance contracts are in place. Make provision for urgent repairs. Maintain proper records.				
334	Physical	Security of control room operations.		Quarterly <i>Yola Mitchell</i>	Low	Low	1
		To provide for safe and efficient service operation.	Determine policy for control room operations. Allocate responsibility for security/control of premises. Arrange appropriate staff training. Maintain liaison with local enforcement agencies.				
333	Physical	Security of equipment.		Quarterly <i>Yola Mitchell</i>	Low	Low	1
		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.				

330	Physical	Vandalism.	To minimise risk arising from vandalism/antisocial behaviour.	Maintain efficient and effective security. Maintain liaison with local enforcement agencies. Take action as appropriate against offenders.	Monthly Yola Mitchell	Low	Low	1
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317	Technical	Unauthorised use of equipment.	Maintain security of equipment.	Maintain security of system. Set up password authorisation to restrict access.	Annually Yola Mitchell	Low	High	3
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Completed by:	Date:	Position:	No of Risks	10	No of risks scored:	10	No of Action Plans:	0
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LCRS Step 5 - Risk report for Data Protection

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

Dawlish Town Council

Assessment year: 2019

Act = Data Protection Act 1998

Scoring note:

Low = 1
Medium = 2
and High = 3

Action by:

Review
timing &
Responsibility

Likelihood
of
occurrence

Impact
on
Council

Score

Your
action
required
(>3)

**Risk /
Hazard / Requirement**

Control

29 **Administration/Legal**

Breach of confidentiality.

To ensure that statutory requirements are met.

Daily

Low

Low

1

Andrew McKenzie

Dawlish Town Council is registered as a Data Controller with the Information Commissioners Office. Town Council has a Data Protection Policy. All Town Council Officers undertake training when they commence employment and periodically afterwards. All Councillors are aware of their obligation under Data Protection and undergo ad hoc training.

Completed by:

Date:

Position:

No of Risks 1

No of risks scored: 1

No of Action Plans: 0

LCRS Step 5 - Risk report for Employment of Staff

Your Duty = Duty to Appoint

Dawlish Town Council

Assessment year: 2019

Act = s 112 Local Government Act 1972

Scoring note:

Low = 1
Medium = 2
and High = 3

Action by:

Review
timing &
Responsibility

Likelihood
of
occurrence

Impact
on
Council

Score

Your
action
required
(>3)

**Risk /
Hazard / Requirement**

Control

Annually

23 **Administration/Legal**

Failure to comply with Employment Law.

To ensure that the council fulfils its responsibilities.

Contracts of employment issued to all employees.

Annual review of Staff Contracts of Employment undertaken.

Town Clerk has responsibility for maintaining up to date knowledge of new legislation and bringing this to the attention of Administration and Personnel Committee.

Training arranged as and when required including Clerks CPD.

Advice taken from Mid Devon District Council's Human Resources Department is taken before any

785 **Financial**

Overpayment or underpayment of salaries and expenses.

Ensure that all payments to staff are in accordance with employment contracts approved by the council.

Monthly

Yola Mitchell

Low

High

3

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.

22	Professional	Attacks on Personnel.	To protect staff.	Town Council officers are equipped with personal attack alarms. Council office door is locked and security coded. All Council staff are behind security screens. Staff have telephone access at all times during their work. Appropriate insurance is maintained.	Monthly	Low	High	3
					<i>Andrew McKenzie</i>			
17	Professional	Inability to recruit.	To improve recruitment.	Recruitment policy reviewed when the need arises to recruit staff.	As and when	Low	Medium	2
					<i>Andrew McKenzie</i>			
18	Professional	Inability to retain staff.	To minimise risk arising from high turnover of staff.	Staff Appraisals conducted on an annual basis and when required.	Annually	Low	Medium	2
					<i>Andrew McKenzie</i>			

21	Professional	Lack of Employee motivation/efficiency. 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.	Annually Andrew McKenzie	Low	Low	1
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20	Professional	Lack of Training. 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, DALC etc. Staff encouraged to network with other Clerks in the area. Appropriate training records maintained.	Annually Andrew McKenzie	Low	Medium	2
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19	Professional	Loss of key staff. To avoid problems arising from loss of key personnel.	Procedures for key functions are documented. Three members of staff, Town Clerk, Assistant Clerk and Receptionist provide flexibility and cover. Town Clerk has trained Assistant Clerk in all key duties/functions.	Quarterly Andrew McKenzie	Low	High	3
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Completed by:	Date:	Position:	No of Risks 8	No of risks scored: 7	No of Action Plans: 0
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LCRS Step 5 - Risk report for Entertainment and the arts

Your Duty = Provision of entertainment and support of the arts

Dawlish Town Council

Assessment year: 2019

Act = s 145 Local Government Act 1972

Scoring note:

Low = 1
Medium = 2
and High = 3

Action by:

Review
timing &
Responsibility

Likelihood
of
occurrence

Impact
on
Council

Score

Your
action
required
(>3)

**Risk /
Hazard / Requirement**

Control

198 **Administration/Legal**

Absence of key staff.

To ensure that minimum staffing arrangements are in place to meet service need.

Event Management Plan to be devised for all events clearly defining responsibilities, key personnel and their deputies as well as overall management of the event.

Annually

Low

High

3

Angie Weatherhead

197 **Administration/Legal**

Provision of adequate insurance cover.

To ensure that appropriate insurance cover in place.

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

Annually

Low

High

3

Angie Weatherhead

199 Administration/Legal	Staff training. To ensure that all staff have appropriate training.	Determine council policy for training for the event and ensure all staff and volunteers receive appropriate training where necessary. Maintain records of training provided.	Annually	Low	Medium	2
192 Environmental	Noise pollution. To minimise risk/complaint arising from noise pollution at council owned facilities.	Where appropriate set conditions in hire documentation. Carry out regular site inspections. Maintain record of any complaints received and instigate prompt action where appropriate. Liaise with local enforcement agencies.	As and when	Low	Low	1
191 Environmental	Vandalism. To minimise the risk of loss/damage/injury arising from vandalism.	Maintain efficient and effective security. Maintain liaison with local enforcement agencies. Take action as appropriate against offenders.	Annually	Low	Medium	2

195	Financial	Box Office controls. To minimize the risk of loss by theft/misappropriation.	Determine policy and responsibility for box office security. Define responsibility cash handling procedures Ensure appropriate staff training. Maintain comprehensive records, ticket returns/reconciliation etc. Arrange periodical checks/internal audit.	Annually	Low	Low	1
				<i>Manda Stone</i>			
196	Financial	Contractual arrangements with service providers- films, artistes etc. To ensure that proper contractual arrangements are in place.	Ensure that a signed contract is in place as pre requisite of service provision. Check/enforce contract conditions in interest of Council.	As and when	Low	Medium	2
				<i>Angie Weatherhead</i>			
194	Financial	Failure to collect rents & charges. To maximise income due to the council.	Define responsibility for collection of income. Ensure that all income due to the council and received is properly recorded. Make provision for prompt banking. Issue tickets/receipts for all income received. Follow defined procedure for reminders in respect of unpaid accounts. Take appropriate recovery action where necessary. Arrange appropriate internal audit testing. Council approval required for write-off on any irrecoverable debts.	Annually	Low	High	3
				<i>Manda Stone</i>			

193	Financial		Annually Angie Weatherhead	Low	Medium	2
	Failure to review rents and charges.					
	To ensure that all charges are subject to annual review.	Review all charges annually as an integral part of the budgetary process.				
347	Fire		Annually Angie Weatherhead	Low	High	3
	To safeguard against the risk of fire.					
		<p>Health & Safety testing to be completed including a full risk assessment.</p> <p>Ensure appropriate staff training</p> <p>Provide for strict security/control of combustible materials held by council.</p> <p>Provide appropriate extinguishers etc.</p> <p>Ensure appropriate signage in place.</p> <p>Ensure appropriate regulations are followed.</p> <p>Ensure appropriate regulations/controls in hire documentation.</p> <p>Where possible have Fire & Rescue Service at event.</p>				
348	Physical		Annually Angie Weatherhead	Low	High	3
	Fire.					
	To safeguard against fire risk.					
		<p>Health & Safety testing to be completed and full risk assessment.</p> <p>Ensure appropriate staff training</p> <p>Provide for strict security/control of combustible materials held by council.</p> <p>Provide appropriate extinguishers etc.</p> <p>Ensure appropriate signage in place.</p> <p>Ensure appropriate regulations are followed.</p> <p>Ensure appropriate regulations/controls in hire documentation.</p> <p>Where appropriate ask Fire Service to attend event.</p>				

185	Physical	Maintenance of buildings. To ensure proper maintenance of premises and minimise risk of loss/damage/injury.	Define responsibility for maintenance. Carry out regular inspections of all premises. Maintain detailed records of all work scheduled/completed.	Annually	Low	Medium	2
				<i>Angie Weatherhead</i>			
187	Physical	Maintenance of equipment To ensure proper maintenance of equipment and minimize loss/damage/injury.	Determine responsibility for use and control. Arrange contract maintenance for specialist equipment. Provide for any necessary staff training. Provide for appropriate protective clothing. Ensure that any necessary licences, certificates for use have been obtained. Ensure that security is sound. Ensure that any disposals are properly dealt with. Maintain proper records.	Annually	Low	Medium	2
				<i>Angie Weatherhead</i>			
186	Physical	Security of buildings. To maintain security of Council premises.	Responsibility for security defined. Staff employed or contract with service provider in place. Appropriate staff training complete. Detailed schedules/records maintained. Liaison with local enforcement agencies maintained.	Annually	Low	Medium	2
				<i>Angie Weatherhead</i>			

188	Physical	Security of equipment. To minimise loss through theft/misappropriation.	Define policy for security of premises and equipment. Determine responsibility for security/control of equipment. Ensure effective security arrangements in place. Maintain asset register.	Annually Angie Weatherhead	Low	Medium	2
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189	Physical	Security of exhibits. To minimise the risk of loss or damage to exhibits.	Determine policy/ responsibility for security of exhibits. Ensure effective security arrangements in place. Ensure adequate insurance cover in place.	Annually Angie Weatherhead	N/A	N/A	0
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190	Physical	Stock control. To minimise the risk of loss.	Determine responsibility for stock. Arrange for regular stock checks. Reconcile stock to sales/usage. Investigate significant differences. Maintain comprehensive stock records.	Annually Angie Weatherhead	Low	Low	1
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Completed by:	Date:	Position:	No of Risks 17	No of risks scored: 17	No of Action Plans: 0
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LCRS Step 5 - Risk report for Financial Management

Your Duty = Duty to ensure responsibility for financial affairs

Dawlish Town Council

Assessment year: 2019

Act = s 151 LGA 1972

Scoring note:

Low = 1
Medium = 2
and High = 3

Action by:

Review
timing &
Responsibility

Likelihood
of
occurrence

Impact
on
Council

Score

Your
action
required
(>3)

ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action required (>3)
40	Administration/Legal Failure to comply with Customs & Excise regulations. Efficient financial administration.	Scribe accounting system used. VAT properly administered, with returns being made on a quarterly basis. Refer to guidance from HMRC where necessary. All input tax is properly recorded on Scribe accounting package. All claims reconciled to cashbook.	Quarterly Yola Mitchell	Low	High	3	
39	Administration/Legal Failure to comply with Inland Revenue regulations. Efficient financial administration.	Salaries and pension payments outsourced to Mid Devon District Council, who employ specialised staff. Records received relating to the payment of salaries are comprehensively checked and maintained. Prompt payment of all sums due are arranged.	Quarterly Yola Mitchell	Low	High	3	

327 Administration/Legal	<p>Failure to maintain record of council assets.</p> <p>To minimize the risk of loss associated with failure to maintain adequate records.</p>	<p>Town Clerk is responsible for maintenance of asset register. All acquisitions/disposals are accurately and promptly recorded. Periodical inventory checks carried out. Asset register reviewed annually as a minimum.</p>	Annually	Low	Low	1
338 Administration/Legal	<p>Incurring expenditure without proper legal authority.</p> <p>To ensure all expenditure is intra vires, ie. "within the powers".</p>	<p>Town Clerk checks to ensure all expenditure is within legal authority.</p> <p>Town Council has attained General Power of Competence.</p>	Annually	Low	High	3
41 Financial	<p>Failure to ensure proper use of funds under specific powers / S137.</p> <p>To ensure that expenditure is properly authorised and controlled.</p>	<p>Council has attained General Power of Competence. Town Clerk ensures that all grant applications are complete and fully supported prior to submission to committee/council. All approvals for expenditure are properly recorded in council minutes and on the Scribe accounting package. Town Clerk ensures that no alternative statutory authority is available.</p>	Quarterly	Low	High	3

35 Financial Failure to keep proper financial records.	Monthly Yola Mitchell	Low	High	3
<p>Town Clerk is appointed Responsible Financial Officer and Proper Officer. Standing Orders and Financial Regulations are in place and reviewed as a minimum annually. The Council has appointed Councillors as random audit checkers to randomly inspect the Council's procedures and the work of the office staff. Independent internal auditor appointed. All reports relating to expenditure and receipts together with the bank reconciliation and outstanding debts are approved by the Council on a monthly basis. Year To Date budget sheets are also presented and approved by Council on a monthly basis which tallies</p>				

326 Financial Failure to maintain an effective payments system. To minimize the risk of loss.	Monthly Yola Mitchell	Low	High	3
<p>Town Clerk responsible for control of expenditure. All payments supported by an invoice/voucher. All details are checked and payment entered onto Scribe Accounting software package. All payments are approved by Council and appended to minutes. All cheques signed by at least two authorised members. Signatories to endorse cheque counterfoils and check payments against invoices/payment vouchers. All expenditure is subject to sound budgetary control. Council has appointed Councillors as random audit checkers to ensure systems are being followed by</p>				

37 Financial Failure to set a precept within sound budgeting arrangements. To ensure that the budget procedure is both efficient and effective.	Monthly Yola Mitchell	Low	High	3
<p>Precept setting has been determined by Council and contained within Financial Regulations, detailing responsibilities and timeframe These are reviewed annually. Precept is set as a result of comprehensive budgeting detailing requirements for forthcoming year for all heads of income and expenditure. All charges made by the council are reviewed. Adequacy of all balances and reserves are reviewed as a minimum annually. Effective budget monitoring is in place throughout the year, with year to date budget sheets presented to Council on a monthly basis.</p>				

38	Financial	Loss of money through theft/misappropriation.	To ensure that effective financial controls are in place.	Town Clerk is responsible for petty cash float held in Council Offices. Receipts are issued for all income. Secure arrangements are in place for all monies held prior to banking. Proper arrangements are in place for prompt recording and banking of all cash received. Bank reconciliation carried out by Town Clerk/Assistant Clerk on a weekly basis, with Council receiving a monthly reconciliation. Council presented with financial reports on a monthly basis. Council holds adequate fidelity guarantee insurance.	Quarterly Yola Mitchell	Low	Low	1
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36	Financial	Poor Financial Management	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. Town Clerk maintains an effective budgetary control/financial reporting system. Council maintains an effective internal control system and internal audit.	Annually Yola Mitchell	Low	High	3
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42	Financial	Risk to third party as a consequence of providing a service	To protect interest of council.	Appropriate insurance cover/policy is in force.	Annually Yola Mitchell	Low	High	3
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Completed by:	Date:	Position:	No of Risks	11	No of risks scored:	11	No of Action Plans:	0
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LCRS Step 5 - Risk report for GDPR

Your Duty = Duty to comply with the regulations

Dawlish Town Council

Assessment year: 2019

Act = Data Protection Act 2018

Scoring note:

Low = 1
Medium = 2
and High = 3

Action by:

Review
timing &
Responsibility

Likelihood
of
occurrence

Impact
on
Council

Score

Your
action
required
(>3)

Risk /
ID Hazard / Requirement

Control

845 **Administration/Legal**

Failure in complying with special protection for children.

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.

Annually

Low

High

3

Andrew McKenzie

849 **Administration/Legal**

Failure in updating the Clerks/RFO job description.

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

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

Annually

Low

High

3

Andrew McKenzie

846 Administration/Legal	Failure to appoint a Data Protection Officer (DPO).		Annually <i>Andrew McKenzie</i>	Low	Medium	2
	<p>To have an appointed Data Protection Officer (DPO) in place to undertake regular information audits and control and manage the information collected by the Council.</p>	<p>The Council is the data controller and the Clerk/RFO could be 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.</p> <p>Information held could change from year to year with different activities, so the information audit should be reviewed at least annually or when a change in activity is noticed. All reviews should be minuted.</p>				
847 Administration/Legal	Failure to be registered with the ICO.		Annually <i>Andrew McKenzie</i>	Low	High	3
	<p>To be registered with the ICO.</p>	<p>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.</p>				
835 Administration/Legal	Failure to display of a Privacy notice.		Annually <i>Andrew McKenzie</i>	Low	High	3
	<p>To have a fully drafted privacy notice. This to be available for all relevant parties.</p>	<p>Being transparent and providing accessible information to individuals about how the Council uses personal data is a key element of the Data Protection Act 1998 (DPA) and the EU General Data Protection Regulation (GDPR). The most common way to provide this information is in a privacy notice. This is a notice to inform individuals about what a Council does with their personal information. A privacy notice will contain the name and contact details of the data controller and Data Protection Officer, the purpose for which the information is to be used and the length of time for its use. It should be written clearly and should advise the individual that they can, at any time, withdraw their agreement for the use of this information. Issuing of a privacy notice must be detailed on the Information Audit kept by the Council. The Council will</p>				

<p>852 Administration/Legal Failure to have a GDPR document. To have a GDPR document.</p>	<p style="text-align: right;"><i>Annually</i> Low High 3 <i>Andrew McKenzie</i></p> <p>The Council/DPO is required to produce a GDPR policy document. This should be reviewed at least annually or when further advice is issued by the ICO.</p>
<p>836 Administration/Legal Failure to have a Privacy notice on-line. To have a privacy notice available on line.</p>	<p style="text-align: right;"><i>Annually</i> Low High 3 <i>Andrew McKenzie</i></p> <p>Being transparent and providing accessible information to individuals about how the Council uses personal data is a key element of the Data Protection Act 1998 (DPA) and the EU General Data Protection Regulation (GDPR). The most common way to provide this information is in a privacy notice. This is a notice to inform individuals about what a Council does with their personal information. A privacy notice will contain the name and contact details of the data controller and Data Protection Officer, the purpose for which the information is to be used and the length of time for its use. It should be written clearly and should advise the individual that they can, at any time, withdraw their agreement for the use of this information. Issuing of a privacy notice must be detailed on the Information Audit kept by the Council. The Council will</p>
<p>837 Administration/Legal Failure to have a privacy notice review process. To have privacy notice review policy in place and agreed by the Council.</p>	<p style="text-align: right;"><i>Annually</i> Low Medium 2 <i>Andrew McKenzie</i></p> <p>Being transparent and providing accessible information to individuals about how the Council uses personal data is a key element of the Data Protection Act 1998 (DPA) and the EU General Data Protection Regulation (GDPR). The most common way to provide this information is in a privacy notice. This is a notice to inform individuals about what a Council does with their personal information. A privacy notice will contain the name and contact details of the data controller and Data Protection Officer, the purpose for which the information is to be used and the length of time for its use. It should be written clearly and should advise the individual that they can, at any time, withdraw their agreement for the use of this information. Issuing of a privacy notice must be detailed on the Information Audit kept by the Council. The Council will</p>

839 Administration/Legal	Failure to have consent form available.		Annually <i>Andrew McKenzie</i>	Low	High	3
	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.				
838 Administration/Legal	Failure to have consent of data owners.		Annually <i>Andrew McKenzie</i>	Low	High	3
	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.				
850 Administration/Legal	Failure to have data protection included in the Council's Risk Management Policy.		Annually <i>Andrew McKenzie</i>	Low	Medium	2
	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.				

840 Administration/Legal	Failure to have up to date data procedures.		Annually <i>Andrew McKenzie</i>	Low	Medium	2
	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.				
831 Administration/Legal	Failure to identify what data is held and processed by the council.		Annually <i>Andrew McKenzie</i>	Low	Medium	2
	To have a fully completed audit showing checks taken place and listing all data held electronically and non electronically.	The Council is the data controller and the Clerk/RFO is the Data Protection Officer (DPO). It is the DPO's duty to undertake an information audit and to manage the information collected by the Council. The DPO must undertake an information audit which details the personal data held, where it came from, the purpose for holding that information and with whom the Council will share that information. This will include information held electronically or as a hard copy.				
		Information held could change from year to year with different activities, so the information audit should be reviewed at least annually or when a change in activity is noticed. All reviews should be minuted.				
844 Administration/Legal	Failure to put procedures in place to fix any data breach.		Annually <i>Andrew McKenzie</i>	Low	High	3
	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.				

842 Administration/Legal		Annually	Low	High	3
Inability to correct data errors.		Andrew McKenzie			
	<p>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.</p>				
		Annually	Low	High	3

843 Administration/Legal		Annually	Low	High	3
Inability to delete data.		Andrew McKenzie			
	<p>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.</p>				
		Annually	Low	High	3

841 Administration/Legal		Annually	Low	High	3
Non availability for owner to view their data.		Andrew McKenzie			
	<p>The ability to allow the data owner to view their own data held by the Council.</p>				
		Annually	Low	High	3

	<p>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.</p>				
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853 Administration/Legal	Non compliance of Council members and contractors.		Annually <i>Andrew McKenzie</i>	Low	High	3
	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.				
851 Administration/Legal	Non compliance of Council to manage the process.		Annually <i>Andrew McKenzie</i>	Low	High	3
	That the Council manage the GDPR process.	The Council is the data controller and the Clerk/RFO can be the Data Protection Officer (DPO). It is the DPO's duty to undertake an information audit and to manage the information collected by the Council. The DPO must undertake an information audit which details the personal data held, where it came from, the purpose for holding that information and with whom the Council will share that information. This will include information held electronically or as a hard copy. Information held could change from year to year with different activities, and so the information audit should be reviewed at least annually or when the conducted ahead of the review of this policy and the reviews should be minuted.				
848 Administration/Legal	Non display of this policy on the Councils web site.		Annually <i>Andrew McKenzie</i>	Low	High	3
	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				

832 Administration/Legal	Non identification of how long the data held.		Annually <i>Andrew McKenzie</i>	Low	Medium	2
	<p>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.</p>	<p>The Council is the data controller and the Clerk/RFO is the Data Protection Officer (DPO). It is the DPO's duty to undertake an information audit and to manage the information collected by the Council. The DPO must undertake an information audit which details the personal data held, where it came from, the purpose for holding that information and with whom the Council will share that information. This will include information held electronically or as a hard copy. Information held could change from year to year with different activities, and so the information audit should be reviewed at least annually or when the conducted ahead of the review of this policy and the reviews should be minuted.</p>				

834 Administration/Legal	Non identification of security and controls of data held.		Annually <i>Andrew McKenzie</i>	Low	High	3
	<p>To record and identify what security and controls are in place to the secure the data.</p>	<p>The Council is the data controller and the Clerk/RFO is the Data Protection Officer (DPO). It is the DPO's duty to undertake an information audit and to manage the information collected by the Council. The DPO must undertake an information audit which details the personal data held, where it came from, the purpose for holding that information and with whom the Council will share that information. This will include information held electronically or as a hard copy. Information held could change from year to year with different activities, so the information audit should be reviewed at least annually or when a change in activity is noticed. All reviews should be minuted.</p>				

833 Administration/Legal	Non identification of who holds and can access the data		Annually <i>Andrew McKenzie</i>	Low	High	3
	<p>To record and identify all data held and who can access it.</p>	<p>The Council is the data controller and the Clerk/RFO can be the Data Protection Officer (DPO). It is the DPO's duty to undertake an information audit and to manage the information collected by the Council. The DPO must undertake an information audit which details the personal data held, where it came from, the purpose for holding that information and with whom the Council will share that information. This will include information held electronically or as a hard copy. Information held could change from year to year with different activities, so the information audit should be reviewed at least annually or when a change in activity is noticed. All reviews should be minuted.</p>				

Completed by:	Date:	Position:	No of Risks 23	No of risks scored: 23	No of Action Plans: 0
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LCRS Step 5 - Risk report for Gifts

Your Duty = Power to accept

Dawlish Town Council

Assessment year: 2019

Act = s 139 Local Government Act 1972

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

Action by:

ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action required (>3)
314	Administration/Legal Failure to notify/record gifts. To protect interest of council and members.	Ensure that all staff/members are aware of responsibilities. Maintain gift register.	Annually Andrew McKenzie	Low	Low	1	

Completed by:

Date:

Position:

No of Risks 1

No of risks scored: 1

No of Action Plans: 0

LCRS Step 5 - Risk report for Investments

Your Duty = Power to participate in schemes of collective investment

Dawlish Town Council

Assessment year: 2019

Act = s 11 Trustee Investments Act 1961

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

ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action required (>3)
167	Administration/Legal Maintenance of Investment Register To maintain proper records.	Determine responsibility for maintenance of investment register. Maintain effective internal audit.	Annually Yola Mitchell	Low	High	3	
166	Financial Failure to review interest rates etc. 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 Yola Mitchell	Low	Medium	2	

164	Financial	Financial Loss i.e. theft		Annually	Low	High	3
		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.	Yola Mitchell			

165	Financial	Inappropriate investment		Annually	Low	Medium	2
		To ensure integrity of investment.	Define policy and responsibility for investment of council funds. Record details/approval of all investments in council minutes. Ensure regular report to council	Yola Mitchell			

Completed by:	Date:	Position:	No of Risks 4	No of risks scored: 4	No of Action Plans: 0
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LCRS Step 5 - Risk report for Land

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

Dawlish Town Council

Assessment year: 2019

Scoring note:

Low = 1
Medium = 2
and High = 3

Action by:

Review
timing &
Responsibility

Likelihood
of
occurrence

Impact
on
Council

Score

Your
action
required
(>3)

Risk /
Hazard / Requirement

Control

162 Administration/Legal

Maintenance and Security of Deeds of ownership etc.

To ensure security of records.

Town Clerk is responsible for the adequate security of Council records.

All deeds, leases and relevant documents are held in fire proof deed boxes inside a locked cupboard within the Town Council offices.

Where possible paper and electronic copies are also held.

Annually

Low

High

3

Andrew McKenzie

163 Administration/Legal

Maintenance of Asset Register

To ensure that all assets of the council are properly recorded.

Town Clerk responsible for maintenance of an asset register.

All purchases/disposals are accurately and promptly recorded.

Annually

Low

High

3

Andrew McKenzie

784	Environmental		Annually	Low	Medium	2
	Failure to comply within consultation deadline.					
	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.				
158	Environmental		Annually	Low	Low	1
	Fly tipping					
	To minimize risks associated with fly tipping.	All Council owned land is inspected on a regular basis. Members of the public are encouraged to report any issues they identify. The Town Council will address any issues as they arise. The Town Council will liaise with the police and/or other authorities where necessary.	Don Phillips			
156	Environmental		Annually	Low	Low	1
	Maintenance of land including grass cutting					
	To ensure that council assets are properly maintained.	Maintenance contracts are in place to ensure that a planned programme is in place. 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.	Don Phillips			

157	Environmental		Annually	Low	Medium	2
	Vandalism			Andrew McKenzie		
	To minimise the risk of loss/damage/injury arising from vandalism.	Land is inspected on a regular basis. Security is reviewed regularly and local police are consulted as and when required. The Town Council will instigate legal action against perpetrators where appropriate.				
161	Financial		Annually	Low	High	3
	Failure to collect income		Yola Mitchell			
	To minimize risk of loss.	Maintain records of all rents, tithes etc. due from land holdings. Ensure that conditions of contracts are adhered to. Town Clerk responsible for collection of income All income due to the council and received is properly recorded. Issue receipts for all income received. Follow defined procedure for reminders in respect of unpaid accounts Take appropriate recovery action where necessary. Write off irrecoverable sums to be subject to council approval.				
160	Financial		Annually	Low	Medium	2
	Failure to review rents and other charges		Yola Mitchell			
	To ensure that all rents and charges are subject to review.	All rents and charges are subject to review as part of the budgetary process. Contractual conditions for review of land rents etc. are strictly adhered to.				

159	Financial	Inadequate budget provision	To ensure proper budget provision.	Ensure that all anticipated income/costs are provided for in Budgetary process.	Annually	Low	High	3	
					Yola Mitchell				
<hr/>									
152	Physical	Maintenance of fences, hedges, gates, footpaths etc.	To ensure proper maintenance of council owned assets.	Maintenance contracts are in place to ensure work is undertaken within a planned programme. All works undertaken by Contractors are randomly and regularly inspected to ensure that maintenance has been properly carried out, with action taken to remedy any non-compliant issues identified.	Annually	Low	Low	1	
					Andrew McKenzie				
<hr/>									
154	Physical	Maintenance of furniture	To ensure proper maintenance of council assets.	Register of all furniture is maintained. Regular inspections are carried out with action taken to remedy any issues identified.	Monthly	Low	Low	1	
					Andrew McKenzie				

151	Physical	Public/Personal Injury	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.	Annually	Low	High	3	Yola Mitchell
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153	Physical	Security of equipment	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.	Annually	Low	Medium	2	Andrew McKenzie
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155	Physical	Unauthorised access/trespass	To maintain security of council assets.	Council has policies in place for access to land. Appropriate signage is in place. Town Council liaises with local police as and when required. The Town Council will instigate appropriate action against offenders.	Annually	Medium	Medium	4	Yes	Andrew McKenzie
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Completed by:	Date:	Position:	No of Risks	14	No of risks scored:	14	No of Action Plans:	1
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LCRS Step 5 - Risk report for Markets

Your Duty = Power to provide

Dawlish Town Council

Assessment year: 2019

Act = Private Acts of Parliament, Charters, Part 111 of Food & Drugs Act 1955

Scoring note:

Low = 1
Medium = 2
and High = 3

Action by:

Review
timing &
Responsibility

Likelihood
of
occurrence

Impact
on
Council

Score

Your
action
required
(>3)

**Risk /
Hazard / Requirement**

Control

ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action required (>3)
146	<p>Administration/Legal</p> <p>Agreements with stall holders.</p> <p>To ensure proper administration of market.</p>	<p>Ensure that a signed agreement is in place as a pre-requisite to market stall occupation.</p> <p>Make appropriate arrangements in respect of casual users.</p> <p>Maintain a register of stall holders.</p>	<p>Annually</p> <p>Angie Weatherhead</p>	<p>Low</p>	<p>Medium</p>	<p>2</p>	
1	<p>Administration/Legal</p> <p>Contracts with Service providers ie Waste disposal</p> <p>To ensure that proper arrangements are in place.</p>	<p>Ensure that all signed contracts are in place.</p> <p>Check that insurance requirements etc are being met.</p> <p>Enforce conditions of contract.</p>	<p>Annually</p> <p>Angie Weatherhead</p>	<p>Low</p>	<p>Medium</p>	<p>2</p>	

147	Administration/Legal	Inadequate insurance cover		Annually	Low	High	3
		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.	Angie Weatherhead			

141	Environmental	Inadequate cleaning of market premises.		Monthly	Low	Medium	2
		To maintain high standard of service provision.	Determine responsibility for cleanliness/hygiene of premises. Maintain a maintenance log/cleaning regime. Enforce conditions for stall holders. Arrange for periodical check.	Angie Weatherhead			

142	Environmental	Rubbish accumulation		Weekly	Low	Low	1
		To maintain high standard of cleanliness and minimise risk.	Define responsibility for cleanliness/hygiene of premises Maintain a maintenance log/cleaning regime. Arrange for periodical check.	Angie Weatherhead			

143	Environmental		Annually	Low	Medium	2
	Vandalism		Angie Weatherhead			
	To minimise the risk of loss/damage/injury arising from vandalism.	Maintain efficient and effective security.				
	To minimise the impact on service provision.	Maintain liaison with local enforcement agencies.				
		Take action as appropriate against offenders.				

145	Financial		Annually	Low	High	3
	Failure to collect income		Angie Weatherhead			
	To maximize income and minimize the risk of loss.	Determine responsibility for collection of income				
		Ensure that all income due to the council and received is properly recorded.				
		Issue receipts for all income received.				
		Arrange for prompt banking of receipts.				
		Ensure procedures are in place for issue of reminders for unpaid accounts. Follow defined procedure for reminders.				
		Take appropriate recovery action where necessary.				
		Arrange appropriate internal audit testing.				

144	Financial		Annually	Low	Medium	2
	Failure to review charges		Angie Weatherhead			
	To ensure that all charges are reviewed annually.	Ensure that all charges are reviewed as an integral part of the budgetary process.				

340	Financial	Inadequate budget provision		Annually	Low	Medium	2
		To ensure proper financial provision.	Ensure that service income/expenditure is detailed in budgetary process.				
<hr/>							
140	Physical	Control of hazardous substances		As and when	Low	High	3
		To minimize 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 protective clothing.				
			Ensure that any necessary licences, certificates for use have been obtained.				
			Ensure that security is sound.				
			Ensure that any disposals are properly dealt with.				
			Maintain proper records.				
<hr/>							
139	Physical	Encroachment by stallholders		Monthly	Low	Medium	2
		To control market stall size.	Ensure that the size of market stalls is defined in rental agreement/register.				
			Carry out regular inspections to ensure that actual size does not exceed that approved.				
			Define council policy and apply additional charges/take action against offenders where applicable.				

352	Physical	Fire	To safeguard against fire risk.	Monthly Angie Weatherhead	Low	High	3
<p>Ensure Health/Safety testing complete. Ensure appropriate staff training Provide for strict security/control of combustible materials held by council. Provide appropriate extinguishers etc. Ensure appropriate signage in place. Ensure appropriate regulations/controls in hire documentation.</p>							
136	Physical	Maintenance of equipment	To ensure proper maintenance of equipment and minimize loss/damage/injury.	Monthly Angie Weatherhead	Low	Medium	2
<p>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.</p>							
134	Physical	Maintenance of market	To ensure proper maintenance of property and minimize loss/damage/injury.	Quarterly Angie Weatherhead	Low	Low	1
<p>Determine responsibility for maintenance. Carry out regular inspections of all premises. Maintain detailed records of all work scheduled/completed.</p>							

138	Physical	Occupation of Unauthorised stalls	Daily <i>Angie Weatherhead</i>	Low	Low	1
		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.
<hr/>						
137	Physical	Public/Personal Injury	Daily <i>Angie Weatherhead</i>	Low	High	3
		To minimize the risk of injury.				
						Define responsibility for all areas of the market operation. Ensure that appropriate regulations/controls are in place to minimise the risk of injury to all market users. Arrange regular site inspection to ensure that defined standards are being maintained. Take action where necessary against offenders.
<hr/>						
135	Physical	Security of equipment	Annually <i>Angie Weatherhead</i>	Low	Medium	2
		To minimize the risk of loss through theft/misappropriation.				
						Define policy for security of premises and equipment Define responsibility for security/control of equipment. Maintain asset register.

Security of market

To maintain security of council premises.

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

Completed by:

Date:

Position:

No of Risks **18**

No of risks scored: **18**

No of Action Plans: **0**

LCRS Step 5 - Risk report for Meeting of the Council

Your Duty = Duty to meet

Dawlish Town Council

Assessment year: 2019

Action by:

Scoring note:

Low = 1
Medium = 2
and High = 3

Review
timing &
Responsibility

Likelihood
of
occurrence

Impact
on
Council

Score

Your
action
required
(>3)

ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action required (>3)
360	<p>Administration/Legal</p> <p>Disability & Discrimination Act</p> <p>Ensure that provisions of the act are met.</p>	<p>There is a lift to the first floor as well as a wide staircase.</p> <p>In the event the lift is not working the meeting will be moved to a ground floor meeting room.</p> <p>A wireless hearing loop is used during meetings.</p> <p>All conditions of the Act as they affect service provision are met.</p> <p>Town Clerk responsible for ensuring that standards/ongoing requirements are met.</p> <p>Periodical review of service.</p>	<p>Annually</p> <p>Andrew McKenzie</p>	<p>Low</p>	<p>High</p>	<p>3</p>	
33	<p>Administration/Legal</p> <p>Failure to comply with new Regulations /Legislation</p> <p>All Meetings open to everyone.</p>	<p>Town Clerk to keep up to date with changing regulations/legislation and undertake training as required.</p> <p>Council to ensure membership of appropriate local/national associations is maintained.</p> <p>Council to continue to subscribe to appropriate publications.</p> <p>Encourage staff networking.</p> <p>Clerk to undertake CPD and training as and when required/appropriate.</p> <p>Poster is displaying regarding the recording of meetings.</p>	<p>Monthly</p> <p>Andrew McKenzie</p>	<p>Low</p>	<p>High</p>	<p>3</p>	

LCRS Step 5 - Risk report for Newsletters

Your Duty = Power to provide from 'free resource'

Dawlish Town Council

Assessment year: 2019

Action by:

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

ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action required (>3)
130	<p>Administration/Legal</p> <p>Defamation</p> <p>To minimize associated risk.</p>	<p>All input is subject to careful check by Lead Councillor and Officers before going to print. Arrange for professional examination of any sensitive material. Ensure that adequate insurance cover is held.</p>	<p>As and when Angie Weatherhead</p>	Low	High	3	
132	<p>Administration/Legal</p> <p>Failure to meet minimum requirement for quality status</p> <p>To meet required standard.</p>	<p>Arrange testing/ assessment of input to ensure that requirement is met.</p>	<p>Quarterly Angie Weatherhead</p>	Low	Low	1	

131	Administration/Legal	Failure to meet statutory obligation re non - political content		As and when Angie Weatherhead	Low	Medium	2
		To meet required standard.	Ensure that content of newsletter is carefully tested to ensure that statutory requirement is met.				

128	Environmental	Failure to deliver		Quarterly Angie Weatherhead	Low	High	3
		To minimise the risk of failing to deliver the publication	Test distribution arrangements. Ensure adequate fall back options are in place in the event agreed distribution is unable to take place.				

341	Financial	Inadequate budget provision		Annually Angie Weatherhead	Low	High	3
		To ensure review of service requirement.	Ensure that service requirements are included in budgetary process.				

Non production of newsletter

Events, Projects & Tourism Office in consultation with the Town Clerk responsible for ensuring all publication deadlines are met.
Contracts with printers are agreed.

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

LCRS Step 5 - Risk report for Play Areas

Your Duty = Power to provide

Dawlish Town Council

Assessment year: 2019

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

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

ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action required (>3)
324	Administration/Legal Inadequate maintenance of records To maintain a register of complaints/injuries and action taken.	To ensure that proper records of all complaints/injuries are maintained.	Annually Don Phillips	Low	High	3	
344	Financial Inadequate budget provision To ensure proper financial provision.	Ensure that service requirements are detailed in annual budget process.	Annually Andrew McKenzie	Low	High	3	

Inadequate insurance cover

Yola Mitchell

To ensure that council has adequate insurance.

To include all relevant risks on the councils insurance policy.

Personal Injury

Andrew McKenzie

To ensure play surfaces & equipment are in a safe condition.

Define responsibility for regular inspection of play areas.
 Define responsibility for and ensure regular inspection of play equipment & play surfaces
 Arrange periodical inspection and report by suitably qualified RoSPA inspector.
 All high and medium risks identified in the RoSPA report are actioned and removed. Low risk items are also removed unless the level of expenditure involved is considered too high for the level of the risk identified.
 Inspection timetable is adhered to for all levels of inspection.
 Records kept of all inspections/maintenance.

Completed by:	Date:	Position:	<i>No of Risks</i> 4	<i>No of risks scored:</i> 4	<i>No of Action Plans:</i> 0
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LCRS Step 5 - Risk report for Provision of Office Accommodation

Your Duty = Power to provide

Dawlish Town Council

Assessment year: 2019

Act = s 133 Local Government Act 1972

Scoring note:

Low = 1
Medium = 2
and High = 3

Action by:

ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action required (>3)
345	Financial Inadequate budget provision To ensure proper financial provision.	Ensure requirements included in annual budget process.	Annually Andrew McKenzie	Low	High	3	
353	Physical Fire To safeguard against fire risk.	Arranegment with fire safety firm for completion of fire risk assessments. Staff receive health and safety training. Strict security/control of combustible materials held by council. Fire extinguishers etc. Fire alarm tested weekly. Fire drills held on a regular basis	Annually Andrew McKenzie	Medium	High	6	Yes

399	<p>Physical</p> <p>Legionella bacteria in water supply</p> <p>Risk Assessment required every two years, if applicable</p>	<p>As and when</p> <p>Andrew McKenzie</p> <p>Low</p> <p>Medium</p> <p>2</p> <p>Only toilet, handwashing facilities and kitchen sinks are provided in buildings belonging to the Town Council. Greater risk from Legionella bacteria could occur in showering facilities.</p> <p>All council owned community buildings receive regular testing.</p>
24	<p>Physical</p> <p>Poor Office Conditions</p> <p>All office accommodation to be of a good standard</p>	<p>Quarterly</p> <p>Andrew McKenzie</p> <p>Low</p> <p>Medium</p> <p>2</p> <p>Periodical inspection of office conducted by Town Clerk. Engage appropriate structural surveyor to provide any adverse conditions reported to Dawlish Town Council as owner. Arrange repair/maintenance etc.</p>
25	<p>Physical</p> <p>Poor/Faulty Office Furniture</p> <p>To maintain approved standards for office furniture and fittings.</p>	<p>Monthly</p> <p>Andrew McKenzie</p> <p>Low</p> <p>Low</p> <p>1</p> <p>Arrange periodical inspection of office furniture and fittings. Where appropriate submit report to council/committee for approval to repair/replace.</p>

Defective Electrical Equipment/Machinery

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

Completed by:

Date:

Position:

No of Risks **6**

No of risks scored: **6**

No of Action Plans: **1**

LCRS Step 5 - Risk report for Provision of Website/Internet Access

Your Duty = Power to provide from 'free resource'

Dawlish Town Council

Assessment year: 2019

Act = s 137 Local Government Act 1972

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

ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action required (>3)
346	Financial Inadequate budget provision To ensure proper financial provision	Ensure service requirement is included in annual budgetary process.	Annually Andrew McKenzie	Low	Medium	2	

28	Technical Failure of Website/Internet Providers To maintain high standard of service provision.	Ensure a backup copy of data is maintained. Liaise with provider to ensure early reinstatement of service.	Weekly Andrew McKenzie	Low	Medium	2	
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Completed by:	Date:	Position:	No of Risks 2	No of risks scored: 2	No of Action Plans: 0
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LCRS Step 5 - Risk report for Public buildings and Village hall

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

Act = s 133 Local Government Act 1972

Scoring note:

Low = 1
Medium = 2
and High = 3

Assessment year:

Action by:

Review
timing &
Responsibility

Likelihood
of
occurrence

Impact
on
Council

Score

Your
action
required
(>3)

**Risk /
Hazard / Requirement**

Control

112 **Administration/Legal**

Absence of service level agreements

Annually

Low

Low

1

Andrew McKenzie

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

114 **Administration/Legal**

Failure to complete user agreements

To provide effective control of facility bookings etc.

Annually

Low

Medium

2

Manda Stone

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.

113 Administration/Legal	Failure to obtain necessary licences. 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.	Annually	Low	Medium	2
116 Administration/Legal	Inadequate representation on management committee To ensure proper council representation.	Arrange appointment of council representatives as set out in management agreement. Arrange periodical report on council agenda.	Annually	Low	Low	1
115 Administration/Legal	Maintenance of diary of events etc To provide effective control of facility bookings etc.	Determine responsibility for maintenance of events diary. Ensure that a completed booking/application lettings agreement is a prerequisite to facility hire. All applications to be cross referenced to account/receipt number and filed.	Quarterly	Low	Low	1

Angie Weatherhead

Andrew McKenzie

Manda Stone

108	Environmental	Noise etc pollution	To minimize risk/complaint arising from noise pollution at council owned facilities.	Where appropriate set conditions in hire documentation Carry out regular site inspections. Maintain record of any complaints received and instigate prompt action where appropriate. Liaise with local enforcement agencies.	Annually Andrew McKenzie	Low	Low	1
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111	Financial	Failure to collect income.	To collect and bank all income due.	Determine responsibility for collection of income Ensure that all income due to the council and received is properly recorded. Ensure receipts are issued for all income received. Arrange for prompt banking of all income. Ensure procedures are in place for issue of reminders for unpaid accounts. Follow defined procedure for reminders. Ensure Council approval for write-off on any bad debts. Ensure audit testing procedures are in place.	Annually Yola Mitchell	Low	High	3
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110	Financial	Failure to set/review charges.	To ensure annual review of all charges.	Ensure that all charges are reviewed annually as an integral part of the budgetary process.	Annually Angie Weatherhead	Low	Medium	2
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109	Financial	Inadequate budget provision		Annually <i>Andrew McKenzie</i>	Low	Medium	2
		To provide for budgetary review of service.	Ensure that service/facility requirements are detailed in Budget process and reviewed annually.				
103	Physical	Fire		Quarterly <i>Andrew McKenzie</i>	Low	High	3
		To safeguard against fire risk.	<p>Ensure Health/Safety testing complete.</p> <p>Ensure appropriate staff training</p> <p>Ensure a strict 'no smoking' and 'no naked flame' policy operates throughout all council buildings.</p> <p>Provide for strict control of combustible materials held by the council.</p> <p>Provide appropriate extinguishers etc.</p> <p>Fire alarm and emergency lighting system in place.</p> <p>Ensure appropriate signage in place.</p> <p>Ensure that a Fire risk assessment is reviewed annually.</p>				
106	Physical	Hazardous substances		Annually <i>Andrew McKenzie</i>	Low	High	3
		To minimise risk associated with the use of hazardous substances.	<p>Define responsibility for use and control.</p> <p>Provide for any necessary training.</p> <p>Provide for appropriate protective clothing.</p> <p>Ensure that any necessary licences, certificates for use have been obtained.</p> <p>Ensure that security is sound.</p> <p>Ensure that COSHH regulations adhered to regarding the storage of cleaning substances.</p>				

102	Physical	Maintenance of buildings	To ensure proper maintenance of premises and minimize risk of loss/damage/injury.	<p>Define responsibility for maintenance.</p> <p>Carry out regular inspections of all buildings.</p> <p>Ensure that where appropriate proper contractual arrangements are in place.</p> <p>Arrange staff training where required.</p> <p>Detailed records kept of all work scheduled/completed.</p> <p>That each building is individual risk assessed.</p> <p>That the risk assessments are reviewed annually.</p>	Annually	Low	Medium	2	
<hr/>									
101	Physical	Security of premises and contents	To safeguard council assets.	<p>Define policy for security of premises and equipment</p> <p>Maintain asset register and photographs of all items of any value together with a digital back up copy.</p> <p>Allocate responsibility for security/control of equipment.</p> <p>All offices/premises are locked outside working hours.</p> <p>Letting agreements are in place with a condition to secure building on departure.</p>	Annually	Low	High	3	
<hr/>									
107	Physical	Stock control	To minimize the risk of loss.	<p>Define responsibility for stock.</p> <p>Arrange for regular stock checks.</p> <p>Reconcile stock to sales/usage.</p> <p>Investigate significant differences.</p> <p>Maintain comprehensive stock records.</p>	As and when	Low	Low	1	

104	Physical Theft	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.	Annually Andrew McKenzie	Low	High	3
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105	Physical Vandalism.	To minimise the risk of loss/damage/injury arising from vandalism.	Maintain efficient and effective security. Maintain liaison with local enforcement agencies. Take action as appropriate against offenders.	Annually Andrew McKenzie	Low	Low	1
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Completed by:	Date:	Position:	No of Risks	16	No of risks scored:	16	No of Action Plans:	0
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LCRS Step 5 - Risk report for Shelters & Seats

Your Duty = Power to provide

Dawlish Town Council

Assessment year: 2019

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

Scoring note:

Low = 1
Medium = 2
and High = 3

Action by:

Review
timing &
Responsibility

Likelihood
of
occurrence

Impact
on
Council

Score

Your
action
required
(>3)

ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action required (>3)
372	Administration/Legal Provision of inadequate standard of seating. To minimise risk arising from provision.	Town Council has a seating policy including a list of preferred suppliers. All prospective donors are provided with a copy of the policy. Carry out inspection of all seating prior to acceptance. Arrange secure installation.	Annually Angie Weatherhead	Low	Low	1	
370	Environmental Vandalism To minimise the risk of loss/damage/injury arising from vandalism. To minimise risk arising from anti-social behaviour.	Maintain liaison with enforcement agencies. The Town Council will instigate legal action against perpetrators where appropriate.	Annually Angie Weatherhead	Low	Medium	2	

351	Physical	Fire	To safeguard against fire risk.	Annually Angie Weatherhead	Low	High	3
				<p>Ensure Health/Safety testing complete.</p> <p>Ensure appropriate staff training</p> <p>Provide for strict security/control of combustible materials held by council.</p> <p>Provide appropriate extinguishers etc.</p> <p>Ensure appropriate signage in place.</p> <p>Ensure appropriate regulations/controls adhered to.</p>			
362	Physical	Injury or damage arising from use.	To minimise risk arising from use.	Annually Angie Weatherhead	Low	High	3
				<p>Carry out regular inspection of public seating & maintain records.</p> <p>Have necessary arrangements in place for repair/renewal.</p> <p>Ensure that appropriate insurance cover is held.</p>			
371	Technical	Inadequate maintenance of shelters & seats	To minimise risk arising.	Annually Angie Weatherhead	Low	Low	1
				<p>Arrange regular inspection and cleaning.</p> <p>Arrange repairs and maintenance as per programme or as required.</p> <p>Have arrangement in place to remove/replace dangerous equipment.</p> <p>Maintain records of repair and maintenance.</p>			

Provision of inadequate public seating

To ensure that standards as determined by council are met.

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

Completed by:	Date:	Position:	<i>No of Risks</i> 6	<i>No of risks scored:</i> 6	<i>No of Action Plans:</i> 0
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LCRS Step 5 - Risk report for Skatepark

Your Duty = Power to provide

Dawlish Town Council

Assessment year: 2019

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

Scoring note:

Low = 1
Medium = 2
and High = 3

Action by:

Review
timing &
Responsibility

Likelihood
of
occurrence

Impact
on
Council

Score

Your
action
required
(>3)

ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action required (>3)
311	Administration/Legal Maintenance of equipment hire record To ensure that proper records are maintained for hired equipment.	Ensure that the position of the council is fully protected through the completion of hire documentation that defines responsibility for injury, damage etc. Ensure that hire records are fully maintained. Periodically review conditions of hire to ensure compliance with legislation etc.	Annually Andrew McKenzie	Low	Medium	2	
367	Environmental Inadequate Safety Signage To minimise risk.	Ensure that a notice is displayed at the site providing minimum advice:- Location of nearest telephone and first aid facilities. Any restrictions of use i.e. equipment and age. Persons use facility only at their own risk. Users must wear appropriate protective clothing. No glass, dogs or alcohol allowed on site. The maximum number of users at any one time.	Monthly Andrew McKenzie	Low	Medium	2	

366	Environmental	Vandalism		Weekly	Low	Low	1
		<p>To minimise the risk of loss/damage/injury arising from vandalism.</p> <p>To minimise risk arising from anti-social behaviour.</p>	<p>Take reasonable action to maintain security of site.</p> <p>Arrange for regular site visits.</p> <p>Consider use of professional security service where necessary.</p> <p>Maintain liaison with law enforcement agencies.</p> <p>Define policy for dealing with offenders.</p>				
363	Financial	Legal Liability arising from asset ownership		Annually	Low	Low	1
		<p>To ensure control of risk.</p>	<p>Ensure that council's insurer is aware of facility provision.</p> <p>Ensure adequate cover is provided in policy.</p> <p>Carry out annual review.</p>	<p>Andrew McKenzie</p>			
364	Physical	General Health & Safety		Monthly	Low	Medium	2
		<p>To minimise risks arising.</p>	<p>Determine responsibility for inspection of site.</p> <p>Provide for any necessary staff training.</p> <p>Provide for appropriate protective clothing.</p> <p>Carry out regular inspections on a predetermined basis to clear site of litter & fly tipping.</p> <p>Inspect site for, and deal with, any dangerous/foul matter i.e. glass, needles etc.</p> <p>Maintain detailed records of inspections which must be dated and signed.</p>	<p>Andrew McKenzie</p>			

Injury to users arising from accident.

To minimise risk.

Determine responsibility for inspection of equipment.
Annual inspection by ROSPA. .
Weekly inspection of equipment, surfaces and signage undertaken by Council officers.
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:	<i>No of Risks</i> 6	<i>No of risks scored:</i> 6	<i>No of Action Plans:</i> 0
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LCRS Step 5 - Risk report for Tourism

Your Duty = Power to contribute to organisations encouraging tourism

Dawlish Town Council

Assessment year: 2019

Act = s 144 Local Government Act 1972

Scoring note:

Low = 1
Medium = 2
and High = 3

Action by:

Review
timing &
Responsibility

Likelihood
of
occurrence

Impact
on
Council

Score

Your
action
required
(>3)

ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action required (>3)
355	Financial Inappropriate funding applications To ensure integrity of funding.	Determine procedures for dealing with grant/loan applications. Ensure that any conditions are adhered to. Carry out regular monitoring and review.	Annually Angie Weatherhead	Low	Low	1	
59	Physical Inadequate budget provision To ensure proper financial provision.	Ensure that service requirement is included in annual budget process.	Annually Angie Weatherhead	Low	Medium	2	

Completed by:

Date:

Position:

No of Risks 2

No of risks scored: 2

No of Action Plans: 0

LCRS Step 5 - Risk report for Town and Country Planning

Your Duty = Right to be notified of planning applications

Dawlish Town Council

Assessment year: 2019

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

Action by:

Your action required (>3)

Review timing & Responsibility Likelihood of occurrence Impact on Council Score

Annually Low Medium 2
Yola Mitchell

Risk / Hazard / Requirement

Control

62 **Administration/Legal**

Failure to meet consultation deadlines.

To meet consultation timetable.

Planning applications are considered on average three weekly at Planning Committee meetings. Where necessary liaise with the Planning Authority for possible extension. Council responses to planning applications are submitted to the Planning Authority the day after the meeting.

61 **Administration/Legal**

Maintenance of register/records

Annually Low Medium 2
Yola Mitchell

All planning applications are e-mailed directly to the Council, these are cross referenced against the weekly list to ensure that no applications are missing. The planning applications form part of the Council minutes, so all decisions/comments are recorded within the Council minutes.

Security of records

To safeguard planning records.

Planning records are held by the Planning Authority.
Details of decisions taken by the Council are held with the minutes electronically as well as paper copies, and on the online application held in the Planning authority's planning portal.

Completed by:	Date:	Position:	<i>No of Risks</i> 3	<i>No of risks scored:</i> 3	<i>No of Action Plans:</i> 0
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LCRS Step 5 - Risk report for War Memorials

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

Dawlish Town Council

Assessment year: 2019

Action by:

Scoring note:

Low = 1
Medium = 2
and High = 3

ID	Risk / Hazard / Requirement	Control	Review timing & Responsibility	Likelihood of occurrence	Impact on Council	Score	Your action required (>3)
313	Physical Inadequate budget provision To ensure annual service review.	Review service provision within annual budget process. Earmarked reserve fund is held for any unscheduled works that are required.	Annually Andrew McKenzie	Low	High	3	
359	Physical Inadequate maintenance. To maintain war memorial and the surrounding area to an acceptable standard	War memorial is inspected on a regular basis with any works identified being undertaken by a professional contractor.	Annually Andrew McKenzie	Low	High	3	

Vandalism

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

Members of the public are encouraged to report any issues.
Maintain liaison with local police.
The Town Council will instigate legal action against perpetrators where appropriate.
Insurance held.

Completed by:	Date:	Position:	<i>No of Risks</i> 3	<i>No of risks scored:</i> 3	<i>No of Action Plans:</i> 0
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LCRS Step 5 - Risk report for Web Sites

Your Duty =

Dawlish Town Council

Assessment year: 2019

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

Your
action
required
(>3)

Review
timing &
Responsibility

Likelihood
of
occurrence

Impact
on
Council

Score

Risk /
ID Hazard / Requirement

Control

374 **Administration/Legal**

Availability of Software tools to build and manage site

To ensure that the council has full control of website.

Ensure that the council controls ownership of the necessary software including website editor, FTP (File Transfer Tool), anti virus software, image management software and a word processor.

As and when

Low

Low

1

Andrew McKenzie

386 **Administration/Legal**

Compromise of copyright by inclusion of website links or frames.

To minimise risk.

If web site contains links to other sites ensure permission of destination website is prerequisite.

Annually

Low

Medium

2

Andrew McKenzie

387 Administration/Legal	Confusion arising from links to external websites To minimise risk.	Ensure that adequate control is in place and that web site makes clear council privacy policy that it is not responsible for the privacy practices or the content of external websites.	Annually	Low	Low	1
321 Administration/Legal	Content To maintain effective administration.	Ensure that all content is specifically approved by council. Lead Councillor has been appointed to oversee the Council's communication policy. Councillors are regularly asked for feedback on Town Council website.	Andrew McKenzie	Low	Low	1
376 Administration/Legal	Dependence upon an individual To ensure that the site activity is not restricted to one person.	Ensure that a minimum of two people have the necessary ability to undertake all website activity and are up to date with current site status. Provide training where necessary to minimise risk.	Annually	Low	Low	1
Andrew McKenzie						

373 Administration/Legal	Insurance	<i>Yola Mitchell</i>	Low	Medium	2
	<p>To protect council.</p> <p>Ensure that appropriate insurance cover is held by council.</p>				
383 Administration/Legal	Lack of motivation for continued management of website.	<i>Quarterly</i> <i>Andrew McKenzie</i>	Low	Low	1
	<p>To minimise risk.</p> <p>Recognise risks associated with poor site maintenance and development - lack of users - lack of feed back - user dissatisfaction - waste of resources. Ensure that proper recognition is given to site manager. Arrange for regular review of site content and development. Lead Councillor has been appointed to oversee the Council's communication policy. Councillors are regularly asked for feedback on Town Council website.</p>				
385 Administration/Legal	Lack of visibility of visitor numbers.	<i>Annually</i> <i>Andrew McKenzie</i>	Low	Low	1
	<p>To maintain adequate statistics.</p> <p>Ensure that a web site 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.</p>				

377 Administration/Legal	Loss of Data/ Inability to access backup		Monthly <i>Andrew McKenzie</i>	Low	High	3
	To avoid risk arising from loss of data.	Website is subject to outside management and regularly backed up and reviewed.				
381 Administration/Legal	Non compliance with Freedom of Information Act		Annually <i>Andrew McKenzie</i>	Low	High	3
	To minimise risk.	Ensure that legal requirements are met in full. Ensure that ALL information, as declared in the Council Model publication, is available via the clerk to the council and alternatively via the website.				
854 Administration/Legal	Non compliance with website accessibility regulations		Annually <i>Andrew McKenzie</i>	Medium	High	6 Yes
	To be compliant with the Public Sector Bodies (Websites and Mobile Applications) (No.2) Accessibility Regulations 2018	Audit the website using several WCAG compliance check tools Make the corrections Re-audit and provide a summary to the Council				

382 Administration/Legal	Non conformance with the Data Protection Act	As and when	Low	High	3
	To minimise risk.				
316 Administration/Legal	Ownership and Control of Universal Resource Locator (URL)	Annually	Low	Medium	2
	To ensure that council has full control of website.				
389 Administration/Legal	Risk arising from paid advertising	Annually	N/A	N/A	0
	To minimise risk.				

Andrew McKenzie

Andrew McKenzie

Andrew McKenzie

375 Administration/Legal	Risk arising from use of unlicensed software		Annually <i>Andrew McKenzie</i>	Low	High	3
	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.				
388 Administration/Legal	The placing of information on site that may put people at risk.		Annually <i>Andrew McKenzie</i>	Low	High	3
	To minimise risk.	The Council does not publish information about individuals.				
380 Technical	Failure to meet needs/expectations of visitors to site.		Annually <i>Andrew McKenzie</i>	Low	Low	1
	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.				

378	Technical	Inadequate control of website To minimise risk arising from third party input.	Annually Andrew McKenzie	Low	Medium	2
			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.			

384	Technical	Lack of visibility of website to search engines To minimise risk and maximise visitor numbers.	Quarterly Andrew McKenzie	Low	Low	1
			Website is regularly updated and can be found when googled.			

379	Technical	Risk arising from poor design / appearance of website To minimise risk arising from poor design.	As and when Andrew McKenzie	Low	Low	1
			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 20	No of risks scored: 20	No of Action Plans: 1
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