



# **Strategic Risk Report**

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## Risk Report - Summary

#	Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date
342	Maintenance of Allotment Register.	STRATEGIC, ALLOTMENT - Southampton Road	Administration/Legal	Maintain proper register ensuring all amendments promptly recorded. Define responsibility of allotment society where appropriate.	2	LOW	To contact the Allotments Secretary and request an current Allotment Register.
343	Absence of a completed agreement with every allotment holder.	STRATEGIC, ALLOTMENT - Southampton Road	Administration/Legal	Ensure agreement completed and signed by all parties prior to occupation. Maintain allotment register. Review agreement periodically to ensure adequacy of conditions.	1	LOW	
344	Provision of adequate insurance cover.	STRATEGIC, ALLOTMENT - Southampton Road	Administration/Legal	Carry out an annual review of insurance cover to ensure that all appropriate risks are fully protected. Carry out annual inspection of insurance held by third parties.	1	LOW	
345	Vandalism of sites.	STRATEGIC, ALLOTMENT - Southampton Road	Environmental	Regular monitoring of sites with, where appropriate, the assistance of allotment society or relevant body. Consider physical improvements to sites. Liaison with local policing teams in the areas affected.	1	LOW	
346	Loss / Damage to water supply.	STRATEGIC, ALLOTMENT - Southampton Road	Environmental	Define responsibility for maintenance of water supply. Ensure regular site inspections include checks on water supply to confirm adequacy of supply and that there is no wastage. Ensure that system is in place to report and rectify all faults. Maintain such arrangements as necessary with local contractor.	1	LOW	

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347 Untidy Plots.	STRATEGIC, ALLOTMENT - Southampton Road	Environmental	Define responsibility. Carry out periodical site visits. Enforce requirements of tenancy agreement. Notify allotment holder in writing of problem & serve notice if the standard of cultivation is not to an acceptable standard. Liaise where appropriate with allotment society.	1	LOW	
348 Build up of non-compostable rubbish	STRATEGIC, ALLOTMENT - Southampton Road	Environmental	Enforce controls in tenancy agreement. Ensure that the conditions regarding the removal of waste are contained within the tenancy agreement. Make arrangements for removal if the enforcement process proves to be unsuccessful. Consider provision of skip facility.	1	LOW	
349 Accumulation of rubbish.	STRATEGIC, ALLOTMENT - Southampton Road	Environmental	Ensure responsibility for site maintenance defined. Enforce conditions of tenancy agreement. Maintain liaison with allotment society. Ensure that periodical site inspections carried out. Ensure facilities are provided for the control and removal of compostible waste. Ensure that it is the tenants responsible for the removal of all other waste. Consider provision of skip facility.	1	LOW	

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# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date
350 Dumping/Hazardous substances	STRATEGIC, ALLOTMENT - Southampton Road	Environmental	Define responsibility for site control/security.Enforce tenancy agreement.Carry out periodical site inspection. Provide proper facilities for control and removal of waste.Liaise with police/other authority where necessary.	1	LOW	
351 Vandalism.	STRATEGIC, ALLOTMENT - Southampton Road	Environmental	Carry out periodical site inspection.Review security.Maintain liaison with law enforcement agencies.Instigate legal action against perpetrators where appropriate.Ensure that periodical site visits are carried out.Notice served when necessary.Liaison should take place with the local allotment society.	1	LOW	
352 Vermin.	STRATEGIC, ALLOTMENT - Southampton Road	Environmental	Define responsibility for standards of hygiene/cleanliness etc. of site.Enforce conditions of tenancy agreement.Carry out regular physical inspection.Instigate appropriate action to deal with any identified problems.	1	LOW	
353 Failure to review rents & charges.	STRATEGIC, ALLOTMENT - Southampton Road	Financial	Review allotment rents and charges annually as an integral part of the annual budget process.	1	LOW	

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# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date	
354	Failure to collect rents & charges.	STRATEGIC, ALLOTMENT - Southampton Road	Financial	Define responsibility for collection of income due. Maintain proper records of income received and banked. Enforce provisions of tenancy agreements. Maintain allotment register. Follow defined procedure for outstanding debt. Enforce conditions of tenancy. Periodical reconciliation to allotment register should be carried out and a financial report presented to council.	1	LOW	
355	Unoccupied Plots.	STRATEGIC, ALLOTMENT - Southampton Road	Physical	Currently there is an extended waiting list. The waiting list is updated as and when new applications received. The time taken to re-let plot varies dependant on the time potential tenants take to respond to correspondence and the time of year.	1	LOW	
356	Public Injury as a result of contractor.	STRATEGIC, ALLOTMENT - Southampton Road	Physical	Ensure that contract requires provision of appropriate insurance cover. Inspect contractors insurance documentation to confirm compliance.	1	LOW	
357	Uncontrolled equipment.	STRATEGIC, ALLOTMENT - Southampton Road	Physical	Enforce provisions of tenancy agreement. Review position by regular visits to sites. Liaise with allotment society.	1	LOW	

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358	Maintenance of Council owned Allotment equipment.	STRATEGIC, ALLOTMENT - Southampton Road	Physical	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.	3	MEDIUM	Monitored by co-opted Councillor on Allotments committee
359	Security.	STRATEGIC, ALLOTMENT - Southampton Road	Physical	Ensure that responsibility of allotment holders is clearly defined in tenancy agreement. Ensure that proper facilities are in place to safeguard council assets.	1	LOW	
360	Personal injury.	STRATEGIC, ALLOTMENT - Southampton Road	Physical	Ensure that any conditions that might lead to personal injury are minimised and properly controlled. Ensure that all parties are aware of the relevant Health and Safety legislation. Carry out periodical examination of allotment environment.	1	LOW	
361	Health & Safety.	STRATEGIC, BAR SERVICES	Administration/Legal	Ensure Health/Safety testing complete.	1	LOW	
362	Absence of Licences.	STRATEGIC, BAR SERVICES	Administration/Legal	Determine responsibility for obtaining licences. Maintain adequate records of licence application, renewal etc.	1	LOW	
363	Failure to collect income.	STRATEGIC, BAR SERVICES	Financial	Define responsibility for collection of income. Ensure that all income due to the council and received is properly recorded. Make provision for prompt banking.	1	LOW	

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# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date
364 Stock Control.	STRATEGIC, BAR SERVICES	Financial	Define responsibility for stock control.Consider appointment of professional stock taker where appropriate.Arrange for regular stock checks.Maintain proper records.Reconcile stocks to sales etc records.Investigate significant differences.Arrange internal audit testing.	1	LOW	
365 Till Control.	STRATEGIC, BAR SERVICES	Financial	Appoint bar supervisor.Issue detailed instructions to bar staff.Clear tills at every function.Complete cashing up records.Reconcile cash to till record and investigate differences.Arrange alternative procedures for loss of till function.Carry out spot checks.	1	LOW	
366 Fire Safety.	STRATEGIC, BAR SERVICES	Physical	Ensure Health/Safety testing complete.Ensure appropriate staff trainingProvide for strict security/control of combustible materials.Provide appropriate extinguishers etc.Ensure appropriate signage in place.Ensure appropriate regulations/controls	1	LOW	
367 Security.	STRATEGIC, BAR SERVICES	Physical	Define policy for security of staff, premises and equipment.Allocate responsibility for security/control.	1	LOW	
368 Staff Training.	STRATEGIC, BAR SERVICES	Professional	Arrange training programme for all casual/bar staff. Issue detailed instructions.Maintain training records.	1	LOW	

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#	Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date
369	Failure to maintain / update Register of Interests/Gifts	STRATEGIC, CODE OF CONDUCTS	Administration/Legal	Ensure all members are aware of their statutory responsibilities. Maintain appropriate registers. Under the Localism Act 2011 all members have signed a Grant of Dispensation form. Pecuniary interests need to be declared and minuted; ensure that members are asked to leave the meeting. Non disclosable interests (of no financial benefit to the members) should be minuted if they have been declared by a member prior to the meeting.	1	LOW	
370	Loss/damage arising from unauthorised use.	STRATEGIC, COMPUTING	Physical	Restrict access through use of controlled passwords. Programme periodic password change. Maintain physical security of computer and site.	1	LOW	
371	Loss arising from theft/misappropriation.	STRATEGIC, COMPUTING	Physical	Allocate responsibility for security of equipment. Maintain high security of site and equipment. Take particular care in respect of laptops/peripherals. Ensure that where appropriate internal and external security devices are installed.	1	LOW	



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# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date	
372	Crash of IT System.	STRATEGIC, COMPUTING	Technical	Ensure regular backup of data onto appropriate medium.Ensure that equipment is properly maintained.Restrict access to authorised users.Ensure that only approved software is used.Maintain effective anti virus software.	1	LOW	
373	Failure to meet statutory duty.	STRATEGIC, COUNCIL MEETINGS	Administration/Legal	Ensure that all members are notified of meeting by way of summons and agenda.Ensure that all public notices are posted as prescribed.Ensure meeting quadrate and maintain attendance records.Draft minutes should be prepared of the proceedings following every meeting. Minutes approved and signed by the chairman at the following meeting and the signed copies kept on file and published on the web site.	1	LOW	
374	Access.	STRATEGIC, COUNCIL MEETINGS	Administration/Legal	Ensure public access is available to all meetings of the council, except for meetings of the Staff and Salaries committees.Members of the press and public may also be asked to leave a meeting during the discussion of quotations or tenders submitted by local contractors.Disability access should be provided. Specific area should be set aside for Press & Public.Time should be allocated for public questions and comments.	1	LOW	

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# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date
375 Security.	STRATEGIC, COUNCIL MEETINGS	Physical	Define policy for security of staff, members, premises and equipment. Allocate responsibility for security/control and implementation. Maintain liaison with local enforcement agencies.	1	LOW	
376 Personal Injury.	STRATEGIC, COUNCIL MEETINGS	Physical	Ensure that appropriate regulations/controls are in place to minimise the risk of injury to officers, members & public. Ensure that defined standards are being maintained. Ensure that, where necessary, appropriate notices are in place. That the council has appropriate insurance cover. That the relevant access and public areas are all risk assessed.	1	LOW	
377 Legal Liability as a result of Asset Ownership.	STRATEGIC, COUNCIL PROPERTY & DOCUMENTS	Financial	Ensure that adequate Public Liability Insurance is in place. Ensure that the Asset Register is maintained and reviewed annually.	1	LOW	
378 Loss of assets.	STRATEGIC, COUNCIL PROPERTY & DOCUMENTS	Physical	Allocate responsibility for and maintain effective security of all assets. Maintain an Asset Register and ensure that this is updated on a regular basis. Ensure that adequate and appropriate insurance cover is held.	1	LOW	

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# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date	
379	Loss / Damage to Civic Regalia.	STRATEGIC, COUNCIL PROPERTY & DOCUMENTS	Physical	Maintain and update a Register of Assets on a regular basis. Ensure that the council has adequate insurance against damage and theft. Ensure that proper security/storage is in place. Ensure that users are aware of their responsibility when regalia is in their care.	1	LOW	
380	Failure to effectively process documents.	STRATEGIC, COUNCIL PROPERTY & DOCUMENTS	Professional	Allocate responsibility for maintenance of effective control of documentation. Define procedure for recording document's receipt, circulation, response, handling & filing.	1	LOW	
381	Breach of confidentiality.	STRATEGIC, DATA PROTECTION	Administration/Legal	Arrange Registration under the Data Protection Act. Formalise Procedure for dealing with Confidential Data.	1	LOW	
382	Failure to comply with Employment Law.	STRATEGIC, EMPLOYMENT OF STAFF	Administration/Legal	Issue contracts of employment to all employees. Arrange annual review of Staff Contracts of Employment. Arrange awareness of new legislation. Arrange the necessary training to fulfil requirements.	1	LOW	
383	Overpayment or underpayment of salaries and expenses.	STRATEGIC, EMPLOYMENT OF STAFF	Financial	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.	1	LOW	

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# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date
384 Inability to recruit.	STRATEGIC, EMPLOYMENT OF STAFF	Professional	Review recruitment policy.	1	LOW	
385 Inability to retain staff.	STRATEGIC, EMPLOYMENT OF STAFF	Professional	Regular staff appraisals. Complete exit questionnaire.	1	LOW	
386 Loss of key staff.	STRATEGIC, EMPLOYMENT OF STAFF	Professional	Ensure procedures for key functions documented. Procedural manuals and necessary training are provided to ensure that all key tasks can be carried out in the event of a sudden loss of a key member of staff.	3	MEDIUM	
387 Lack of Training.	STRATEGIC, EMPLOYMENT OF STAFF	Professional	Determine a policy for training. Arrange annual review. Regular Staff Appraisals to highlight any training needs. Take advantage of any localised training through local associations, SLCC etc.. Encourage staff to network with other Clerks in the relevant association.	1	LOW	
388 Lack of Employee motivation/efficiency.	STRATEGIC, EMPLOYMENT OF STAFF	Professional	Ensure that each employee has job description. Arrange regular staff appraisals. Maintain appropriate staff records. Defined training policy in operation.	1	LOW	

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# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date
389 Attacks on Personnel.	STRATEGIC, EMPLOYMENT OF STAFF	Professional	Ensure that an effective security system is in operation.Ensure appropriate insurance cover held.Ensure other workers in building are aware of staff working alone.Ensure staff have telephone access at all times during their work. Advise staff to take all relevant safe guides and precautions.	1	LOW	
390 Failure to comply with Inland Revenue regulations.	STRATEGIC, FINANCIAL MANAGEMENT	Administration/Legal	Maintenance of comprehensive records of all calculations of income tax, national insurance deducted from pay.Ensure that regular returns to Inland Revenue; prepared by the Clerk or responsible financial officer; checked by the Assistant ClerkArrange prompt payment of all sums due.	1	LOW	
391 Failure to comply with Customs & Excise regulations.	STRATEGIC, FINANCIAL MANAGEMENT	Administration/Legal	Ensure that value added tax is properly administered. Refer to guidance in HMCE Notice 749. Seek further guidance from HMCE where necessary.Ensure that all input tax and output tax is properly recorded.Complete and submit VAT claims promptly and on time.	1	LOW	
392 Failure to maintain record of council assets.	STRATEGIC, FINANCIAL MANAGEMENT	Administration/Legal	Define responsibility for maintenance of asset register.Ensure that all acquisitions/disposals are accurately and promptly recorded.Carry our periodical inventory checks.	1	LOW	

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#	Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date
393	Incurring expenditure without proper legal authority.	STRATEGIC, FINANCIAL MANAGEMENT	Administration/Legal	Record in minutes powers under which expenditure is being approved.	1	LOW	
394	Failure to keep proper financial records.	STRATEGIC, FINANCIAL MANAGEMENT	Financial	Define responsibility through appointment of Proper Financial Officer, ie. Responsible Financial Officer. Ensure that the appropriate standing orders and financial regulations in place and subjected to annual review. Annual Accounts prepared for presentation to the of the Full Council for approval. Annual Return completed for submission to the External Auditor.	1	LOW	
395	Poor Financial Management	STRATEGIC, FINANCIAL MANAGEMENT	Financial	Determine responsibility for the management of the financial affairs of the council. Maintain and review Standing Orders/Financial regulations on a regular basis. Ensure that an effective budgetary control and financial reporting system are in place. Maintain an effective internal audit by an independent auditor	1	LOW	

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# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date		
396	Failure to set a precept within sound budgeting arrangements.	STRATEGIC, FINANCIAL MANAGEMENT	Financial	<p>Determine responsibility of clerk/committee/council. Ensure that presentation to committee/council follows an agreed timetable. Ensure that the precept is set as a result following members consideration of all relevant estimated expenditure requirements for the forthcoming financial year for all heads of expenditure, and anticipated income. Ensure all charges made by the council are reviewed annually. The adequacy of all balances and reserves are also reviewed annually. Ensure effective budget monitoring is in place throughout the year and quarterly financial statements presented to the council or relevant committee.</p>	3	MEDIUM	To seek specialist accountants advise and their attendance at the meeting of the Council.	

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397	Loss of money through theft/misappropriation.	STRATEGIC, FINANCIAL MANAGEMENT	Financial	<p>Financial Policy. Determine responsibility for cash at all sources. Receipts are issued for all income except bar. Transactions are recorded on till. Main Bar has CCTV conferring till. Secure arrangements are in place for all monies held pending banking. Daily arrangements are in place for prompt for recording and banking of all cash received. Monthly bank reconciliation is carried out by Accountant. Ensure that the council holds adequate fidelity guarantee insurance. Cashless payments implemented.</p>	1	LOW	
398	Failure to ensure proper use of funds under specific powers / S137.	STRATEGIC, FINANCIAL MANAGEMENT	Financial	<p>Ensure that all expenditure under section 137 is separately recorded in the cash book. Ensure that total expenditure granted under section 137 does not exceed the statutory limitation for the council. Ensure that all grant applications are complete and fully supported by the applicants annual accounts prior to submission to the council or relevant committee for consideration. Ensure that all grant applications are complete and fully supported prior to submission. Ensure that all approvals are properly recorded in the minutes.</p>	1	LOW	



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#	Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date
399	Risk to third party as a consequence of providing a service	STRATEGIC, FINANCIAL MANAGEMENT	Financial	Ensure that appropriate insurance cover/policy is in force.	1	LOW	
400	Failure to maintain an effective payments system.	STRATEGIC, FINANCIAL MANAGEMENT	Financial	Determine responsibility for control of expenditure. All payments to be supported by an invoice/voucher. All detail to be checked and payment entered into a cash book or equivalent. All payments to be approved by council and recorded in minutes. All cheques to be signed by the relevant signatories.	1	LOW	
401	Failure to notify/record gifts.	STRATEGIC	Administration/Legal	Ensure that all staff/members are aware of responsibilities. Maintain gift register.	1	LOW	
402	Failure to meet statutory duty on meetings	STRATEGIC	Administration/Legal	All notices are posted in the prescribed places 4 clear days prior to any meeting, All Councillors are notified of Meetings by way of a summons and agenda, Minutes of all meetings are taken and approved copies signed by the chairman and kept on a minute file. Maintain attendance records.	1	LOW	

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403	Failure to report Council business in Minutes	STRATEGIC	Administration/Legal	<p>Ensure proper, timely and accurate recording of council business in the minutes. Ensure that all minutes are signed and paginated and are presented to the next meeting for approval and adoption. The approved minutes are signed by the chairman and placed in the minute file with each page dated. That the minute numbers run consecutively. Maintain security of master copy.</p>	1	LOW	
404	Failure to comply with new Regulations /Legislation	STRATEGIC	Administration/Legal	<p>Ensure that proper training policy is in place. Continue in membership of appropriate local/national associations. The members also subscribe to appropriate publications which provide information on new regulations and legislation. Encourage staff networking.</p>	1	LOW	
405	Failure to respond to the elector's wish to exercise its rights	STRATEGIC	Administration/Legal	<p>Ensure members and staff are aware of Electors' Rights. Ensure that time is set aside prior to the start of each meeting for members questions and comments. Follow procedures for dealing with enquiries. Increase awareness of accessibility of the Council to the public.</p>	1	LOW	

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# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date
406 Disability & Discrimination	STRATEGIC, TOWN HALL	Administration/Legal	Ensure that all conditions of the Act as they affect service provision are met. Allocate responsibility to ensure that standards/ongoing requirements are met. Carry out periodical review of service.	1	LOW	
407 Defamation	STRATEGIC, NEWSLETTERS	Administration/Legal	Ensure that all input is subject to careful check and approved by Full Council. Arrange for professional examination of any sensitive material. Ensure that adequate insurance cover is held.	1	LOW	
408 Failure to meet statutory obligation re non - political content	STRATEGIC, NEWSLETTERS	Administration/Legal	Ensure that content of newsletter is carefully tested to ensure that statutory requirement is met.	1	LOW	
409 Failure to meet minimum requirement for quality status	STRATEGIC, NEWSLETTERS	Administration/Legal	Arrange testing/ assessment of input to ensure that requirement is met. Gain approval by council prior to publication.	1	LOW	
410 Failure to deliver and litter	STRATEGIC, NEWSLETTERS	Environmental	Determine policy for distribution. Prepare written conditions for service providers. Test distribution arrangements. Take appropriate action against offenders.	1	LOW	

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# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date
411 Failure to collect income	STRATEGIC, NEWSLETTERS	Financial	Determine responsibility for collection of income. Ensure that all income due to the council and received is properly recorded. Ensure receipts are issued for all income received. Arrange for prompt banking of all income. Ensure procedures are in place for issue of reminders for unpaid income. Follow defined procedure for reminders. Ensure Council approval for write-off on any bad debts. Ensure audit testing procedures are in place.	3	MEDIUM	
412 Inadequate budget provision	STRATEGIC, NEWSLETTERS	Financial	Ensure that service requirements are included in budgetary process.	1	LOW	
413 Non production of newsletter	STRATEGIC, NEWSLETTERS	Physical	Determine responsibility for and ensure that all publication deadlines are met. Ensure that all contracts with service provider signed and sealed. Monitor performance to ensure that contract conditions/obligations are met. Enforce contract conditions.	1	LOW	
414 Inadequate budget provision	STRATEGIC, TOWN HALL	Financial	Ensure requirements included in annual budget process.	1	LOW	

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# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date
415 Poor Office Conditions	STRATEGIC, TOWN HALL	Physical	Arrange periodical inspection of office. Report any adverse conditions to council/committee/landlord as appropriate. Arrange repair/maintenance etc. in accordance with tenancy agreement.	1	LOW	
416 Poor/Faulty Office Furniture	STRATEGIC, TOWN HALL	Physical	Arrange periodical inspection of office furniture and fittings. Where appropriate submit report to council/committee for approval to repair/replace.	1	LOW	
417 Fire	STRATEGIC, TOWN HALL	Physical	Ensure Health/Safety testing complete. Ensure appropriate staff training. Provide for strict security/control of combustible materials held by council. Fire alarm tested weekly. Fire drills held on a regular basis. Provide appropriate fire extinguishers are in place. Ensure appropriate signage in place. That a risk assessment is in place. Ensure appropriate regulations/controls in hire documentation.	1	LOW	
418 Legionella bacteria in water supply	STRATEGIC, TOWN HALL	Physical	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.	1	LOW	

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419	Defective Electrical Equipment/Machinery	STRATEGIC, TOWN HALL	Technical	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. Ensure that PAT is carried out regularly by a competent qualified person. Ensure that the appropriate records maintained.	1	LOW	
420	Inadequate budget provision	STRATEGIC, PROVISION OF WEBSITE/INTERNET ACCESS	Financial	Annual costs included in the precept budget.	1	LOW	
421	Failure of Website/Internet Providers	STRATEGIC, PROVISION OF WEBSITE/INTERNET ACCESS	Technical	Maintenance/service level agreements in place.	1	LOW	
422	Absence of service level agreements	STRATEGIC	Administration/Legal	Ensure that all service level agreements are fully completed and operational. Monitor performance to ensure conditions met. Review conditions periodically.	1	LOW	
423	Failure to obtain necessary licences.	STRATEGIC	Administration/Legal	Determine responsibility for obtaining licences. Maintain adequate records of licence application, renewal etc. Ensure premises licence is in place.	1	LOW	

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424	Failure to complete user agreements	STRATEGIC	Administration/Legal	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.	1	LOW	
425	Maintenance of diary of events etc	STRATEGIC	Administration/Legal	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.	1	LOW	
426	Inadequate representation on management committee	STRATEGIC	Administration/Legal	Arrange appointment of council representatives as set out in management agreement. Arrange periodical report on council agenda.	1	LOW	
427	Noise etc pollution	STRATEGIC	Environmental	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.	1	LOW	
428	Inadequate budget provision	STRATEGIC	Financial	Ensure that service/facility requirements are detailed in Budget process and reviewed annually.	1	LOW	
429	Failure to set/review charges.	STRATEGIC	Financial	Ensure that all charges are reviewed annually as an integral part of the budgetary process.	1	LOW	

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430 Failure to collect income.	STRATEGIC	Financial	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.	1	LOW	
431 Security of premises and contents	STRATEGIC	Physical	Define policy for security of premises and equipment. Maintain asset register and photographs of all items of any value together with a digital back up copy. Allocate responsibility for security/control of equipment. All offices/premises are locked outside working hours. Letting agreements are in place with a condition to secure building on departure.	1	LOW	



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432 Maintenance of buildings	STRATEGIC	Physical	Define responsibility for maintenance. Carry out regular inspections of all buildings. Ensure that where appropriate proper contractual arrangements are in place. Arrange staff training where required. Detailed records kept of all work scheduled/completed. That each building is individual risk assessed. That the risk assessments are reviewed annually.	1	LOW	
433 Fire	STRATEGIC	Physical	Ensure Health/Safety testing complete. Ensure appropriate staff training. Ensure a strict 'no smoking' and 'no naked flame' policy operates throughout all council buildings. Provide for strict control of combustible materials held by the council. Provide appropriate extinguishers etc. Fire alarm and emergency lighting system in place. Ensure appropriate signage in place. Ensure that a Fire risk assessment is reviewed annually. Ensure that the appropriate regulations/controls included in hire documentation.	1	LOW	

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# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date
434 Theft	STRATEGIC	Physical	Determine responsibility for security.Ensure that security of all plant, equipment and premises is recognised as a priority.Provide for required staff trainingMaintain register of assets.Maintain liaison with local enforcement agencies.	1	LOW	
436 Hazardous substances	STRATEGIC	Physical	Define responsibility for use and control.Provide for any necessary training.Provide for appropriate protective clothing.Ensure that any necessary licences, certificates for use have been obtained.Ensure that security is sound.Ensure that COSHH regulations adhered to regarding the storage of cleaning substances.	1	LOW	
437 Stock control	STRATEGIC	Physical	Define responsibility for stock.Arrange for regular stock checks.Reconcile stock to sales/usage.Investigate significant differences.Maintain comprehensive stock records.	1	LOW	

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# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date	
438	Provision of inadequate standard of seating.	STRATEGIC	Administration/Legal	Determine council policy for acceptance/provision of seating. Including where appropriate guidance on nominated/preferred suppliers. Ensure that all prospective donors are provided with copy of policy prior to acceptance and carry out inspection of all seating prior to acceptance. Arrangements will be made for safe and secure installation.	1	LOW	
440	Fire	STRATEGIC	Physical	Ensure Health/Safety testing complete. Ensure appropriate staff training. Provide for strict security/control of combustible materials held by council. Provide appropriate extinguishers etc. Ensure appropriate signage in place. Ensure appropriate regulations/controls adhered to.	1	LOW	
441	Injury or damage arising from use.	STRATEGIC	Physical	Carry out regular inspection of public seating & maintain records. Have necessary arrangements in place for repair/renewal. Ensure that appropriate insurance cover is held.	1	LOW	
442	Provision of inadequate public seating	STRATEGIC	Technical	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.	1	LOW	

## Risk Report - Summary

# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date	
443	Inadequate maintenance of shelters & seats	STRATEGIC	Technical	Determine responsibility for maintenance of property. Arrange regular inspection and cleaning. Arrange repairs and maintenance as per programme or as required. Have arrangement in place to remove/replace dangerous equipment. Maintain records of repair and maintenance. Maintain and update the Assets Register.	1	LOW	
444	Service level agreements	STRATEGIC, STREET/FOOTWAY LIGHTING	Administration/Legal	Ensure that all service level agreements are fully completed and operational. Monitor performance to ensure conditions met. Review conditions periodically.	1	LOW	
445	Contracts with service providers	STRATEGIC, STREET/FOOTWAY LIGHTING	Administration/Legal	Ensure that all contracts are signed and sealed. Monitor performance to ensure that contract conditions/obligations are met. Where appropriate examine contractor insurance documentation. Review conditions periodically.	1	LOW	
446	Failure to provide lighting	STRATEGIC, STREET/FOOTWAY LIGHTING	Environmental	Monitor Service Level Agreement with major authority on a regular basis. Report any faulty lights as soon as possible. Monitor service performance and enforce agreement conditions.	1	LOW	
449	Inadequate budget provision	STRATEGIC, STREET/FOOTWAY LIGHTING	Financial	Ensure that service/facility requirements are detailed in budget process.	1	LOW	

## Risk Report - Summary

# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date
450 Maintenance	STRATEGIC, STREET/FOOTWAY LIGHTING	Physical	Define responsibility for maintenance.Ensure contractual arrangements in place for renewal/repairCarry out regular inspections of all equipment.Maintain detailed records of all work scheduled/completed.	1	LOW	
451 Security of inspection plates etc.	STRATEGIC, STREET/FOOTWAY LIGHTING	Physical	Arrange for regular inspection of equipment.Ensure contractual arrangements in place for renewal/repair.	1	LOW	
452 Maintenance of register/records	STRATEGIC	Administration/Legal	Determine responsibility for maintenance of register.	1	LOW	
453 Failure to meet consultation deadlines.	STRATEGIC	Administration/Legal	Ensure adequate number of Planning & Environment Committee meetings are arranged.Where necessary liaise with the Planning Authority for possible extension.	1	LOW	
454 Security of records	STRATEGIC	Physical	Allocate responsibility for records.Provide for secure storage facilities.Paper records in locked cupboards or safe/strong roomIntruder alarm. Fire alarm. Fire Risk Assessment.Member of Hampshire Police notifiable key holders schemeDigital records backed up and held by IT Contractor in encrypted cloud vault	1	LOW	

## Risk Report - Summary

# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date	
455	Failure to obtain necessary approval for events	STRATEGIC, TOWN SIGNS	Administration/Legal	Determine responsibility for administration: Mayors Secretary, TCM or Building Manager Ensure that appropriate applications are submitted to Highway Authority (HCC) and or TVBC Regular events in calendar operated by Mayors Secretary Occasional or one-off events will have separate planning group.	1	LOW	
456	Inadequate budget provision	STRATEGIC	Financial	Ensure service requirement included in annual budget.	3	MEDIUM	Budget requirements put to committee annually.
457	Vandalism	STRATEGIC, TOWN SIGNS	Physical	Carry out regular inspection of signs and street furniture. Maintain liaison with local enforcement agencies. Take action as appropriate against offenders.	2	LOW	
458	Inadequate maintenance.	STRATEGIC, CHARTER STONE, CORN MARKET JARDINERES, SEASONAL DECORATION, Ladders & Tower, ALLOTMENT - Southampton Road, BAR SERVICES, LAND AT THE STAR, TOWN HALL, BENCHES, STREET/FOOTWAY LIGHTING, TOWN SIGNS, WATER SUPPLY/FOUNTAIN, WAR HORSE	Physical	Building Manager in Post. Maintenance Policy in place including itemised cyclical policy. Budget arranged annually according to policy.	4	MEDIUM	Periodic inspections inline with Policy. Budget requested annually.

## Risk Report - Summary

# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date
459 Vandalism	STRATEGIC, ALLOTMENT - Southampton Road, LAND AT THE STAR, BENCHES, STREET/FOOTWAY LIGHTING, WAR HORSE	Physical	Maintain security. Maintain liaison with local enforcement agencies. Take action as appropriate against offenders. Regular checks undertaken Warhorse and TH Yard Floodlit	4 MEDIUM	CCTV on War Horse being investigated with TVBC	30/10/2020
462 War Horse statue. Resin based construction on a steel entablature.	STRATEGIC, WAR HORSE	Physical	Insured Floodlit at night Sign erected requesting the public do not climb on the statue. Additional signage placed at base "Do Not Climb" 2019	2 LOW	CCTV being investigated with TVBC Meeting 9 March 20	05/10/2020
463 Ownership and Control of Universal Resource Locator (URL)	STRATEGIC	Administration/Legal	URL is on a two year rolling contract administered by our IT Contractor Ensure that Clerk to the Council is listed as registrant of website when Web address is purchased and registered. Ensure that hosting charges and domain renewal charges are met by council. Ensure that council has full details of web address, account name and password.	1 LOW		
464 Content	STRATEGIC	Administration/Legal	Content is only updated by RTC staff with oversight of the Chief Officer to approved policy.	1 LOW		
465 Insurance	STRATEGIC	Administration/Legal	Our Brokers conduct an audit with the Chief Officer each February prior to renewal. This includes both best value and cover. Ensure that appropriate insurance cover is held by council.	1 LOW		

## Risk Report - Summary

# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date	
466	Availability of Software tools to build and manage website	STRATEGIC	Administration/Legal	Website hosted by Weebly. Built and managed in-house by RTC staff. RTC have full IT package supplied and supported by a contractor. 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. Ensured with new web site design	1	LOW	
467	Risk arising from use of unlicensed software	STRATEGIC	Administration/Legal	Software is only obtained from reputable sources being purchased or open source. Installation has to be via our IT Contractors who will not use unauthorised products. Bespoke programmes also include support package.	1	LOW	
468	Dependence upon an individual - Web Site	STRATEGIC	Administration/Legal	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. Faye Godwin and Mark Edgerley are lead and backup operatives. Heather Stevens trained. Howard Brisland has access but limited knowledge	2	LOW	Cross train other members of staff as and when practical



## Risk Report - Summary

# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date	
469	Loss of Data/ Inability to access backup	STRATEGIC	Administration/Legal	Daily back-up taken of digital documents and stored in a secure remote data centre by contracted IT Service Provider. Essential paper documents are stored in fire proof safe. Website, Risk Management and telephony is cloud based. Disaster recovery plan in place. IT provider to provide remote working. Agreement with TVBC to use office in old magistrates court building. Building has up to date Fire plan and precautions. Intruder alarm to key areas.	1	LOW	
470	Non compliance with Freedom of Information Act	STRATEGIC	Administration/Legal	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.	1	LOW	
471	Non conformance with the Data Protection Act	STRATEGIC	Administration/Legal	Where posting information to website, or storing personal information, ensure that permission is in place and the eight principles of data protection have been followed. The data must be fairly and lawfully processed. Ensure that all legal requirements are met. Registered with IPCStaff keeps up to date with requirements	1	LOW	

## Risk Report - Summary

# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date	
472	Lack of motivation for continued management of website.	STRATEGIC	Administration/Legal	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 update of the site content is carried out on an as required basis.	1	LOW	
473	Lack of visibility of visitor numbers to website	STRATEGIC	Administration/Legal	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.	1	LOW	Upgrade website to include visitor number count. Available in management section.
474	Compromise of copyright by inclusion of website links or frames.	STRATEGIC	Administration/Legal	If web site contains links to other sites ensure permission of destination website is prerequisite.	1	LOW	
475	Confusion arising from links to external websites	STRATEGIC	Administration/Legal	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.Website built and managed by RTC staff	1	LOW	Minimise links and only use trustworthy sites.

## Risk Report - Summary

# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date	
476	The placing of information on site that may put people at risk.	STRATEGIC	Administration/Legal	<p>RTC staff manage this web site. All involved are aware of the risks involved when publishing information regarding individuals or groups of individuals .</p> <p>Formulate and implement a policy that follows best practice guidelines to protect those involved. Only designated RTC personnel are able to upload information on website.</p>	1	LOW	
478	Inadequate control of website	STRATEGIC	Technical	<p>Built and maintained by RTC using weebly programme. (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). Ensure that a Service Level Agreement with the website provider is in place.)</p>	1	LOW	
479	Risk arising from poor design / appearance of website	STRATEGIC	Technical	<p>New website created with design is undertaken by suitably qualified and experienced operators. Ongoing monitoring</p>	2	LOW	

## Risk Report - Summary

# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date	
480	Failure to meet needs/expectations of visitors to website.	STRATEGIC	Technical	New website is now working with RTC staff in full editorial control. 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. Several trained operatives to ensure continuity	1	LOW	
481	Lack of visibility of website to search engines	STRATEGIC	Technical	Ensure that the site is registered with leading search engines (Rapid registration is available at a cost). Update and change the front page of the site (and other pages) regularly to ensure that the search engine Spider regularly visits the site and is updated as required.	1	LOW	
482	Breaching GDPR regulations	STRATEGIC	Reputational, Regulatory	Relevant people written to to ask permission to hold name and address. On going process to get permission from new names. Implementation of NALC guidance. Registered with relevant authority	1	LOW	None
483	Winding Council Chamber Clock	OPERATIONAL, Ladders & Tower	Fall from height	Six monthly ladder checks. Working at height training. Competent operatives	3	MEDIUM	

## Risk Report - Summary

# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date
484 Christmas Lights	SEASONAL DECORATION, OPERATIONAL	Trips/slips/falls on same level, Fire/explosion, Contact from hand tools, Fall of object/material from height, Violence/physical assault, Contact with vehicle, Electrical shock or burn, Reputational, Administration/Legal, Contractor, Financial, Technical, Health & Safety	RTC Policy. Investment in modern equipment 2017-20. Thereafter replacement programme in place.HCC licence.Insurance. Speclist contractor. Load point fixing testing. Tree barriers. Conform to ILP Professional Lighting Guide 06 and BS7671. Weekly inspections during "Live" operational phase.	4	MEDIUM	
485 Roof Void Access	OPERATIONAL, TOWN HALL	Fall from height, Trips/slips/falls on same level, Collapse of floors/surfaces	Only trained staff and Contractors. No loan working.Hard Hats, safety boots/shoes non snag clothing such as boiler suit to be worn.Only access from stairwell door direct to roof void door.Torch and two-way radios to be carried.Office to be informed of access and to hold second radio.No access during: Rain, Wind gusts in excess of 40mph, temperatures over 30C or freezing conditions.Only walk on walkway in void space.Lighting fitted.	3	MEDIUM	

## Risk Report - Summary

# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date
486 Remembrance Parade	EVENTS	Trips/slips/falls on same level, Violence/physical assault, Contact with vehicle, Struck by moving or flying objects, Struck against fixed object/obstruction, Reputational	Road closures in place with RTC Marshals manning closure points. Nature of road layout inhibits fast moving traffic. First Aid cover provided by St Johns. General stewarding provided by Army Cadets. Police present. Each component part of parade has its own leadership. Detail plan and running order supplied by RTC.	1	LOW	
487 Pandemic Closure of Town Hall due to Infectious disease outbreak.	COUNCIL MEETINGS, COUNCIL PROPERTY & DOCUMENTS, EMPLOYMENT OF STAFF, FINANCIAL MANAGEMENT, NEWSLETTERS, TOWN HALL, PROVISION OF WEBSITE/INTERNET ACCESS	Regulatory, Administration/Legal, Financial, Health & Safety	Disaster recovery plan in place which includes working from home and or, a temporary office with TVBC. Coronavirus Procedure in place. Government guidance on Gov.uk website. Staff working remotely and coordinating to be in office singularly.	6	HIGH	Create zoom account for use by both councillors and officers. Social distancing assessment to be produced and amended as and when Government publishes guidance.

## Risk Report - Summary

# Risk	Area of Interest	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Target Date
488 Use of Market Place Piazza	TOWN HALL, TOURISM	Regulatory, Health & Safety, Physical	Separate Risk Assessments for each event. Appropriate licences obtained by RTC from applicable authority. Events cancelled if severe weather warnings are in place. Electrical installation is serviced in accordance with regulations. Electrical installation controlled by RTC. Circuit breakers provided for stalls by RTC. Cables tidy ramps provided by RTC. Structures are properly weighted to prevent wind movement. Temporary structures to be obtained and erected by professional companies. Market traders provide own. Bollards in place. Temporary fencing used as needed. Road closures and Marshalls used for larger events that may spill on to road. However, area is designed to slow traffic and be pedestrian friendly.	2	LOW	