

Function	Hazard	Control	Review	Likelihood
Bus Shelters	Maintenance of Bus Shelters	Maintenance is carried out by SASPC	As & When	Low
	Cleaning of Bus Shelters	Cleaning is carried out by SASPC	Monthly	Low
	Personal Injury	1. Any risks to public are minimized and eliminated wherever possible. 2. Adequate insurance is in place	Monthly	Low
	Vandalism	1. Shelter checked regularly for damage. 2. Regular liaison with local enforcement agencies. 3. Appropriate action would be taken against offenders.	Monthly	Low
	Provision of adequate insurance cover	Risks reviewed annually by Parish Clerk for insurance purposes and appropriate action taken. Bus shelters currently covered by SASPC insurance policy.	Annually	Low

Function	Hazard	Control	Review	Likelihood
Code of Conduct	Failure to maintain /Update Register of Interests/Gifts	1. Annual review of register of interests. 2. Agenda item at each meeting for personal and prejudicial interests.	Annually	Low
	Failure to disclose personal interests	1. Annual review of register of interests. 2. Agenda item at each meeting for personal and prejudicial interests.	Annually	Low

Function	Hazard	Control	Review	Likelihood
Computing	Crash of IT System	1. Weekly backup provided online by Microsoft OneDrive. 2. Antivirus software installed and regularly updated. 3. Monthly backup to external hard drive.	Weekly	Low
	Loss/damage arising from unauthorised use.	1. Responsibility for security of equipment rests with the Parish Clerk.	Annually	Low
	Loss arising from theft/misappropriation	1. Access restricted to Parish Clerk.	Annually	Low

Function	Hazard	Control	Review	Likelihood
Council Meetings	Personal Injury	1. Health and safety aspects are managed by an external body, the Village Hall Committee.	Annually	Low
	Failure to meet statutory duty	1. All members are notified of meetings by way of summons and agenda. 2. Public notices are posted as prescribed. 3. Meeting are quorate and attendance records are maintained. 4. Proceedings are minuted, minutes are signed by the Chairman and filed.	Annually	Low

	Access	1. Access is available to all in accordance with legislation. 2. Adequate provisions for Disablement & Disability 3. Specific area set aside for Press & Public at all meetings, as appropriate.	As and When	Low
	Security	1. Local enforcement agencies attend most meetings. 2. Health and safety aspects are managed by an external body, the Village Hall Committee.	Annually	Low

Function	Hazard	Control	Review	Likelihood
Council Property and Documents	Loss of assets	1. The Clerk has responsibility for the effective security of all assets. 2. An Asset Register is in place updated as required, and reviewed annually. 3. Adequate and appropriate insurance cover is held. 4. Bi-monthly checks by members for loss/damage recorded on checksheet and filed with Clerk.	Annually	Low
	Legal Liability as a result of Asset Ownership	1. Adequate Public Liability Insurance is in place.	Annually	Low
	Loss / Damage to Civic Regalia	None held.	As and When	N/A
	Failure to effectively process documents	1. Responsibility for the maintenance of effective control of documentation rests with the Parish Clerk. 2. Defined procedures are in place for recording document's receipt, circulation, response, handling & filing, and reviewed through regular training.	Daily	Low

Function	Hazard	Control	Review	Likelihood
Data Protection	Breach of Confidentiality	1. Saxby All Saints Parish Council is registered under the Data Protection Act. 2. Confidential data relating to the employee is held by the employee only.	Annual	Low

Function	Hazard	Control	Review	Likelihood
Employment of Staff	Inability to recruit	1. Membership of ERNLLCA who will provide support and advice on recruitment processes as required. 2. The Council has one part time employee only.	As and when	N/A
	Inability to retain staff	1. The Council has one part time employee only.	Annually	N/A

	Loss of key staff	1. Membership of ERNLLCA to offer help and advice. 2. Develop operations manual for specific procedures 3. Clerk is member of SLCC and has a copy of the Clerk's manual	Quarterly	Low
	Lack of Training	1. Staff appraisal to be scheduled in July annually. 2. A defined training policy is in operation. 3. The Clerk is a member of SLCC	Annually	Low
	Lack of Employee motivation/efficiency	1. The Parish Clerk has a job description. 2. Staff appraisals to be scheduled in July annually. 3. Appropriate staff records are held by the Clerk. 4. A defined training policy is in operation.	Annually	Low
	Attacks on Personnel	1. The Parish Clerk works from home. 2. Appropriate insurance cover is in place.	Annually	Low
	Failure to comply with Employment Law	1. A contract of employment for the Parish Clerk is in place. 2. An annual review of the Clerk's contract of employment is to be scheduled in July of each year. 3. Membership of ERNLLCA ensures timely communication of legislative changes. 4. The necessary training to fulfil requirements is undertaken.	Annually	Low

Function	Hazard	Control	Review	Likelihood
Financial Management	Failure to keep proper financial records	1. The Clerk has been appointed the Council's Proper Financial Officer. 2. Appropriate standing orders and financial regulations in place that are subject to periodic review. 3. Independent internal audit is undertaken annually. 4. The Clerk gives a monthly financial reports to Council.	Annually	Low
	Poor Financial Management	1. Responsibility for the management of the financial affairs of the council rests with the Parish Clerk. 2. Standing Orders/Financial regulations are reviewed annually. 3. An effective budgetary control/financial reporting system is in place. 4. An internal audit is undertaken annually.	Annually	Low

Failure to set a precept within sound budgeting arrangements	<ol style="list-style-type: none"> 1. Clerk and Councillors collaborate to ensure sound budgeting arrangements. 2. Presentation to Council follows an agreed timetable. 3. Precept is set as a result of a full report detailing requirements for the forthcoming year for all heads of income/expenditure. 4. Adequacy of all balances and reserves reviewed monthly to ensure that effective budget monitoring is in place. 	Quarterly	Low
Loss of money through theft/misappropriation.	<ol style="list-style-type: none"> 1. No cash is handled by the Parish Clerk 2. Clerk and Councillors collaborate to ensure sound budgeting arrangements. 3. Presentation to Council follows an agreed timetable. 	Monthly	Low
Failure to comply with Inland Revenue Regulations	<ol style="list-style-type: none"> 1. The Clerk's payroll is managed by an external payroll provider. 	Monthly	Low
Failure to comply with Customs & Excise Regulations	<ol style="list-style-type: none"> 1. The Parish Council have no VAT requirement. 2. VAT claims are completed and submitted on a regular basis. 3. All claims are reconciled to cashbook. 	Quarterly	Low
Failure to ensure proper use of funds under specific powers / S137	<ol style="list-style-type: none"> 1. All expenditure under section 137 is separately recorded in the cashbook. 2. Total expenditure does not exceed the statutory limitation for the council. 3. All grant applications are complete and fully supported prior to submission to committee/council. 4. All approvals are properly recorded in council minutes. 5. Ensured that no alternative statutory authority is available. 	Quarterly	Low
Risk to third party as a consequence of providing a service	No services are provided	Annually	N/A
Failure to maintain an effective payments system.	<ol style="list-style-type: none"> 1. The Clerk has responsibility for control of expenditure. 2. All payments are supported by an invoice. 3. All details are checked and the payment entered into a cashbook. 4. All payments to be approved by council and recorded in the minutes. 5. All cheques are signed by at least two authorized members. 6. Signatories endorse the cheque counterfoils and check payments against invoices. 7. All expenditure is subject to sound budgetary control. 	Monthly	Low

	Failure to maintain record of council assets.	1. The Parish Clerk has responsibility for the maintenance of asset register. 2. All acquisitions/disposals are accurately and promptly recorded. 3. Playground equipment is regularly checked.	Annually	Low
	Incurring expenditure without proper legal authority	1. The Parish Clerk to record powers for any unusual item of expenditure.	Annually	Low

Function	Hazard	Control	Review	Likelihood
Litter	Failure to empty	1. Responsibility rests with NLC. 2. Local monitoring and reporting processes are in place.	Monthly	N/A
	Inappropriate location of litter bins	1. Locations reviewed and agreed with unitary authority.	Annually	N/A
	Vandalism/theft/damage	1. Responsibility rests with NLC. 2. Local monitoring and reporting processes are in place.	Annually	N/A
	Fly-tipping	1. Prevalent at Saxby Hill Top, Middlegate Lane. Monitor and report to land owner	Monthly	Low
	Unauthorised Fly posting/nuisance.	1. Responsibility rests with NLC.	Annually	N/A
	Inadequate insurance cover	1. Responsibility rests with NLC.	Annually	N/A
	Inefficient service provision	1. Responsibility rests with NLC. 2. Local monitoring and reporting processes are in place.	Monthly	N/A
	Inadequate budget provision	1. Responsibility rests with NLC.	Annually	N/A

Function	Hazard	Control	Review	Likelihood
Meetings of the Council	Disability & Discrimination Act	1. All conditions of the Act as they affect service provision are met. 2. Clerk regularly updated by ERNLLCA	Annually	Low
	Failure to meet statutory duty on meetings	1. All notices are posted in the prescribed places 3 clear days prior to any meeting, 2. All Councillors are notified of Meetings by way of a summons and agenda, 3. Minutes of all meetings are taken, approved and a copy kept.	Monthly	Low
	Failure to report Council business in Minutes	1. The Clerk ensures proper, timely and accurate recording of council business in the minutes. 2. All minutes are approved and signed and master copies securely maintained.	Monthly	Low

	Failure to comply with new Regulations /Legislation	1. A proper training policy is in place. Training is provided on a needs basis and planned for in the budget 2. Continue membership of appropriate local/national organisations - ERNLLCA and SLCC. 3. Continue to subscribe to appropriate publications - The Clerk, ERNLLCA newsletter.	Monthly	Low
	Failure to respond to the elector's wish to exercise its rights	1. The Clerk ensures councillors are aware of Electors' Rights and follows procedures for dealing with enquiries. 2. Full use is made of noticeboards, web sites and newsletters.	Annually	Low

Function	Hazard	Control	Review	Likelihood
Notice Board	Maintenance of Notice Board	Maintenance is carried out by SASPC.	Quarterly	N/A
	Design & Position	Accountability rests with SASPC	As and when	N/A
	Vandalism	1. Notice Board checked regularly for damage. 2. Regular liaison with local enforcement agencies. 3. Appropriate action would be taken against offenders.	Monthly	Low
	Provision of adequate insurance cover	Risks reviewed annually by Parish Clerk for insurance purposes and appropriate action taken. Notice Board currently covered by SASPC insurance policy.	Annually	Low

Function	Hazard	Control	Review	Likelihood
Telephone Kiosk	Personal Injury	1. Any risks to public are minimized and eliminated wherever possible. 2. Adequate insurance is in place.	Annually	Low
	Maintenance	Maintenance is carried out by SASPC	As & when	Low
	Cleaning	Cleaning is carried out by SASPC.	As & when	Low
	Vandalism	1. Kiosk checked regularly for damage. 2. Regular liaison with local enforcement agencies. 3. Appropriate action would be taken against offenders.	Monthly	Low
	Provision of adequate insurance cover	Risks reviewed annually by Parish Clerk for insurance purposes and appropriate action taken. Kiosk currently covered by SASPC insurance policy.	Annually	Low

Function	Hazard	Control	Review	Likelihood
Town and Country Planning	Security of records	<ol style="list-style-type: none"> 1. All Council decisions regarding planning applications are recorded in the minutes. 2. No separate register is held due to the very low number of applications. 3. Outcomes are logged on a register held by the unitary authority. 	Annually	Low
	Maintenance of register/records	<ol style="list-style-type: none"> 1. All Council decisions regarding planning applications are recorded in the minutes. 2. No separate register is held due to the very low number of applications. 3. Outcomes are logged on a register held by the unitary authority. 	Annually	Low
	Failure to meet consultation deadlines	<ol style="list-style-type: none"> 1. A low volume of planning applications is received by the Council. 2. All applications are reviewed by the Council. 3. Where necessary, the Parish Clerk liaises with the Planning Authority for an extension. 	Annually	Low

Function	Hazard	Control	Review	Likelihood
Village Signs	Failure to obtain necessary approval.	<ol style="list-style-type: none"> 1. The Clerk is responsible for ensuring necessary approval is granted. 2. Applications are submitted to the Highway Authority. 	As and when	Low
	Inadequate maintenance.	<ol style="list-style-type: none"> 1. The Parish Clerk is responsible for maintenance. 2. Signs are regularly checked by councillors. 3. Repair / replacement of signage is arranged as necessary. 	Quarterly	Low
	Inadequate budget provision	<ol style="list-style-type: none"> 1. Provision for repair and maintenance is made in the annual budget. 2. Requirements for new signage is costed within project budgets. 	Annually	Low
	Vandalism	<ol style="list-style-type: none"> 1. Signs are regularly checked by councillors. 2. Very low incidence of antisocial behaviour/vandalism. 3. Monthly liaison with law enforcement agencies. 	Monthly	Low

Function	Hazard	Control	Review	Likelihood
Web Sites	Insurance	1. Appropriate insurance cover is held by council.	Annually	Low
	Availability of Software tools to build and manage site	1. Software tools are purchased as required	As and when	N/A
	Risk arising from use of unlicensed software	1. Only properly licensed software is used.	Annually	N/A
	Dependence upon an individual	1. Expertise is provided on a needs basis. 2. Information is added to the site by the Parish Clerk	Annually	Low
	Loss of Data/ Inability to access backup	1. A back-up copy of web content is held by the website designer and is updated on a regular basis.	Monthly	
	Inadequate control of web site	1. The Clerk is responsible for ensuring adequate control of the website.	Annually	
	Risk arising from poor design / appearance of web site	1. The Clerk ensures that design is undertaken by suitably qualified and experienced operators and the council is provided with full details prior to implementation where appropriate.	As and when	
	Failure to meet needs/expectations of visitors to site.	1. The Clerk is responsible for the design and development of the site. 2. A record is kept of all views, comments, complaints received. 3. The Clerk undertakes monthly reviews of the website, with third parties where appropriate and initiates agreed changes/improvements where necessary. 4. the Clerk maintains dialogue with site visitors where appropriate.	Annually	
	Non compliance with Freedom of Information Act	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 web site.	Annually	
Non conformance with the Data Protection Act	When posting information to web site, or storing personal information, the Clerk ensures that permissions are in place and the eight principles of data protection have been followed: The data must be; fairly and lawfully processed; processed for limited purposes; adequate, relevant and not excessive; accurate; not kept longer than necessary; processed in accordance with the data subject's rights; secure; and not transferred to countries without adequate protection.	As and when	Low	

Lack of visibility of website to search engines	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 updates their listing.	Quarterly	
Compromise of copyright by inclusion of website links or frames.	1. The Clerk ensures that links to other web sites do not infringe copyright.	Annually	N/A
Confusion arising from links to external websites	1. The Clerk aims to make all links to other websites clear.	Annually	N/A
The placing of information on site that may put people at risk.	1. 1. The Clerk aims to ensure that all involved are aware of the risks involved when publishing information regarding individuals or groups of individuals . Formulate and implement a policy that follows best practice guidelines to protect those involved.	Annually	Low
Risk arising from paid advertising	1. The Clerk ensures that all advertisements comply with Advertising Standards and set pricing and conditions have been set. 2. The Clerk is responsible for ensuring that advertisers are aware of the Terms & Conditions , including a refund policy should any advert be withdrawn from display. 3. The Clerk aims to ensure that provision is included to deal with advertising proving unreliable or offensive and there is the capability for rapid removal of such material from the website.	Annually	
Ownership and Control of Universal Resource Locator (URL)	1. The Clerk to the Council is listed as registrant of the website . 2. The Clerk ensures that hosting charges and domain renewal charges are met by council. 3. The Clerk holds full details of web address, account name, user name and password to manage the web address.	Annually	
Content	1. Clerk has delegated powers to maintain site and agree content. 2. Individual members are encouraged to visit site and pass comments to the Clerk	As and When	Low