



Risk Assessment February 2019

Information Technology:

1. PC/Network
2. Website
3. Disaster Recovery
4. Virus
5. Internet
6. Theft

Premises:

7. Insurance Cover
8. Theft/Vandalism
9. Facility Management
10. Licenses
11. User/hirer agreement
12. User satisfaction
13. Loss
14. Hazardous substances
15. Income loss
16. Health and Safety
17. Clock

Car Parks

18. Maintenance of surfaces
19. Security
20. Litter

Bus Shelters

21. Vandalism
22. Maintenance & Cleaning

Seats & Benches

23. Damage

Telscombe Tye

24. Sheep insurance
25. Care of sheep
26. Loss of income
27. Tye Management Plan
28. Dog Fouling
29. Fly-Tipping
30. Maintenance of gates & fences
31. Paths & bridleways
32. Personal Injury

Parks & Playspaces

33. Personal Injury
34. Vandalism
35. Budget Provision
36. Trees

Employment

37. Employment Law
38. Loss of key staff
39. Recruitment
40. Job Satisfaction
41. Attacks on Personnel

Staff Communication

42. Discretion
43. Confidentiality
44. Meetings

Service Quality & Development

45. Poor service
46. Statutory services
47. Development of new services
48. Records
49. Document Processing

Governance & Management

50. Lack of skills
51. Legislation
52. Meetings
53. Conflict of Interest
54. Disagreements
55. Conflict with Town Clerk
56. Information Provision
57. Personal Injury

Financial Risks

- 58. Budget Overspend
- 59. Cash Flow
- 60. Council Assets
- 61. Insurance
- 62. Inland Revenue
- 63. Fraud
- 64. Precept
- 65. Financial Records
- 66. Payment System
- 67. Grant Funding
- 68. Cash Income

Investments

- 69. Investment Register
- 70. Inappropriate Investment

Employment Regulations

- 71. Legislation
- 72. Tribunal

No	Categories	Risk	Likelihood	Impact	Risk Factor	Controls and Procedures	Deadlines new control	Responsibility
1	Information Technology	Desktop PC Crash/Network Crash	2	2	4 (low)	All the computers are reviewed with IT company.	The system is regularly backed up on site server and off site in the cloud.	All staff to ensure that storage of main files are kept on 'g' drive which is backed-up.
2		Website crash	2	2	4 (low)	External support is available. Back up kept daily. Back up is kept off site	Control procedures in place	All Staff
3		Disaster recovery IT crash	2	2	4 (Low)	Back up in the cloud via IT consultant.	Control procedures are in place	IT Consultant/Town Clerk
4		Sabotage by computer hackers/virus/ security	1	2	3 (low)	Virus software is regularly updated	System is password controlled.	IT Consultant
5		Using the internet for private purposes	2	1	2 (low)	System is password protected Confidential information can be accessed	Staff policy in place.	Town Clerk
6		Theft, loss or damage to Computer system	2	2	4 (low)	The premises are secured and alarmed. Insured for loss and theft. IT company have loan computers available for use.	Control procedures are in place	Town Clerk/ IT Consultant
7		Premises	Inadequate Insurance Cover	2	2	4 (Low)	Insurance premium is fully reviewed with brokers every year & a 3 year term agreed, with risk assessments being undertaken yearly. Facilities are regularly maintained to ensure good condition.	Control procedures are in place – but require regular review and monitoring.
8	Theft and vandalism of sites		3	2	6 (Medium)	Record of assets is maintained yearly. Regular visits of all sites are undertaken. CCTV in place and	Procedures in place, need to regularly review to ensure that all sites are visited. Encourage more people to	Town Clerk/staff/ Councillors

No	Categories	Risk	Likelihood	Impact	Risk Factor	Controls and Procedures	Deadlines new control	Responsibility
						operational at Civic Centre.	report acts of vandalism.	
9		Absence of service level agreements for facility management	1	3	3 (Low)	Service contracts in place for fire extinguishers & fire alarm, lift, intruder alarm, IT network, PAT testing, CCTV and automatic front door.	Need to ensure that contracts are regularly reviewed and monitored and that any subsequent works identified will be addressed quickly.	Town Clerk
10		Failure to obtain necessary licenses	2	2	4(Low)	Licenses for entertainment gained. Alcohol licence 'TEN' applied for when needed.	Entertainment licence gained for Civic Centre in 2011.	Town Clerk
11		Failure to complete user/hire agreements	2	2	4 (low)	Completion of hire agreement to be a pre-requisite of facility hire. Arrange annual review of conditions and charges. Damage deposit required and insurance details must be provided.	Systems in place to ensure that agreements are signed and completed prior to use.	Senior admin assistant/admin assistant
12		Failure to get user satisfaction	2	2	4 (low)	Ensure that all bookings are recorded on system and that all staff are aware of forthcoming bookings at weekly team meeting. User survey should be undertaken.	Need to ensure all staff adequately trained in procedures and ensure that caretakers have room requirements attached to weekly lists.	Senior admin assistant/Town Clerk
13		Fire/ Loss due to disaster	2	2	4 (low)	Insurance cover provided. Ensure members of staff trained as fire marshal and that fire alarms/fire extinguishers are regularly tested. Ensure that all users of facilities are aware of sound of fire alarm and have read fire escape	Procedures in place to ensure regular testing/training and fire plan are kept up to date.	Town Clerk

No	Categories	Risk	Likelihood	Impact	Risk Factor	Controls and Procedures	Deadlines new control	Responsibility
						plan. Ensure that appropriate signage in place.		
14		Hazardous substances	2	2	4 (low)	Define responsibility for use and control. Provide any necessary training. Provide appropriate protective clothing. Ensure that disposals are properly dealt with. Chemicals protected in lockable cabinet.	Procedures and job definition in place. Regular checks undertaken to ensure disposal undertaken correctly. Training is provided.	All staff
15		Income Loss due to groups not being able to use building due to disaster.	2	2	4 (low)	Insurance in place to protect from loss of income.	Ensure that Insurances are monitored and increased to protect against loss.	Town Clerk
16		Health and Safety – Risk to visitors and staff	2	2	4 (low)	Arrange regular inspections of site. Ensure that all staff have appropriate training and adhere to health and safety policy. Ensure that users have public liability insurance where necessary. Ensure that appropriate signage/contracts and disclaimers are in situ.	Ensure all training is recorded on staff records. Public liability and insurances regularly checked for all users. Maintain record of any injuries. Ensure that staff are aware of Health and Safety policy/responsibility.	All staff
17		Clock Maintenance	2	1	2 (Low)	Ensure maintenance is carried out as required & contractor has appropriate insurance.	Monitor clock working ok & arrange maintenance as required	Town Clerk
18	Car Parks	Maintenance of surfaces and boundaries/barriers	2	2	4 (low)	Define responsibility and carry out regular inspections. Maintain records on works needed. Ensure any repairs/work undertaken.	Car park inspection maintenance records to be undertaken quarterly.	Caretakers/all Staff

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19		Security and Safety	2	2	4 (low)	Ensure 24 hour surveillance available in car park. Maintain sensor/timed control lighting. Ensure adequate signage available.	Arrange regular monitoring of car parks and ensure CCTV cameras & lights operational.	All staff
20		Cleaning and litter control	2	2	4 (low)	Define standards required. Provide litter bins as deemed appropriate. Define job responsibility for cleaning.	Job definitions in place.	Caretakers
21	Bus Shelters	Vandalism	2	2	4 (low)	Arrange regular inspections of bus shelters. Policy decision to use polycarbonate to replace glass when necessary.	Regular inspection & cleaning undertaken by PHTC staff on behalf of TTC	Amenities officer
22		Maintenance and Cleaning	2	2	4 (low)	Annual repair inspections undertaken. Maintain records of works carried out. All bus shelters redecorated in Nov 2015 and remedial works carried out in Nov 2017.	Regular inspections and cleaning undertaken by PHTC staff on behalf of TTC	Amenities officer
23	Seats/benches	Damaged seats due to vandalism or weathering	2	2	4 (low)	Regular inspections undertaken and replacement/repair budget maintained.	Procedures in place – job description	Amenities officer
24	Telscombe Tye	Inadequate provision of community flock insurance cover	2	2	4 (low)	Appropriate insurance is arranged through NFU. Cover is reviewed and updated in November annually.	Ensure that Insurance reviewed before policy renewal to assess cover needed	Town Clerk
25 26		Inadequate sheep care/loss of sheep /loss of income	2	2	4 (low)	Farmer is managing sheep alongside own flock. Regularly vaccinated and scanned for lambing.	PSPO not agreed by LDC re sheep worrying. Insurance in place	Town Clerk/Amenities officer

No	Categories	Risk	Likelihood	Impact	Risk Factor	Controls and Procedures	Deadlines new control	Responsibility
27		Inadequate management plan	2	3	6 (Medium)	An adopted management plan is a requisite of the HLS agreement with Natural England and therefore could impact on grant received for maintenance of land.	HLS to be used as basis for Management plan	Town Clerk
28		Dog Fouling causing a detrimental effect on land management HLS agreement.	2	2	4 (low)	Ensure that adequate signage in place. Provision of dog waste bins. Arrange for enforcement of use.	Signage in place and dog waste bins	Town Clerk/Amenities Officer
29		Fly-tipping, Hazardous waste	2	2	4 (low)	Regular inspections undertaken by Ranger and ensure that appropriate signage is in place. Use gates to prevent as much vehicular access as possible.	Ensure contractors have appropriate insurance and policies/licenses to dispose of waste.	Town Clerk
30		Inadequate maintenance of fences and gates	2	2	4 (Low)	Inspections by Ranger organised fortnightly and records of work maintained and reviewed.	Gates all numbered. Use volunteer assistance where required.	Town Clerk / Ranger
31		Inadequate maintenance of paths/bridleways	2	2	4 (low)	Define responsibility and ensure maintenance is carried out in accordance with agreed management plan.	Bridleway/footpaths jurisdiction of ESCC.	Town Clerk / Amenities Officer/ ESCC
32		Personal Injury	2	2	4 (low)	Ensure that gates, fences, hedges, properly maintained and inspected to ensure that risks are minimized. Ensure that all notices and warning signs are in situ. Ensure adequate insurance cover in force. Maintain appropriate	Insurance is provided including public liability for the sheep. Regular liaison undertaken with ranger, users and farmers to help ensure safety.	Town Clerk / Amenities Officer

No	Categories	Risk	Likelihood	Impact	Risk Factor	Controls and Procedures	Deadlines new control	Responsibility
						records concerning repairs and maintenance. Ensure contractors available to undertake urgent works when required.		
33	Parks & Playspaces	Personal injury	2	3	6 (medium)	Ensure that regular site inspections are undertaken and full annual inspection. (ROSPA or equivalent) in respect of play equipment. Risk assessments to be undertaken for one off events such as summer fayre and fireworks. Ensure adequate notice provision. Ensure appropriate insurance cover in place.	Weekly inspections undertaken by Lewes DC and reported. Insurance cover in place. Full annual inspection also undertaken.	Amenities Officer / Town Clerk
34		Vandalism	2	2	4 (low)	Take reasonable action to maintain security of sites. Ensure bollards and barriers are in situ and locked.	Procedures in place – job description	Amenities Officer / Town Clerk
35		Inadequate budget provision to ensure maintenance and repair of parks and playspaces	1	2	2 (low)	Equipment inspected and where necessary maintained and replaced. Yearly budget allocation.	Budget for parks and playspaces regularly reviewed	Town Clerk/RFO
36		Failure to maintain trees	1	3	3(low)	Full tree reports undertaken yearly and general maintenance contract in place.	Works carried out in accordance with survey recommendations and general maintenance plan	Amenities Officer / Town Clerk
37	Employment of Staff	Failure to comply with employment law	2	4	4 (low)	Ensure that appropriate contracts are issued to all employees in accordance with SALC/NALC model.	Staff handbook to be used in accordance with contracts and green book	Town Clerk

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						Maintain subscription to SALC for advice when needed.		
38		Loss of key staff	1	2	2(low)	All key functions are documented and recorded. Ensure that succession policy in place and if possible include hand over period.	Continue to review and monitor	Town Clerk
39		Inability to recruit	2	2	4(low)	Relook at advert and job description, can changes be made – is it being publicised effectively. Can job be outsourced or can agency staff be used.	Recruitment policy included in employee handbook	Town Clerk
40		Lack of job satisfaction	2	2	4(low)	Arrange regular appraisals, supported by one-to-ones and team meetings. Ensure training and other support available for personal development.	Ensure that training budget available to meet staffing needs. Include professional development requirements and development aspirations.	Town Clerk
41		Attacks on personnel	2	2	4 (low)	Ensure that working alone is kept to a minimum. Ensure security for building is operational and that lone workers are equipped with contact telephone numbers.	Staff contact details are all circulated and distributed. Ensure CCTV operational & office door security locks operational.	Town Clerk
42	Staff Communication	Lack of boundaries or discretion	2	2	4 (low)	Staff meetings, Equal opportunities policy	Staff handbook/policies in place	Town Clerk
43		Breach of confidentiality	2	2	4 (low)	Supervisory line of command, regular staff meetings undertaken	Staff handbook/policies in place	Town Clerk/ Councillors
44		Information overload/ineffective meetings	2	2	4 (low)	Meetings are planned and for set purposes, action plans are updated	Line managers required to follow up action points and set clear deadlines	Town Clerk/Councillors

No	Categories	Risk	Likelihood	Impact	Risk Factor	Controls and Procedures	Deadlines new control	Responsibility
45	Service Quality & Development	Poor service provided to residents	2	2	4 (low)	regularly Easy, clear complaints procedure. Regular Councillors surgery. Meetings available to public	Undertake residents' feedback survey	All staff & Councillors
46		Statutory services not provided	1	2	2 (low)	Standing orders regularly updated. All staff trained.	Project timetable to ensure all Standing Orders are updated and finance regs are in place	Town Clerk/RFO
47		Poor development of new services	2	2	4 (low)	Review and monitor activities	Evaluate services provided and seek possible new services for users	Town Clerk/staff/ Councillors
48		Public records not kept	1	2	2 (low)	Public documents are all kept and archived in accordance with document retention policy	Update staff re document retention requirements. Review policies regularly	Town Clerk
49		Failure to effectively process documents accordingly	2	2	4 (low)	Define clear procedure for document progression. Ensure all staff trained.	Review policies regularly	Town Clerk / staff
50	Governance Risk Management Risk	Lack of relevant skills among Councillors	1	3	3(low)	Training undertaken. Experienced Councillors act as mentors	Ensure regular training undertaken	Town Clerk/ Councillors
51		Councillors not keeping up to date with legislations	2	2	4 (low)	Councillor training & Councillor briefings	Forward briefing updates from SALC etc	Town Clerk
52		Meetings lack quorum	1	2	2 (low)	Dates of meeting set in advance, notice of next meeting/agenda sent within statutory period		Support staff/ Town Clerk
53		Conflict of interest	2	2	4 (low)	Disclosure of interest made at each meetings, policy of abstaining on such decisions; Register of interest kept		Town Clerk / Amenities Officer

No	Categories	Risk	Likelihood	Impact	Risk Factor	Controls and Procedures	Deadlines new control	Responsibility
54		Disagreement, conflict between Councillors	2	2	4 (low)	High standard of professionalism among the Councillors.	Training and development for Councillors	Town Clerk
55		Conflict between the Clerk and Councillors	2	2	4 (low)	Supervision, annual appraisals, regular meetings with Councillors		Councillors / Town Clerk
56		Lack of information and materials sent not received	1	2	2 (low)	Regular contact with Councillors before meetings. Feedback from Councillors	Email and post information	Support staff/ Amenities Officer/ Town Clerk
57		Personal Injury	1	3	3(low)	Insurance cover in place. Ensure that at public meetings controls are in place to minimise risk to officers/members of public. Ensure that Health and Safety assessment updated regularly		All staff - Town Clerk
58	Financial Risks	Budget Overspend	2	2	4 (low)	Regular budget monitoring, timely & accurate reporting, staff training, Councillors monitor budget spend regularly. Reserves kept.	Audits and reconciliations all undertaken and comply with legislation	Town Clerk/RFO - Councillors
59		Cash flow problems	1	2	2 (low)	Monthly reconciliation of accounts, debt collection procedures, financial procedures, petty cash		Support staff / Town Clerk/RFO
60		Failure to maintain record of Council assets	1	2	2 (low)	Audit requires update of documents annually. Records kept secure	Asset register updated annually	Town Clerk/RFO
61		Inadequate insurance cover	1	2	2 (low)	Insurance checked and reviewed with insurance	Insurance reviews and buildings surveyed to	Town Clerk

No	Categories	Risk	Likelihood	Impact	Risk Factor	Controls and Procedures	Deadlines new control	Responsibility
						company	prevent under insurance	
62		Failure to comply with Inland Revenue	1	2	2 (low)	Payroll outsourced & records kept of income tax, NI etc. Internal and External financial controls		Town Clerk/RFO
63		Fraud	1	2	2(low)	Financial monitoring, financial procedures, staff professionalism Appraisal and supervision		Town Clerk/RFO
64		Failure to set precept within sound budgeting arrangements	1	2	2 (low)	Budget setting undertaken with Chairs of committees in advance of precept setting to ensure budgets are set accordingly for financial year	Need to determine clear agreed objectives.	Town Clerk/RFO - Councillors
65		Failure to keep proper financial records	1	2	2(low)	Standing orders and financial regulations in place. Independent Internal and external audits undertaken. Regular financial reporting.	Continue to undertake quarterly bank reconciliations	Town Clerk/RFO/Cilrs
66		Failure to maintain an effective payment system	1	2	2(low)	Determine responsibility for control of expenditure. All payments supported by invoice/PO. All payments recorded and approved. Signatories approved.		Town Clerk/RFO
67		Cessation of all grant funding from Lewes DC	2	3	6 (medium)	Budgetary control, financial planning, reserves policy,	Long term financial planning to ensure funding difference is manageable by 2020	Town Clerk/RFO & Councillors

No	Categories	Risk	Likelihood	Impact	Risk Factor	Controls and Procedures	Deadlines new control	Responsibility
68		Cash income and expenditure for hire & events are not properly recorded	1	2	2 (low)	Records of cash received for each event are reconciled with payment into Councils bank account.		Support staff / Town Clerk/RFO
69	Investments	Failure to maintain investment register	2	2	4(low)	Investments only done through bank, all transactions are recorded and reported to Council	Investment Policy in place – money to be spread over several organisations	Town Clerk/RFO
70		Inappropriate investment	2	2	4(low)	Investment only undertaken through approved organisations, no speculative investment undertaken.		Town Clerk/RFO - Councillors
71	Employment & Human Rights	Failing to comply with employment regulations	2	2	4 (low)	Update with current legislation, staff handbook	SALC updates	Town Clerk
72		Losing a discrimination case at Employment Tribunal	2	2	4 (low)	Staff handbook, annual appraisal HR Consultants outsourced		Town Clerk – HR outsourced

RISK ASSESSMENT: UNDERTAKEN BY STELLA NEWMAN 25/02/2019 – REVIEWED & AMENDED BY AUDIT SUB-COMMITTEE ON 4.3.19
REVIEWED AND AGREED BY FULL COUNCIL ON 20.3.19

SIGNED OFF BY: *D Brindley* NAME CLLR D BRINDLEY.....
MAYOR - 20.3.19

Likelihood

Highly likely (3)	Low (3)	Medium (6)	High (9)
Possible (2)	Low (2)	Low (4)	Medium (6)
Unlikely (1)	Low (1)	Low (2)	Low (3)
(Likelihood x impact)	Negligible (1)	Moderate (2)	Severe (3)

Impact