

Risk Assessment Strategy¹

Key risk facing the council	Potential consequences should risk occur	Measures taken
Assets: Cemetery assets other than public seats and litter bins		
i) Deterioration of Storage Hut.	The need to make good the deterioration with accompanying cost to the council	Twice yearly inspection to check for deterioration and action taken if necessary
ii) Damage to Storage Hut	The need to make good the damage with accompanying cost to the council	Twice yearly inspection to check for damage and repairs taken if necessary. Insure the building. Annual review of insurance cover Claim against third party if possible Internal Audit assurance
iii) Deterioration of three sets of double gates and one pedestrian gate	The need to make good the deterioration with accompanying cost to the council	Twice yearly inspection of gates to check for deterioration and action taken if necessary
iv) Damage to the gates	The need to make good the deterioration with accompanying cost to the council	Twice yearly inspection of gates to check for damage and repairs undertaken if necessary. Claim against third party if possible
v) Deterioration of two sets of spoil holders	The need to make good the deterioration with accompanying cost to the council	Annual inspection of the equipment and repairs undertaken if necessary
vi) Theft of one or both sets of spoil holders	The need to replace one or both of the spoil holders with accompanying cost to the council	Insurance cover Annual review of insurance cover Internal Audit assurance
vii) Theft of grave mats	The need to replace the grave mats with accompanying cost to the council	Insurance cover Annual review of insurance cover Internal Audit assurance

¹ Latest review and revision 16 April 2018 (Minute 203).

Assets: Communication		
i) Damage to public notice boards	The need to make good the damage with accompanying cost to the council	Insure the Market Place board against all risks Annual review of insurance cover Internal Audit assurance
ii) Deterioration of public notice boards	The need to make good the deterioration with accompanying cost to the council	Annual inspection of each notice board with repairs undertaken if necessary
iii) Damage to interpretation panels	The need to make good the damage with accompanying cost to the council	The council to bear the cost of the repair/replacement should damage take place or, if possible, recover the cost from the third party
iv) Deterioration of interpretation panels	The need to make good the deterioration with accompanying cost to the council	Annual inspection of panels and repairs undertaken if necessary
Assets: Hanging baskets (See Assets Register for listing)		
Potential harm to members of the public should the baskets not be secured properly	Potential claim against the council	Insure council against public liability Ask the contractor to check the baskets to ensure that they are secure each time when they water them
Assets: Litter bins (See Assets Register for listing)		
ii) Deterioration of litter bins	The need to repair or replace the litter bin with accompanying cost to the council	Annual inspection of litter bins and repairs undertaken if necessary
iii) Damage to litter bins	The need to repair or replace the litter bin with accompanying cost to the council	Insurance cover against all risks save Lister Lutyen bins Potential claim against third party Annual review of insurance cover to ensure its adequacy. Internal Audit assurance.

Assets: Commemorative Cross, Smiddy Hill		
i) Potential harm to members of the public	Potential claim against the council	Insure council against public liability Annual inspection by qualified mason/builder to check for deterioration and repair undertaken if necessary
ii) Damage to Commemorative Cross	The need to repair or replace the structure with accompanying cost to the council	Regular inspection by clerk to check for damage Insurance cover against all risks Annual review of insurance cover to ensure its adequacy Internal Audit assurance
Assets: Play area equipment (See Assets Register for listing)		
i) Deterioration of play area equipment	The need to repair or replace the equipment with accompanying cost to the council	Weekly inspection of play area equipment and repairs undertaken if necessary
ii) Damage to play area equipment	The need to repair or replace the damaged equipment with accompanying cost to the council	Potential claim against third party
Assets: Play area – fencing and gates		
i) Deterioration of fencing and gates	The need to repair or replace the fencing and gates with accompanying cost to the council	Weekly inspection of fencing and gates and repairs, including repainting or replacement undertaken if necessary
ii) Damage to fencing and gates	The need to repair or replace the damaged equipment with accompanying cost to the council	Weekly inspection of fencing and gates and repairs including repainting or replacement undertaken if necessary Potential claim against third party

Assets: Office equipment (See Assets Register for listing)		
i) Theft of any/all equipment	The need to replace the stolen equipment with accompanying cost to the council	The equipment is kept in a locked room in a building whose entrances are covered by CCTV Insurance of equipment against theft save for those items whose value is less than the insurance premium Annual review of insurance cover to ensure its adequacy Internal Audit assurance.
ii) Damage to any/all equipment	The need to repair or replace the damaged equipment with accompanying cost to the council	Insurance cover save for those items whose value is less than the insurance premium– all risks Annual inspection by electrical engineer Annual review of insurance cover to ensure its adequacy Internal Audit assurance
Assets: Office furniture (See Assets Register for listing)		
i) Theft of any/all office furniture	The need to replace the stolen furniture with accompanying cost to the council	The furniture is kept in a locked room in a building whose entrances are covered by CCTV Insurance of equipment against theft Annual review of insurance cover to ensure its adequacy Internal Audit assurance.
ii) Damage to any/all furniture	The need to repair or replace the damaged equipment with accompanying cost to the council	Insurance cover – all risks Annual review of insurance cover to ensure its adequacy Internal Audit assurance

Assets: Civic regalia, mayoral chair, gavel		
i) Theft of any or all of these items	The need to replace the other property with accompanying cost to the council	The mayoral chair and the gavel are kept in a locked room in a building whose entrances are covered by CCTV. Insurance of civic regalia against theft because these items are kept in the homes of civic office holders. Annual review of insurance cover to ensure its adequacy Internal Audit assurance.
ii) Damage to any/all other property	The need to repair or replace the damaged property with accompanying cost to the council	Insurance cover – all risks – save for the mayoral chair and gavel Annual review of insurance cover to ensure its adequacy Internal Audit assurance
Assets: Public seats		
i) Theft of public seat.	The need to replace the seat with accompanying cost to the council	Seats are anchored to make it more difficult to remove them. Insurance of seats against theft. Annual review of insurance cover to ensure its adequacy Internal Audit assurance
ii) Deterioration of public seats	The need to repair or replace public seats with accompanying cost to the council	Annual inspection of seats and repairs, including repainting, effected where necessary
iii) Damage to public seats	The need to repair or replace public seats with accompanying cost to the council	Insurance cover - theft and all other risks Annual review of insurance cover to ensure its adequacy. Potential claim against third party Internal Audit assurance

iv) Accident to members of the public arising from the work of the council's contractors.	Potential claim against the council	Ensure that contractors fully understand the health and safety regulations that govern their activities and in working on a council asset do nothing to put members of the public at risk Ensure that contractors have sufficient liability cover. Insure the council against public liability
Assets: Street lighting (See listing in Assets folder for location)		
i) Potential damage to vehicles and harm to members of the public from cracked columns, loose bowls, rusty bracket connections, deterioration of columns and brackets etc	Potential claim against the council	Annual inspection of columns and units by Street Lighting Maintenance contractor and repairs or replacement undertaken if necessary Public liability insurance Internal Audit assurance
ii) Third party damage to column or bracket	The need to replace or repair the column or bracket with accompanying cost to the council	Action taken against the party or parties responsible to recover costs of replacement or repair
Safety in the Cemetery		
i) Member of the public injures himself through falling on the path	Potential claim against the council	Check paths every three months to ensure that members of the public can use them in safety. Insure council against public liability
ii) Member of the public injures himself through unevenness of ground	Potential claim against the council	Check ground every three months to identify depressions in grounds and level up as soon as possible. Insure council against public liability
iii) Member of the public injures himself because of unstable grave furniture.	Potential claim against the council	Inform purchasers of exclusive rights of burial of their obligation to ensure the stability of grave furniture and their liability in law. Town Council to undertake an assessment of grave furniture every five years. Insure council against public liability

iv) Member of the public injures himself because of an obstacle concealed in the grass	Potential claim against the council	Ensure sufficient and evenly spaced number of cuts through the growing season and instruct contractor to remove any obstacles found in the cutting area. Insure council against public liability
v) Accident to Grounds Maintenance Contractor or Grave digger.		Ensure that both contractors fully understand the health and safety regulations that govern their activities.
vi) Accident to members of the public arising from the work of the council's contractors.	Potential claim against the council	Ensure that contractors fully understand the health and safety regulations that govern their activities and in working on a council asset do nothing to put members of the public at risk Ensure that contractors have sufficient liability cover. Insure the council against public liability
Safety in the Closed Churchyard		
i) Member of the public injures himself through falling or tripping on the path or steps	Potential claim against the council	Check paths and steps every six months to ensure that the flags are laid flat and are stable Contract with Ryedale District Council to spread salt at appropriate times Annual inspection of lights for which the council is responsible by Street Lighting Contractor Insure council for public liability
ii) Member of the public loses his or her balance because a rail is loose	Potential claim against the council	Check rails every six months Insure council for public liability
iii) Damage to property through overhanging branches, ivy infestation	Potential claim against the council	Biennial inspection of trees by arboriculturist and action on his recommendations Three monthly check for ivy infestation Insure council for public liability

iv) Member of the public injures himself through unevenness of ground	Potential claim against the council	Check ground every six months to identify depressions in grounds and level up as soon as possible. Annual inspection of lights for which the council is responsible by Street Lighting Contractor Insure council against public liability
v) Member of the public injures himself because of unstable grave furniture.	Potential claim against the council	Council to undertake an assessment of grave furniture every five years Insure council against public liability
vi) Member of the public injures himself because of an obstacle concealed in the grass	Potential claim against the council	Ensure sufficient and evenly spaced number of cuts through the growing season and instruct contractor to remove any obstacles found in the cutting area. Public liability cover
vi) Accident to Grounds Maintenance Contractor		Ensure that the contractor fully understand the health and safety regulations that govern his activity.
vii) Accident to members of the public arising from the work of the council's contractors.	Potential claim against the council	Ensure that contractors fully understand the health and safety regulations that govern their activities. Ensure that contractors have sufficient liability cover. Insure the council against public liability

Safety in Open Spaces: Riverside Walk		
i) Member of the public injures himself through falling on the footpath	Potential claim against the council	Check path twice yearly to ensure that members of the public can use it in safety. Annual inspection of lights for which the council is responsible by Street Lighting Contractor. Insure council against public liability.
ii) Member of the public injures himself through loose railings	Potential claim against the council	Check railings twice yearly. Insure council against public liability.
iii) Member of the public injures himself through loose coping and or flagstone/s.	Potential claim against the council	Check coping/flagstones twice yearly. Annual inspection of lights for which the council is responsible by Street Lighting Contractor. Insure council against public liability.
Safety in Open Spaces: Smiddy Hill		
i) Member of the public injures himself through falling on the steps and footpath	Potential claim against the council	Check steps and footpath every twice yearly to ensure that members of the public can use it in safety. Insure council against public liability
Safety in the Play Areas		
i) Young person suffers injury through damaged or poorly maintained equipment	Potential claim against the council	i) Weekly visual inspection of all equipment by clerk or authorised other. ii) Annual inspection by an approved inspectorate. Insure council against public liability
ii) Young person/adult suffers injury through broken glass or other item of potentially harmful litter	Potential claim against the council	i) Weekly visual inspection of all equipment by clerk or authorised another. ii) Insure council against public liability

Council trees (See biennial inspection for types and locations)	Potential consequences should risk occur	Risk management
Damage to vehicles/property, harm to members of the public	Potential claim against the council	Biennial inspection of all trees by arboriculturist together with more frequent monitoring should it be recommended by the arboriculturist Programme of work following recommendations of arboriculturist Public liability cover
Data (Personal)		
i) Personal information becomes public	Non-compliance with General Data Protection Regulation 2015 and the Data Protection Act, liability of fine from ICO.	Adherence to policies relevant to the regulation and the act.
Data (Financial)		
See The Council's finances (v) below		
Data (Other)		
i) Loss of data (electronically stored) ii) Loss of data (hard copy)	Discontinuity in the administration of the council. Potential damage to the council's reputation. Discontinuity in the administration of the council. Potential damage to the council's reputation.	Computers password protected and hard drive encrypted. Daily, scheduled back up of the hard drive. Hard copy filed correctly in appropriate locked cabinets Files in use returned to appropriate cabinet/s
The Council's finances		
i) Financial prudence and probity (excluding points covered in Fraudulent activity and Money below) compromised	Damage to the council's reputation Potential undermining of local democracy Financial loss	Ensuring the adequacy of annual precept within sound budgetary arrangements. Regular budgetary monitoring statements. Regular scrutiny of financial records and proper arrangements for the approval of payments. Recording in the minutes the precise powers under which payments are being approved. Regular and accurate returns to HMRC re income tax, NI and Vat. Internal Audit assurance.

		Annual review of the systems of internal control and internal audit.
ii) Fraudulent activity	Financial loss Damage to the council's reputation Potential undermining of local democracy	<p>Password control of the council's computers and hard drive encrypted.</p> <p>Financial Regulations to be followed, more particularly 5, 6, 7 and 9 to be followed re authorization and making of payments (including salaries) and dealing with income;</p> <p>Councillors Audit to check invoices against relevant cheque stubs and the entries in current account statement and cash book for accuracy re payments.</p> <p>Councillors Audit to check invoices each month issued by the clerk for cemetery fees against the Schedule of Fees for accuracy.</p> <p>Councillors Audit to check that Vat to be recovered from HMRC tallies with the sum of all Vat payments made since the last claim was made.</p> <p>Councillors Audit to check petty cash payments each month and agree balance with petty cash book.</p> <p>Councillors Audit to check that salary payments agree with the scales approved by the council.</p> <p>Councillors Audit to check transfers between bank accounts and that they are justified.</p> <p>Councillors Audit to check that the interest earned on the council's bank balances has been entered in receipts (Cash Book).</p> <p>Keep records in accordance with statutory requirements, proper practices and financial regulations.</p> <p>Regular and accurate returns to HMRC re income tax, NI and Vat.</p>

		Insurance cover – Fidelity Guarantee: “50% of the precept plus any other balances” YLCA White Rose Update 5/02. Internal Audit assurance.
iii) Inaccuracy of records	Financial loss Damage to the council’s reputation Potential undermining of local democracy Disruption to administrative routine	Financial Regulations 5,6 7 and 9 to be followed. Councillors Audit to check invoices each month issued by the clerk for cemetery fees against the Schedule of Fees for accuracy. Councillors Audit to check that Vat to be recovered from HMRC tallies with the sum of all Vat payments made since the last claim was made. Councillors Audit to check petty cash each month. Councillors Audit to check that salary payments agree with the scales approved by the council. Councillors Audit to check that the interest earned on the council’s bank balances has been entered in receipts (Cash Book).
iv) Money missing/unaccounted for	Losses excluded under fraudulent activity above Damage to the council’s reputation Potential undermining of local democracy	Cash (Petty Cash) and cheques (if awaiting presentation) kept in safe in locked office in premises to which entry is covered by CCTV. Cheques and other non-negotiable money banked usually on day of arrival and never more within two days of receipt. Keep proper records in accordance with statutory requirements and follow financial regulations. Insurance cover Annual review of insurance cover to ensure its adequacy. Internal Audit assurance
v) Loss of financial data	Discontinuity in the financial administration of the	Password control of council’s computers and

	council. Potential damage to the council's reputation.	hard drive encryption Daily, scheduled back up of the hard drive. Transfer of all financial data to a memory stick each Friday (and then removed from the office over the weekend). Monthly transfer of payroll data to memory stick (removed from the office over each weekend).
Councillors and employees		
i) Probity of councillors	Potential damage to council and councillors' reputations	Remind councillors at each meeting of the need to consider each agenda item and decide whether to declare an interest. Remind councillors at each meeting that they need to review their entry in the Statutory Register of Members' Financial and Other Interests and to provide the Monitoring Officer within 28 days of receiving any gift or hospitality over the value of £25.00 of the nature of that gift or hospitality.
ii) Negligence, accidental error or omission	Potential claim against the council	Insurance cover – Employers liability and Officials Indemnity and public liability Internal Audit assurance
iii) Libel and slander (councillors and clerk only)	Potential claim against the council/councillors/clerk	Insurance cover and Internal Audit assurance
iv) Accident to councillors, council staff and council volunteers		Personal accident insurance cover reviewed annually Internal Audit assurance