



LCRS 5. Risks report Computing

Neston Town Council

Assessment for year 2022 To 2023

Your Duty = **Power to facilitate discharge of any function**

Requirement = **Maintain adequate security of site and equipment**

Aim =

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

Ref	Risk	Hazard	Control	Review timing	Likelihood of occurrence	Impact on Council	Risk Value	Your action required (> 3)
0	Physical	Loss arising from theft/misappropriation	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	Annually	Low	Medium	2	
0	Physical	Loss/damage arising from unauthorised use.	Restrict access through use of controlled passwords. Programme periodic password change. Maintain physical security of computer and site.	Annually	Low	Medium	2	
365	Technical	Crash of IT System	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.	Monthly	Low	High	3	

Completed by:

Date:

Position:

No of risks scored

3

Average score:

2.3



LCRS 5. Risks report Employment of Staff

Neston Town Council

Assessment for year 2022 To 2023

Your Duty = **Duty to Appoint**

Requirement = **To ensure that the council fulfills it's responsibilities.**

Aim =

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

Ref	Risk	Hazard	Control	Review timing	Likelihood of occurrence	Impact on Council	Risk Value	Your action required (> 3)
364	Administration/ Legal	Failure to comply with Employment Law	Issue contracts of employment to all employees Arrange annual review of Staff Contracts of Employment Awareness of new legislation. Arrange the necessary training to fulfil requirements	Annually	Low	Medium	2	
361	Professional	Inability to recruit	Review recruitment policy.	As and when	Low	High	3	
363	Professional	Lack of Employee motivation/efficiency	Ensure that each employee has job description. Arrange regular staff appraisals. Maintain appropriate staff records. Defined training policy in operation.	Annually	Low	Medium	2	
362	Professional	Lack of Training	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 area. Maintain appropriate training records.	Annually	Low	Medium	2	
358	Professional	Loss of key staff	Ensure procedures for key functions are documented.	Quarterly	Low	Medium	2	
38	Professional	Inability to retain staff	Regular Staff Appraisals Complete exit questionnaire.	Annually	Low	High	3	
352	Professional	Attacks on Personnel	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 refuse admittance to the Council Offices to people unknown to them until such time as Members of the Council are in attendance.	Monthly	Low	Medium	2	



LCRS 5. Risks report Employment of Staff

Neston Town Council
Assessment for year 2022 To 2023

Your Duty = **Duty to Appoint**

Requirement = **To protect staff.**

Aim =

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

Ref	Risk	Hazard	Control	Review timing	Likelihood of occurrence	Impact on Council	Risk Value	Your action required (> 3)
Completed by:			Date:	Position:	No of risks scored	7	Average score:	2.3



LCRS 5. Risks report Financial Management

Neston Town Council

Assessment for year 2022 To 2023

Your Duty = **Duty to ensure responsibility for financial affairs**

Requirement = **Efficient financial administration**

Aim = **None**

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

Ref	Risk	Hazard	Control	Review timing	Likelihood of occurrence	Impact on Council	Risk Value	Your action required (> 3)
302	Administration/ Legal	Failure to comply with Inland Revenue Regulations	Maintenance of comprehensive records of all calculations of income tax, national insurance deducted from pay Regular returns to Inland Revenue; prepared by the Clerk; checked by the Assistant Clerk Arrange prompt payment of all sums due.	Quarterly	Low	High	3	
0	Administration/ Legal	Incurring expenditure without proper legal authority	Record in minutes powers under which expenditure is being approved.	Annually	Low	High	3	
0	Administration/ Legal	Failure to maintain record of council assets.	Define responsibility for maintenance of asset register. Ensure that all acquisitions/disposals are accurately and promptly recorded. Carry out periodical inventory checks.	Annually	Low	Medium	2	
303	Administration/ Legal	Failure to comply with Customs & Excise Regulations	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 a regular basis. Reconcile claims to cashbook.	Quarterly	Low	Medium	2	
347	Financial	Poor Financial Management	Determine responsibility for the management of the financial affairs of the council. Maintain and review Standing Orders/Financial regulations. Maintain an effective budgetary control/financial reporting system. Maintain an effective internal audit.	Annually	Low	High	3	



LCRS 5. Risks report Financial Management

Neston Town Council

Assessment for year 2022 To 2023

Your Duty = **Duty to ensure responsibility for financial affairs**

Requirement = **None**

Aim =

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

Ref	Risk	Hazard	Control	Review timing	Likelihood of occurrence	Impact on Council	Risk Value	Your action required (> 3)
41	Financial	Failure to keep proper financial records	Define responsibility through appointment of Proper Financial Officer Ensure appropriate standing orders and financial regulations in place that are subject to periodic review. Implement effective independent internal audit. Introduce periodical checks by Chairman/other appointed members. Arrange for regular financial reports to committee/council	Monthly	Low	High	3	
306	Financial	Loss of money through theft/misappropriation.	Determine responsibility for cash at all sources. Ensure that receipts are issued for all income. Ensure that secure arrangements are in place for all monies held pending banking. Ensure that proper arrangements are in place for prompt recording and banking of all cash received. Ensure regular bank reconciliation Arrange regular report to council. Ensure that council holds adequate fidelity guarantee insurance.	Monthly	Low	Medium	2	
360	Financial	Failure to set a precept within sound budgeting arrangements	Determine responsibility of clerk/committee/council. Ensure that presentation to committee/council follows an agreed timetable. Ensure that precept is set as a result of a full report detailing requirements for forthcoming year for all heads of income and expenditure. Review all charges made by the council. Review adequacy of all balances and reserves. Ensure that effective budget monitoring is in place throughout the year.	Monthly	Low	High	3	



LCRS 5. Risks report Financial Management

Neston Town Council

Assessment for year 2022 To 2023

Your Duty = **Duty to ensure responsibility for financial affairs**

Requirement = **To ensure that effective financial controls & procedures are in**

Aim =

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

Ref	Risk	Hazard	Control	Review timing	Likelihood of occurrence	Impact on Council	Risk Value	Your action required (> 3)
0	Financial	Supplier/Procurement Fraud	Training for staff to spot potential risks of providing sensitive info Have a rigorous change of supplier details procedure Periodic review of supplier accounts to remove old ones Checking address & financial health details with Companies House	Monthly	Low	High	3	
305	Financial	Risk to third party as a consequence of providing a service	Ensure that appropriate insurance cover/policy is in force.	Annually	Low	High	3	
0	Financial	Failure to maintain an effective payments system.	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 cashbook. All payments to be approved by council and recorded in minutes. All cheques to be signed by at least two authorized members. Signatories to endorse cheque counterfoils and check payments against invoices/payment vouchers. All expenditure to be the subject of sound budgetary control.	Monthly	Low	High	3	

Completed by:

Date:

Position:

No of risks scored

11

Average score:

2.7



LCRS 5. Risks report Gifts

Neston Town Council

Assessment for year 2022 To 2023

Your Duty = **Power to accept**

Requirement = **To protect interest of council and members**

Aim =

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

Ref	Risk	Hazard	Control	Review timing	Likelihood of occurrence	Impact on Council	Risk Value	Your action required (> 3)
453	Administration/ Legal	Failure to notify/record gifts	Ensure that all staff/members are aware of responsibilities. Maintain gift register.	Annually	Low	Medium	2	

Completed by:

Date:

Position:

No of risks scored

1

Average score:

2.0



LCRS 5. Risks report Investments

Neston Town Council

Assessment for year 2022 To 2023

Your Duty = **Power to participate in schemes of collective investment**

Requirement = **To maintain proper records.**

Aim =

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

Ref	Risk	Hazard	Control	Review timing	Likelihood of occurrence	Impact on Council	Risk Value	Your action required (> 3)
200	Administration/ Legal	Maintenance of Investment Register	Determine responsibility for maintenance of investment register.	Annually	Low	Medium	2	
198	Financial	Inappropriate investment	Maintain effective internal audit. Define policy and responsibility for investment of council funds. Record details/approval of all investments in council minutes. Ensure regular report to council	Annually	Low	Medium	2	
377	Financial	Financial Loss i.e. theft	Determine policy/responsibility for investment. Ensure that investment/transfer/withdrawal of funds subject to council approval. Ensure that all transactions are subject to counter signatures of clerk/authorised council members. Arrange for regular financial/monitoring report to council.	Annually	Low	High	3	
199	Financial	Failure to review interest rates etc.	Determine policy and responsibility for investment of council funds. Carry out regular review to ensure maximum return is achieved. Maintain effective internal audit.	Annually	Low	Medium	2	

Completed by:

Date:

Position:

No of risks scored

4

Average score:

2.3



LCRS 5. Risks report

Provision of Office Accommodation

Neston Town Council

Assessment for year 2022 To 2023

Your Duty = **Power to provide**

Requirement = **To ensure proper financial provision.**

Aim =

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

Ref	Risk	Hazard	Control	Review timing	Likelihood of occurrence	Impact on Council	Risk Value	Your action required (> 3)
0	Financial	Inadequate budget provision	Ensure requirements included in annual budget process	Annually	Low	Medium	2	
0	Physical	Fire	Ensure Health/Safety testing complete. Ensure appropriate staff training Provide for strict security/control of combustible materials held by council. Provide appropriate extinguishers etc. Ensure appropriate signage in place. Ensure appropriate regulations/controls in hire documentation.	Annually	Low	High	3	
350	Physical	Poor/Faulty Office Furniture	Arrange periodical inspection of office furniture and fittings. Where appropriate submit report to council/committee for approval to repair/replace.	Monthly	Low	Medium	2	
349	Physical	Poor Office Conditions	Arrange periodical inspection of office. Report any adverse conditions to council/committee/landlord as appropriate Arrange repair/maintenance etc. in accordance with tenancy agreement.	Quarterly	Low	Medium	2	
357	Technical	Defective Electrical Equipment/Machinery	Ensure maintenance agreement/contract in place where appropriate. Allocate responsibility for local repair/maintenance. Restrict access to qualified personnel only. Arrange regular inspection to ensure that any statutory obligations are met. Maintain appropriate records.	Monthly	Low	High	3	

Completed by:

Date:

Position:

No of risks scored

5

Average score:

2.4



LCRS 5. Risks report

Provision of Website/Internet Access

Neston Town Council

Assessment for year 2022 To 2023

Your Duty = Power to provide from 'free resource'

Requirement = To ensure proper financial provision

Aim =

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

Ref	Risk	Impact	Control	Review timing	Likelihood of occurrence	Impact on Council	Risk Value	Your action required (> 3)
0	Financial	Inadequate budget provision	Ensure service requirement included in annual budgetary process	Annually	Low	Medium	2	
348	Technical	Failure of Website/Internet Providers	Ensure a backup copy of data is maintained. Liaise with provider to ensure early reinstatement of service.	Weekly	Low	High	3	

Completed by:

Date:

Position:

No of risks scored

2

Average score:

2.5



LCRS 5. Risks report Web Sites

Neston Town Council

Assessment for year 2022 To 2023

Your Duty =

Requirement = **To ensure that the site activity is not restricted to one person.**

Aim =

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

Ref	Risk	Hazard	Control	Review timing	Likelihood of occurrence	Impact on Council	Risk Value	Your action required (> 3)
0	Administration/ Legal	Dependence upon an individual	Ensure that a minimum of two people have the necessary ability to undertake all website activity and are up to date with current site status. Provide training where necessary to minimise risk.	Annually	Low	Medium	2	
0	Administration/ Legal	Non conformance with the Data Protection Act	Where posting information to web site, 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; 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	High	3	
0	Administration/ Legal	Ownership and Control of Universal Resource Locator (URL)	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, user name and password to manage the web address.	Annually	Low	High	3	
0	Administration/ Legal	The placing of information on site that may put people at risk.	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	High	3	
0	Administration/ Legal	Confusion arising from links to external websites	Ensure that adequate control is in place and that website makes clear council privacy policy that it is not responsible for the privacy practices or the content of external Web sites.	Annually	Low	Medium	2	
0	Administration/ Legal	Compromise of copyright by inclusion of website links or frames.	If website contains links to other sites ensure permission of destination website is prerequisite.	Annually	Low	High	3	



LCRS 5. Risks report Web Sites

Neston Town Council

Assessment for year 2022 To 2023

Your Duty =

Requirement = **To maintain adequate statistics**

Aim =

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

Ref	Risk	Hazard	Control	Review timing	Likelihood of occurrence	Impact on Council	Risk Value	Your action required (> 3)
0	Administration/ Legal	Lack of visibility of visitor numbers.	Ensure that a website 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 review process.	Annually	Low	Medium	2	
0	Administration/ Legal	Availability of Software tools to build and manage site	Ensure that the council controls ownership of the necessary software including web-site editor, FTP(File Transfer Tool), anti virus software, image management software and a word processor.	As and when	Low	Medium	2	
0	Administration/ Legal	Lack of motivation for continued management of website.	Recognise risks associated with poor site maintenance and development - lack of users - lack of feedback - user dissatisfaction - waste of resources. Ensure that proper recognition is given to site manager. Arrange for regular review of site content, and development . Consider setting up a small committee of interested members to support ongoing development of website.	Quarterly	Low	Medium	2	
457	Administration/ Legal	Content	Ensure that all content is specifically approved by council.		Low	High	3	
0	Administration/ Legal	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	Low	High	3	
0	Administration/ Legal	Loss of Data/ Inability to access backup	Ensure that a back-up copy of web content is held by the clerk and is updated on a monthly or other agreed timescale. Where web-site is subject to outside management carry out monthly review.	Monthly	Low	High	3	



LCRS 5. Risks report Web Sites

Neston Town Council
Assessment for year 2022 To 2023

Your Duty =

Requirement = **To ensure that the council is protected from charges of**

Aim =

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

Ref	Risk	Hazard	Control	Review timing	Likelihood of occurrence	Impact on Council	Risk Value	Your action required (> 3)
0	Administration/ Legal	Risk arising from use of unlicensed software	The council must ensure that only properly licensed software is used and must maintain records of all software used to build and manage the site. This is particularly important where the site is built or managed on behalf of the council.	Annually	Low	High	3	
464	Administration/ Legal	Insurance	Ensure that appropriate insurance cover is held by council.		Low	High	3	
0	Technical	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	Low	Medium	2	
0	Technical	Failure to meet needs/expectations of visitors to site.	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 web site, with third parties where appropriate and initiate agreed changes/improvements where necessary. Maintain dialogue with site visitors where appropriate.	Annually	Low	Medium	2	
0	Technical	Risk arising from poor design / appearance of web site	Ensure that design is undertaken by suitably qualified and experienced operators. Get details of and view previously developed sites. Set standards for site design and ensure that council is provided with full details prior to implementation.	As and when	Low	Medium	2	
0	Technical	Inadequate control of web site	Ensure in all circumstances where third party is involved in design and control of web site that a written formal agreement is in place that details financial and other responsibilities between the council and third party(s). Issue a set of written guidelines controlling site content.	Annually	Low	High	3	

Completed by:

Date:

Position:

No of risks scored

18

Average score:

2.6