 **SADDLEWORTH**

Parish Council

**SADDLEWORTH PARISH COUNCIL RISK MANAGEMENT ASSESSMENT**

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| **AREA** | **RISK IDENTIFIED** | **LIKELIHOOD** | **CONTROLS** | **RESPONSIBILITY** |
| Assets | Protection of physical assets | Low | Civic Hall building insured appropriately.  Building valuation reviewed on a 5 yearly basis or following major capital work and reported to Council | Clerk |
| Assets | Protection of physical assets | Low | Other Council assets including:  Cemetery  Dawson’s Field  Land opposite the Three Crowns, Scouthead  Allotments at Kenworthy Gardens  are appropriately insured for community use | Clerk |
| Assets | Security of building and equipment | Low | Externally monitored intruder and fire alarm systems installed at the Civic Hall, inspected on a 6 monthly basis. 24 hour CCTV with recording facility installed inside and outside the Civic Hall. | Clerk |
| Assets | Maintenance of the Civic Hall | Medium | Weekly general maintenance inspections including fire alarm testing. 6 monthly safety inspections and servicing of lift, boiler, kitchen gas appliances, dumb waiter and flying bar. Annual testing of portable appliances (PAT). All fixed electrical installations and electrical repairs carried out by a qualified electrician. | Clerk |
| Finance | Banking | Medium | Receipts and Payments by BACS transfer and credit / debit cards is the preferred and usual choice. Any income is banked on a weekly basis via the Post Office. Cash receipts are regular but amounts are not high in value. | Clerk/RFO |
| Finance | Risk of consequential loss of income | Low | The Council has insurance for loss of income in transit. Risk of the precept not being paid by the principal authority is minimal. | Clerk |
| Finance | Financial controls and records | Medium | Net expenditure is reconciled with the estimates on a monthly basis. All payments (BACS, cheques, cash) require 2 signatures. Monthly income and expenditure schedules are approved by Council on a monthly basis. The bank reconciliation is prepared on a monthly basis and countersigned. The Council has appointed internal auditors and external auditors are appointed by the Public Sector Audit Appointments. | Clerk/RFO |
| Finance | Loss of cash through theft or dishonesty of members or employees | Medium | The Council has fidelity loss insurance of £500k. All cash is fully receipted. Petty cash is handled by the Clerk/RFO and is backed by relevant receipts. | Clerk/RFO |
| Finance | Compliance with HMRC regulations | Medium | VAT claims are prepared and submitted on at least a 6 monthly basis and are reviewed by the internal auditor. PAYE calculated via HMRC online toolkit. | Clerk/RFO |
| Finance | Sound budgeting to underlie the annual precept | Low | The Council receives a detailed analysis of the estimated income and expenditure for the forthcoming year and details of the estimated outturn for the current year at its January meeting.  Budget are monitored on a monthly basis and any changes in the year are approved by Council | Clerk / RFO/ Members |
| Liability | Risk to third parties, property and individuals | Medium | The Council’s insurance policy provides appropriate public liability cover for risks to third parties, property and private individuals. Risks mitigated by regular inspections. | Clerk |
| Employer liability | Compliance with employment law | Medium | The Council is a member of various national and regional bodies that provide advice on employment matters. Advice and training is available from the principal authority. | Clerk / Members |

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| **AREA** | **RISK IDENTIFIED** | **LIKELIHOOD** | | **CONTROLS** | | **RESPONSIBILITY** |
| Employer liability | Safety of staff and visitors | Medium | | The office door is locked at all times and is only accessed by staff. Lone working, doors to the Hall to be kept locked – a ring door bill/video entry system to be in place. A panic button which links directly to the police is located in the office and in the main foyer. Internal CCTV monitors all rooms within the building. Fire alarms are tested on a weekly basis. Fire exits are clearly marked including the disabled access ramp from the first floor. Fire extinguishers are inspected and serviced annually. Signage is placed in prominent locations when cleaning is in progress and/or work is being carried out. CCTV cameras monitor the car park and the outside perimeter of the Civic Hall. | | Clerk |
| Employer liability | Compliance with HMRC regulations | Medium | | Regular information updates are received from HMRC. Monies due to HMRC are paid on a monthly basis. The payroll is reviewed by the internal auditor. | | Clerk/RFO |
| Legal liability | Ensuring activities are within legal powers | | High | | The Council is informed of any legal implications arising from any new legislation through updates from HMRC, the Greater Manchester Pension Fund, its membership of various regional and national bodies and by its principal authority. These bodies also provide advice on legal issues as and when required. | Clerk/RFO |
| Legal liability | Proper and timely reporting via the minutes of meetings | | Medium | | The Council, which meets on a monthly basis, receives and notes the minutes of all committee meetings held within the month and receives and approves the minutes of the previous meeting.  All minutes are published on the Council’s website. Statutory notices of meetings are displayed at the Civic Hall and monthly meetings schedules are placed in the Council’s noticeboards throughout the parish. | Clerk / Members |
| **AREA** | **RISK IDENTIFIED** | | **LIKELIHOOD** | | **CONTROLS** | **RESPONSIBILITY** |
| Legal liability | Proper document control | | Medium | | Original deeds for the Civic Hall, Cemetery, land opposite the Three Crowns at Scouthead and the allotment land at Kenworthy Gardens, Uppermill are stored in fireproof cabinets within the Civic Hall.  All other documents are stored in fireproof cabinets within the Civic Hall and retained for 6 years.  Electronic documents are held on the Council’s file server and backed up on a weekly basis to offsite storage. All confidential or restricted access documents are password protected. | Clerk/RFO |
| Councillors’ Propriety | Register of interests, gifts and hospitality in place | | Medium | | On taking office, all Councillors sign up to the Code of Conduct which has been adopted from the principal authority. Councillors complete a register of interests form, a copy of which is retained by the principal authority. A hospitality register is maintained. | Members / Clerk |
| Business continuity | Access to electronic data | | Medium | | File sharing protocols are in place to ensure that staff can access appropriate data. Confidential or restricted documents are password protected. Anti- virus software is installed and data is backed up off site. | Clerk / RFO/ IT Support |