

SADDLEWORTH PARISH COUNCIL RISK MANAGEMENT ASSESSMENT

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	Income is banked on a daily basis via the Post Office except at weekends when it is held in the safe and banked on the next working day following receipt. Cash receipts are regular but amounts are not high in value. Receipts by BACS transfer and credit / debit cards are increasing.	Clerk
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 cheque payments 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. The Council has appointed internal auditors and external auditors are appointed by the Public Sector Audit Appointments (formerly Audit Commission).	Clerk
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
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
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 / 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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Employer liability	Safety of staff and visitors	Medium	The office door is locked at all times and is only accessed by staff. Staff deal with visitors at the reception desk which is accessed directly from the office. 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
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
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 and agendas 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

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Legal liability	Proper document control	Medium	<p>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.</p> <p>All other documents are stored in fireproof cabinets within the Civic Hall and retained for 6 years.</p> <p>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.</p>	Clerk
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 / IT Support