

Uttoxeter Town Council Risk Assessment

Item	Details	Monitored (Yes/No)	Action
1	Assets		
	Insurance Cover for the Council	Buildings Brewery Clock Contents Fidelity Markets Theft Personal Injury Public Liability Slander/Label	Y Recommended only deal with Municipal Insurers and updated as necessary
	External Assets	32 Carter Street 34-36 Carter Street 19A High Street Bus shelters Cemetery Cemetery Chapels Charles Orme Token Collection Christmas Lights Coat of Arms including Heraldic Shield Floral features including trees Jubilee Bench Kiosk Market Stalls & Trailer Memorial Benches Millennium Monument St. Mary's Closed Churchyard Wall Street Furniture including Benches (inc. Stone) Street Lighting Telephone Box War Memorial Sub Contractors Additional Equipment	Y Recommended only deal with Municipal Insurers and updated as necessary
	Office security	Sensitive computer data is password protected. Deadlocks fitted on external doors Files Backed up on regular basis Back up removed to remote site Adequate Alarm System in place	Y Maintained regularly
	Regular Maintenance/ inspections	Annual Risk Assessments completed Inspection log maintained Adequate legislative safety checks	Y For Council properties only Inspection log helps defend against claims
	Asset Register	Maintained and accurate	Y Updated as necessary
	Mayoral Chain	Adequately Insured and maintained	Y Updated as necessary
	Consort's Medallion	Adequately Insured and maintained	Y Updated as necessary
	Deputy Mayor's Chain of Office	Adequately Insured and maintained	Y Updated as necessary
	Town Crier Regalia	Adequately Insured and maintained	Y Updated as necessary

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2 Finance				
	Cash Loss	Procedures to ensure safety of cash transfer (if applicable)	Y	Limit cash handling as far as possible. Do not have a routine for banking cash
	Handling VAT	Make accurate and regular reclaims Ensure correct values applied	Y	Obtain copy of VAT leaflet 749
	Budgeting (precepts)	Maintain accurate accounts to control budgets Annual precept based on adequate budgetary process Appropriate Reserves/contingencies to be incorporated within the precept	Y	Start process in September to enable determination of Precept. Clerk and RFO to produce budget estimate and Council shall approve Estimates at its meeting before the end of November, in accordance with S.O. 20a/b.
	Grant funding	Established system in place for quarterly monitoring/allocation of written grant applications	Y	Administration of grant allocation reviewed annually
	Conforming to legislation	Commitment to regulations/procedures Items purchased with proper tendering procedures Payments made with approval/control	Y	Seeking appropriate advice and accepting it where necessary. Advise Council accordingly of advice sought
	Banking arrangements	Control of signatories Continual review of the Council's Bank Accounts (Business Account, Special Interest Bearing, Town Hall Account and Mayoral Account)	Y	Do not sign blank cheques. No internet banking Ensuring Invoices and cheque counterfoils are initialled
	Gifts	Maintain register and review regularly		Update accordingly
	Salary payments	Paid in accordance with Council regulations PAYE/NI/Pensions payments to be made monthly Superannuation payments to be made monthly	Y	EARNIE Payroll Package installed and updated regularly. Support available, if necessary.
	Financial Procedures	All receipts and payments data to be inputted into the Accounts System by the RFO together with Monthly Bank Reconciliation RFO to be accompanied by Chair of F&GP for ¼ Bank Recs. Account monitoring undertaken by the RFO and Clerk together with quarterly checks by the Chairman of F & GP Internal/External Auditor Internal Audit Interim visit	Y	Internal/Interim Audit procedures in place Countersigning cheques after checking invoices together with initialling counterfoil and invoice. Mayor & Deputy Mayor to sign agreed cheque authorisation list.

3 Public Liability				
	Street Furniture	Adequate insurance	Y	Ensure all items are adequately covered. Seek advice from Insurance Company.
	Street Lighting	Adequate insurance	Y	
	Bus Shelters	Adequate insurance	Y	
	War Memorials	Adequate insurance	Y	
	Market(s)	Adequate insurance	Y	
	UIB Floral trees	Adequate insurance	Y	
	Millennium Monument	Adequate insurance	Y	
	Cemetery	Adequate insurance	Y	
	Stone Jubilee Bench	Adequate insurance	Y	
	Chapels	Adequate insurance	Y	

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4 Legal				
	Meetings	Conducted legitimately	Y	Requires good Chairmanship and good liaison between Clerk/Chair
	Minutes	Signed and retained appropriately	Y	At Council Meeting.
	Agendas	Sent out in time and giving sufficient detail of the business to be transacted	Y	Ensure Councillors in possession of sufficient detail to make decisions
	Summons to Meetings	Councillors' awareness of responsibilities	Y	It is a summons and not discretionary
	Training	Continual Professional Development	Y	Council updated regularly on relevant training courses

5 Member Liability				
	Declarations of Interests	Register accurate and lodged with Monitoring Officer. Agenda items declared at each meeting. Individual Councillors to advise Council accordingly, if they wish to declare an interest in an agenda item. Members are informed that they are responsible for the updating of their Declaration of Interest.	Y	Copies of Signed Declarations are forwarded to the Monitoring Officer, ESBC. Advise Members that they should update their Declarations accordingly.
	Resolutions	The Chair summarises resolutions before Members vote on them Where Members disagree with the advice of the Clerk, such disagreement must be recorded	Y	Ensure that, through the Chair, Members are clear about resolutions being voted on.

6 Council Liability				
	Lone person working	Comply with Employment Law	Y	Risk assessed and policy defined
	Contract of Employment	Issue contract including person specification	Y	Use NALC documents and seek advise from SPCA
	Duty of Care	To employees	Y	Seek advise from SPCA
	Councillors	Councillors are adequately advised of their responsibilities Lack of education of Councillors regarding culpability	Y	Ensure that Councillors get a welcome pack containing S.O.'s, Financial Reg., Good Councillors Guide, Code of Conduct legislation, etc
	Code of Conduct	Reporting of interests and Code of Conduct issues administered by East Staffordshire Borough Council	Y	See above

7 Health and Safety				
	Responsibilities	Members Employees Public	Y	
	Fire	(See separate risk assessment)	Y	
	COSHH	Caretaker and Cleaning Staff Cemetery Contractor responsible for this item	Y	Awareness Awareness
	P A T	Regular testing completed	Y	

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8 Contracts				
	Monitoring of contracts	Compliance with legislation	Y	Monitor all aspects of contracts awarded and Payment allocation
	Letting of Contracts	Compliance with legislation	Y	In accordance with Financial Regulations
	Conditions of Contract	The Clerk reviews Contracts and advises Council accordingly	Y	Consider externalising if economic so that risk is transferred to contractor

9 Administration				
	Office cover	1. Meetings schedule arranged with available office cover in mind. 2. Holiday Cover as above	Y	
	Continuity of Democratic Bus. & Services	1. In the event of the Town Clerk being on long term absence, the RFO will cover the Clerks Role. 2. In the event of the RFO being on long-term absence, the Town Clerk together with support from the Admin Assistant will cover the RFO Role. 3. In the event of the Admin Assistant being on long term absence, the Town Clerk together with the RFO will cover the Admin Assistant Role	Y	
	Public accessibility	The Office is open to the public between the hours of 9.00 am and 5.00 pm Monday-Friday	Y	
	Procedures	Defined by the Clerk/Approved by Council Documents are stored in accordance with guidelines from NALC	Y	Consider creating procedures manual
	Archiving	All records (required to be kept) are forwarded to Staffordshire County Council Records Office	Y	
	Standing Orders	Reviewed annually	Y	
	Press comments	Consider drafting guidelines	Y	Compliance with S.O. 28 a/b
	Data Protection	Appropriate measures taken to ensure legislative compliance	Y	Compliance with Freedom Of Information and Data Protection

10 Bye Laws				
	Introduction	Higher Agencies involvement	Y	Consider whether what the Council is addressing would be covered by a higher tier of Local Authority

- There is a charge of £0.50 per A4 copy and £0.75 per A3 copy where papers were requested.
- A notice to this effect has been displayed within Reception.
- The Clerk is the Proper Officer for the release of papers under the Freedom on Information legislation.

Updated and adopted by Uttoxeter Town Council – 9 November 2010

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