

# Uttoxeter Town Council Business Risk Assessment

Item	Details	Monitored (Yes/No)	Action
<b>1</b>	<b>Assets</b>		
Insurance Cover for the Council	Buildings Brewery Clock Contents Fidelity Markets Theft Personal Injury Public Liability Slander/Libel	Y	Recommended only deal with Municipal Insurers and updated as necessary
External Assets	Allotments 32 Carter Street 34-36 Carter Street 19A High Street Part of Unit 4a Carters Square/former Rear Annexe Bus shelters Cemetery including Above Ground Level Sanctums 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 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 General Data Protection Regulation Compliance 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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<b>2 Finance</b>				
	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	Chair of F&GP 1/4 basis verifies Accounts/VAT Return
	Budgeting (precepts)	Maintain accurate accounts to control budgets Annual precept based on adequate budgetary process  Appropriate Reserves/contingencies to be incorporated within the precept  Appropriate Earmarked Reserves duly considered by Council prior to the start of new fiscal year	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 Financial Regulations 3.1,3.2 and 3.3
	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, Business Deposit Accounts, 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	External Payroll Provider Karian Ltd providing all Council's Payroll, HMRC and Pension Regulator Provisions
	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 RBS Rialtas attend twice yearly – Accounts system health-check and end of year assistance	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.
<b>3 Public Liability</b>				
	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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<b>4</b>	<b><u>Legal</u></b>			
	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

<b>5</b>	<b><u>Member Liability</u></b>			
	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.

<b>6</b>	<b><u>Council Liability</u></b>			
	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

<b>7</b>	<b><u>Health and Safety</u></b>			
	Responsibilities	Members Employees Public	Y	Awareness
	Fire	(See separate risk assessment)	Y	See Risk Assessment
	COSHH	Caretaker and Cleaning Staff Cemetery Contractor responsible for this item	Y	Awareness Awareness
	P A T	Regular testing completed	Y	Annual Testing
	Evac Chair	Regular service/testing completed	Y	Training provided

<b>8</b>	<b><u>Contracts</u></b>			
	Monitoring of	Compliance with legislation	Y	Monitor all aspects of

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	contracts			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

<b>9</b>	<b><u>Administration</u></b>			
	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/RFO being on long term absence, Council shall consider the provisions required. 2. In the event of the Town Clerk/RFO being on long term absence, Council shall liaise with Council's Internal Auditor and Account Package provider RBS Rialtas with respect to the provisions required. 3. In the event of the Admin Assistant being on long term absence, the Town Clerk/RFO and Office Manager 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/SPCA	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. 21a
	Data Protection	Appropriate measures taken to ensure legislative compliance	Y	Compliance with Freedom Of Information and Data Protection

<b>10</b>	<b><u>Bye Laws</u></b>			
	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 £0.75 per A4 copy and £1.00 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.

**Reviewed, updated and adopted by Uttoxeter Town Council** – 9 November 2010, Reviewed 14 December 2010, Reviewed 17 May 2011, Reviewed 10 January 2012, Reviewed 8 May 2012, Reviewed 14 May 2013, Reviewed 13 May 2014, Reviewed 19 May 2015, Reviewed 10 May 2016, Reviewed May 2017, Reviewed 10 April 2018, Reviewed 8 May 2018.

Reviewed and Adopted by Council at its meeting held on 14 May 2019.