



Saltash Town Council

Policy/Procedure:

Risk Management Plan Statement 2021-22 DRAFT

Date of Adoption:

This is a Policy or Procedure document of Saltash Town Council to be followed by both Councillors and employees.

Current Status			
Version	2021-22 DRAFT	Approved by	
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Responsible Officer	Town Clerk/RFO	Minute reference	
Responsible Committee	P&F	Review date	Annual

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Review Record				
Date	Type of Review	Minute number	Summary of actions	Completed by
		17/19/20b		

Saltash Town Council: Risk Management Plan Statement 2021-22

Area	Risk	Impact	Likelihood	Score	Controls	Action
Assets	Protection of physical assets	Medium 3	Low 2	6	Buildings insured. Value increased annually by CPI.	Insurance revalue 2016. Current revaluation of all property, land and open spaces underway.
	Security of buildings, equipment etc. Security of Regalia	Medium 3	Low 2	6	Alarms on all main buildings. Station Building secured by bolts and locks during first stage of refurbishment. Legionella monitoring in place for all buildings and toilets. Regalia and valuables kept in insurance company approved safe.	Fire and Security Systems Installed linked to monitoring station. Service contract in place.
	Maintenance of buildings etc.	Medium 3	Low 2	6	Survey and planned programme of electrical and safety equipment worked up in conjunction with building maintenance consultant. 5-year maintenance and budget plan in place. Linked to precept.	Completed September 2012 Updated 2018
	Failure to maintain fixed asset register.	Medium 3	Low 2	6	That all the necessary fixed asset purchases are recorded and monitored on the asset register.	Ongoing

					<p>Appropriate document e.g. invoices are kept for audit purposes.</p> <p>Internal audit is carried of the fixed asset register</p> <p>All staff are aware of the responsibilities of the fixed asset register.</p>	
Finance	Banking	Medium 3	Low 2	6	<p>All funds and investment deposits with high street banks and investment company.</p> <p>Funds distributed with a minimum of 3 separate investment bodies based on credit rating, interest rates and accessibility to funds.</p>	<p>Investment Strategy in place.</p> <p>Council Policy 2015 updated to LGA 3rd edition 2018.</p>
	Risk of consequential loss of income	Medium 3	Low 2	6	<p>Insurance to cover loss of income and relocating office. Important documents backed-up off site.</p>	<p>Maintain insurance and IT support.</p>
	Loss of cash through theft or dishonesty	Medium 3	Low 2	6	<p>Division of responsibility in operation as per Governance and Accountability recommendations and audit.</p> <p>Fidelity insurance in place.</p>	<p>Ongoing monitoring of work updated practices and audit trail.</p>
	Financial controls and records	Medium 3	Low 2	6	<p>Monthly bank reconciliation and quarterly VAT report prepared by FO and checked by Chairman of P & F and Town Clerk and reported to Council. Two signatories for</p>	<p>Ongoing monitoring.</p>

					payments. Internal and external audit.	
	Failure to meet deadline for submission of AGAR (Annual Return)	Medium 3	Low 2	6	The external return is programmed in and to ensure that Full Council meeting is held for signing off the annual return in sufficient time for submission deadline.	Ongoing
	Comply with Customs and Excise Regulations	Medium 3	Low 2	6	Use help line when necessary. VAT payments and claims calculated by FO and checked by Town Clerk & Chairman of P&F. Internal and external auditor to provide double check.	VAT consultant engaged. to ensure compliance with partial exemption regulations and annual report.
	Sound budgeting to support annual precept	Medium 3	Low 2	6	Committees and Council receive detailed budgets in the late autumn. Precept derived directly from this. Expenditure against budget reported to committees at each meeting.	Ongoing.
	Failure to calculate/ precept on time	Medium 3	Low 2	6	Timetable agenda item for members providing sufficient time for additional meetings if required	Ongoing
	Failure to respond to electors wishing to	Low 2	Low 2	4	Ensure appropriate public rights dates are obtained from the external auditor.	Ongoing

	exercise right of inspection				They are displayed on the website & notice boards as appropriate. Details are advertised on how to obtain copies and inspect the annual accounts are published	
	Complying with borrowing restrictions	Low 2	Low 2	4	All borrowing conducted via CALC to Public Works Loan Board.	Ongoing.
Liability	Risk to third party, property or individuals	Medium 3	Low 2	6	Insurance in place. Property and land checked regularly. Trees inspection in place. Risk assessments of individual events such as Christmas lights and other events carried out as necessary.	Ongoing.
	Risks to staff & members	Medium 3	Low 2	6	Constant awareness of obstructions e.g. trailing wires, step ladders are used and provided where necessary, ensure electrical safety checks are carried out on all electronic equipment and using shredders and other equipment with safety precautions.	Ongoing
	Legal liability as consequence of asset ownership.	Medium 3	Low 2	6	Insurance in place. Regular safety inspections and checks conducted with records kept.	Ongoing.

Employer Liability	Comply with Employment Law	Medium 3	Low 2	6	HR consultants in place. Membership of various bodies including CALC regular checks for updates. Clerk is member of SLCC. Personnel Committee in place.	Ongoing.
	Comply with Inland Revenue requirements	Medium 3	Low 2	6	Regular advice from HMRC, Xero and Sage Payroll. Internal and external auditors carry out annual checks. Staff training in place.	Ongoing.
	Safety of Staff and visitors	Medium 3	Low 2	6	Health and Safety consultants retained as of 2012. Regular risk assessment checks of all buildings, premises and open spaces by Grounds and Premises Warden. Annual risk assessment audit by HR Consultant.	Ongoing.
	VDU/ Workstation usage by Staff	Low 2	Low 2	4	Health and safety checks are carried out to check workstation posture, regular eye tests, correct chairs purchased, DSE training to avoid RSI injuries, back injury, eye strain	Ongoing
	Violence and Aggression	Medium 3	Low 2	6	All office and library staff are given training on dealing with anger, violence and aggression	Ongoing
	Lone Working (Office)	Low 2	Low 2	4	That appropriate security measures are put in place. Ongoing communication with the lone worker is maintained to ensure they are monitored for their safety.	Ongoing

Legal Liability	Ensuring activities are within legal powers	Medium 3	Low 2	6	Clerk to clarify legal position on any new proposal. Legal advice to be sought where necessary. Power of Competence taken up.	Ongoing.
	Proper and timely reporting via the Minutes	Medium 3	Low 2	6	Council meets once a month and always receives and approves minutes of meetings held in interim. minutes made available to press and public at the Guildhall and via the web site.	Ongoing.
	Inadequate awareness/ failure to comply of relevant legislation	Medium 3	Low 2	6	Maintain membership to CALC/ NALC on Annual basis Clerk to attend committee meetings SLCC training is maintained Liaise with internal and external auditors	Ongoing
	Non – compliance with data protection	Medium 3	Low 2	6	All staff are made aware of the latest legislation around GDPR/ Data protection. Appropriate training is undertaken as necessary for the relevant staff and members.	Ongoing

					A data protection officer is nominated and monitors the activity of the council	
	Proper document control	Medium 3	Low 2	6	Copies kept in the office and backed up off site. Original leases stored in safe.	Ongoing.
Councillor propriety	Registers of Interests and gifts and hospitality in place	Medium 3	Low 2	6	Register of interest completed and anti-bribery policy statement and anti-fraud and corruption strategy in place. Code of Conduct adopted.	Ongoing.
Direct Acquisition & Devolution receipt of Assets and Services	Financial cost and reputational risk linked to lack of service delivery standard	Medium 3	Low 2	6	Acquisition and acceptance of assets or services based on community need and cost benefit analysis and budgeting via working party scrutiny though to Full Council decision.	Ongoing.
General Reserve	Insufficient funds to match any unforeseen	Medium 3	Low 2	6	Assessed annually at precept and budget setting and supported by ear marked funds.	Ongoing.

	events or general emergencies				To ensure a sufficient contingency is place to mitigate the risk of unforeseen events. This policy to be reviewed each year in conjunction with the rest of the reserves. This is reviewed on annual basis when setting the following year budgets.	
Public Consultation	Lack of public consultation by the council	Medium 3	Low 2	6	<p>Ensure meetings publicised on notice boards & website.</p> <p>Use of Annual parish meetings</p> <p>Place articles in newsletters</p> <p>Include public participation on all council meeting agendas</p> <p>Ensuring seating available at meetings for the public</p> <p>Provide advice for members of the public attending</p> <p>Publish agenda and minutes on website/ notice boards</p> <p>Hold monthly meet your councillor sessions</p>	Ongoing