

UCKFIELD TOWN COUNCIL



RISK MANAGEMENT POLICY

Policy Number 29		
Issue No.	Date completed	Details of amendments
1	01.12.14	GP.39.12.14 – Adopted at General Purposes Committee
2	18.01.16	Reviewed at General Purpose Committee GP.50.01.16
3	06.03.17	GP.42.03.17
4	01.03.18	Finance Sub Committee review of draft amendments
5	09.01.19	Finance Sub Committee review of draft amendments
6	18.02.19	Reviewed Finance Sub-Committee recommendation at GP (18.02.19)
7	12.08.19	GP Committee to review updates – approved.
8	13.02.20	Finance Sub-Committee view of draft amendments
9	09.03.20	GP Committee reviewed updates
10	06.01.21	Finance Sub-Committee view of draft amendments
11	25.01.21	GP Committee 25.01.21

1.0 INTRODUCTION

Uckfield Town Council is aware of its responsibility to manage risk to ensure it achieves its objectives to deliver a high quality of public services and to ensure it provides good governance.

The Council has various policies in place to ensure significant risks are controlled, reviewed and monitored. This document forms the Town Council's Risk Management Strategy, it provides an overview of risk management and how it will be monitored.

This policy will be reviewed annually by the Finance Sub-committee.

The tables below detail the controls in place for the main service areas at risk

- Insurances
- Working with others
- Self-managed risk

Table 1. Insurances			
Risk Identification			
<u>Insurance Cover</u>	<u>Details</u>	<u>Comments</u>	<u>Review Date</u>
Protection of physical assets: <ul style="list-style-type: none"> • Buildings, and contents (where applicable) • Business interruption • Stock • Computer Equipment • Civic Centre CCTV • Town Centre CCTV • Terrorism 	Company: QBE Ins (Europe) Ltd Policy No: Y126862QBE0120A Period of cover: 19 th October 2020 - 18 th October 2021	Arrangement reviewed annually by the Town Clerk	August 2021
Public Liability including: <ul style="list-style-type: none"> • Employers Liability • Libel and Slander • Motor Vehicles • Fidelity Guarantee • Personal Accident • Legal Expenses • Money • Civic Regalia • Litter Bins • Bus Shelters • Large Grounds Equipment 	Company: Zurich Municipal Policy No: YLL-272007-6913	Public Liability £15M Products and Employers Liability £10M Hirers Liability £2M Libel and Slander £250,000 Employers Liability No less than £5M	Current policy 19 th June 2020-20 th June 2021 Reviewed annually by the Town Clerk

Internal controls

Up to date register of assets		✓	Ongoing
Regular maintenance arrangements for physical assets.		Budgets in place, maintained by staff and outside contractors.	
Annual review of risk and adequacy of cover		✓	
Ensuring robustness in insurance provider		Review other service providers.	
Ensuring we comply with new requirements set out in the EU General Data Protection Regulations (GDPR)	Appointment of independent Data Protection Officer	GDPR-Info were re-appointed DPO for Uckfield Town Council in May 2019	Annual review – to assess contract and action plan.
	Audit undertaken of current practices, with action plan of areas to focus attention	GDPR-Info visited premises on 28 June 2018 and carried out full one day audit.	
Ensuring we have adequate network security and firewalls in place	Uckfield Town Council upgraded the Civic Centre Wi-Fi. A feature was added to the public Wi-Fi, which each client has to accept prior to joining the Wi-Fi, giving protection for Uckfield Town Council from misuse.	Redway Networks	

	<p>Uckfield Town Council has installed a tailor-made Network fire wall with VPN capabilities to further strengthen network security and only allow traffic that is pre-authorized.</p>	<p>Redway Networks</p>	
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Internal audit assurance

Internal auditor testing includes:

- ✓ Review of internal controls in place and their documentation.
- ✓ Review of management arrangements regarding insurance cover.
- ✓ Testing of specific internal controls and report findings to the General Purposes Committee.

Table 2. Working with others

Risk Identification

	<u>Details</u>	<u>Comments</u>	<u>Review Date</u>
<ul style="list-style-type: none"> Security of vulnerable buildings, amenities or equipment 	<p>Civic Centre, The Hub, West Park and Victoria pavilions and the garage store alarmed and maintained by outside contractors.</p>	<p>Security Alarms - Innovation Period of cover: April 2021 – March 2022</p>	<p>All security alarm companies to be accredited to the Security Systems and Alarms Inspection Board(SSAIB) and or the National Security Inspectorate (NSI)</p>
	<p>Civic Centre, The Hub, West Park and Victoria pavilions and Foresters Hall maintained by outside contractors.</p>	<p>Fire Alarms – Sovereign All expire Sept 2021</p>	
	<p>Works are ongoing to enable Victoria Pavilion to connect with the Civic Centre network to enhance CCTV provision of the area.</p>	<p>Redway Networks/Focus telephones/Brighton CCTV</p>	<p>On hold due to Covid-19</p>

	<u>Details</u>	<u>Comments</u>	<u>Review Date</u>
<ul style="list-style-type: none"> Provision of services being carried out by others 	Town Centre CCTV	New Town Centre CCTV system in place Nov. 2018– Six cameras. i-witness partnership Sussex Police	Annual review by Town Clerk
	Civic Centre	Civic Centre own CCTV system - Brighton CCTV Feb 2022	Review to be undertaken in March 2021
<ul style="list-style-type: none"> Banking arrangements, including borrowing 	Banking arrangements reviewed every two years by Finance Sub-committee.	Partial review carried out prior to June 2019. Moving to BACs supplier payments in 2021 and annual review of investments.	
<ul style="list-style-type: none"> Professional services (architects, project managers etc.) 	To use specialist when required.		Review to be undertaken as and when required on a project by project basis.

Internal controls by Internal Auditor

- Standing Orders
- Annual review of contracts
- Clear statements of management responsibility for each service.
- Adoption and adherence to codes of practice
- Arrangements to detect and deter fraud and/or corruption
- Regular bank reconciliation, independently reviewed.

✓

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Internal audit assurance

Internal Auditor testing includes:

- ✓ Review of internal controls in place and their documentation.
- ✓ Review of management arrangements regarding insurance cover.
- ✓ Testing of specific internal controls and report findings to the General Purposes Committee.

Table 3. Self-managed risk

- Regular scrutiny of financial records and proper arrangement for the approval of expenditure
- Regular budget monitoring statements
- Minutes properly numbered and paginated with a master copy for safe keeping
- Regular returns to HM Revenue and Customs; contracts of employment for all staff, systems of updating records for any changes in relevant legislation
- Regular returns of VAT, relevant officer training
- Procedures for dealing with and monitoring grants made
- Procedure in place for recording and monitoring Members' interests and gift and hospitality received
- Adoption of codes of conduct for Members and employees
- Developing systems of performance measurement
- Documented procedures to deal with enquiries from the public
- Documented procedure to deal with responses to consultation requests
- Monitoring arrangements by the Council regarding Quality status
- Dual member authorisation of BACs payments entered by Assistant Town Clerk for supplier payments from January 2021 (members will have access to authorisation only and will not be able to enter funds nor issue payments)

Covid-19 Pandemic – self managed risk

- Senior manager present in the Town Council office each day with administrative staff member during national lockdowns which ensures proper arrangements of financial records, safety for staff and presence in the building should an incident arise. It also ensures any risk of theft or emergency is mitigated;
- Caretakers and Grounds staff working on a rota basis, to ensure maintenance and security of Town Council buildings and open spaces.
- Risk Assessments and procedures outlined under the Town Council's Health & Safety Policy.

Internal audit assurance

- ✓ Review of internal controls in place and their documentation
- ✓ Review of minutes to ensure legal powers in place recorded and correctly applied
- ✓ Testing of income and expenditure from minutes to cashbook, from bank statements to cashbook, from, minutes to statements etc. including petty cash transactions
- ✓ Review and testing of arrangements to prevent and detect fraud and corruption
- ✓ Testing of disclosures
- ✓ Testing of specific internal controls and report findings to the General Purposes Committee