

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
12	25.01.22	Finance Sub-Committee review
13	31.01.22	Adoption of revised Risk Management Policy

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

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 • UTC Building CCTV (on premise) • Town Centre CCTV • Terrorism • Some specified Grounds equipment 	Company: Commercial Combined QBE Ins (Europe) Ltd Policy No: Y126862QBE0121A Optional Marsh Commercial Claims Assist Policy No. 92907561 Combined Engineering (British Engineering Services Contract No. EIP000843 Flood Excess Insurance (Signal Box) Policy Excess Ltd (Policy No. FE234581 Flood Excess (Bridge Cottage) Policy Excess Ltd (Policy No. FE234582 Period of cover: 19 th October 2021 - 18 th October 2022 Company:	Arrangement reviewed annually by the Town Clerk	August to October 2022

<p>Public Liability Insurance including:</p> <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 • Town Centre CCTV and Premises CCTV 	<p>Zurich Municipal</p> <p>Policy No: YLL-272007-6913</p> <p>Period of cover 20 June 2021- 19 June 2022</p>	<p>Public Liability £15M</p> <p>Products and Employers Liability £10M</p> <p>Hirers Liability £2M</p> <p>Libel and Slander £250,000</p> <p>Employers Liability No less than £5M</p>	<p>Reviewed annually by Assistant Town Clerk & Town Clerk</p>
<p>Internal controls</p>			
<p>Up to date register of assets</p> <p>Regular maintenance arrangements for physical assets.</p> <p>Annual review of risk and adequacy of cover</p> <p>Ensuring robustness in insurance provider</p>		<p>✓</p> <p>Budgets in place, maintained by staff and outside contractors in line with annual building maintenance programme.</p> <p>✓</p> <p>Review other service providers as part of</p>	<p>Ongoing and reviewed at Full Council in December and January each year as part of annual review of Asset Management Plan. Recently adopted Asset Management Plan 17 Jan 2022.</p> <p>Annual review – to assess contract and action plan.</p>

<p>Ensuring we comply with new requirements set out in the EU General Data Protection Regulations (GDPR)</p> <p>Ensuring we have adequate network security and firewalls in place</p>	<p>A Town Council may appoint an independent Data Protection Officer</p> <p>Audit undertaken of current practices, with action plan of areas to focus attention</p> <p>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.</p> <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-authorised.</p>	<p>annual review with brokers</p> <p>GDPR-Info were re-appointed DPO for Uckfield Town Council in May 2019</p> <p>GDPR-Info visited premises on 28 June 2018 and carried out full one day audit.</p> <p>Redway Networks</p> <p>Redway Networks</p>	<p>Review to be undertaken Spring 2022 of current requirements and support.</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.

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	Civic Centre, The Hub, West Park and Victoria pavilions and the garage store alarmed and maintained by outside contractors.	Security Alarms - Innovation Period of cover: April 2021 – March 2022	All security alarm companies to be accredited to the Security Systems and Alarms Inspection Board(SSAIB) and or the National Security Inspectorate (NSI)
	Civic Centre, The Hub, West Park and Victoria pavilions and Foresters Hall maintained by outside contractors.	Fire Alarms – Sovereign All expire September 2022	
	Works are ongoing to enable Victoria Pavilion to connect with the Civic Centre network to enhance CCTV provision of the area.	Redway Networks/Focus telephones/Brighton CCTV	Part completed, awaiting more cameras from April 2022.

	<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 March 2022
<ul style="list-style-type: none"> Banking arrangements, including borrowing 	Banking arrangements reviewed every two years by Finance Sub-committee.	All supplier payments were moved to BACs in February 2021. Two Councillors authorise supplier payments and payroll.	Review undertaken annually of the Town Council's borrowing and investments by Finance Sub-Committee, and subsequently reported to GP Committee
	Credit card/Worldpay transactions	PCI Compliance surveys undertaken as required to confirm no detailed personal financial data held by the Town Council.	Civic Centre completed in Jan 2022, Luxfords Restaurant due to be undertaken April 2022.
<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 and in line with procurement regulations.

Internal controls by Internal Auditor

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| <ul style="list-style-type: none">○ 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. | <ul style="list-style-type: none">✓✓✓✓✓✓ | | |
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Internal audit assurance

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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 February 2021 (members have access to authorisation only and will not be able to enter funds nor issue payments)

Covid-19 Pandemic – self managed risk

- At least one senior manager present in the Town Council office each day with administrative staff member during national lockdowns and since then on a rota basis 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.
- All procedures for staff and members of the public are reviewed frequently in line with covid rates, seasonal considerations, and UK Government guidance.

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