

# 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
14	16.01.23	Review by General Purposes Committee GP23.01.23
15	15.05.23	Adoption by Full Council

## 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

<b>Insurances</b>			
<b>Risk Identification</b>			
<u>Insurance Cover</u>	<u>Details</u>	<u>Comments</u>	<u>Review Date</u>
Protection of physical assets: <ul style="list-style-type: none"> <li>• Buildings, and contents (where applicable)</li> <li>• Business interruption</li> <li>• Stock</li> <li>• Computer Equipment</li> <li>• UTC Building CCTV (on premise)</li> <li>• Town Centre CCTV</li> <li>• Terrorism</li> <li>• Some specified Grounds equipment</li> </ul>	Company: Commercial Combined QBE Ins (Europe) Ltd Policy No: Y126862QBE0122A  Optional Marsh Commercial Claims Assist  Combined Engineering (British Engineering Services Contract No. EIP000843  Flood Excess Insurance (Signal Box) Policy Excess Ltd (Policy No. FE243625  Flood Excess (Bridge Cottage) Policy Excess Ltd (Policy No. FE243626  Period of cover: 19 <sup>th</sup> October 2022 - 18 <sup>th</sup> October 2023	Arrangement reviewed annually by the Town Clerk	August to October 2023

<p>Public Liability Insurance including:</p> <ul style="list-style-type: none"> <li>• Employers Liability</li> <li>• Libel and Slander</li> <li>• Motor Vehicles</li> <li>• Fidelity Guarantee</li> <li>• Personal Accident</li> <li>• Legal Expenses</li> <li>• Money</li> <li>• Civic Regalia</li> <li>• Litter Bins</li> <li>• Bus Shelters</li> <li>• Tennis courts to include Victoria</li> <li>• Large Grounds Equipment</li> <li>• Town Centre CCTV</li> </ul>	<p>Company: Zurich Municipal</p> <p>Policy No: YLL-272007-6913</p> <p>Period of cover 20 June 2022- 19 June 2023</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 &amp; Town Clerk</p>
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**Internal controls**

<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 annual review with brokers</p>	<p>Ongoing. Reviewed at Full Council in December and January each year as part of annual review of Asset Management Plan. Adopted by Full Council on 23 January 2023.</p> <p>Ongoing and Building Maintenance Programme reviewed annually as part of budget setting process.</p> <p>Annual review – to assess contract and action plan.</p>
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<p>Ensuring we comply with new requirements set out in the EU General Data Protection Regulations (GDPR)</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>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>Review to be undertaken in 2023.</p>
<p>Ensuring we have adequate network security and firewalls in place</p>	<p>Uckfield Town Council 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-authorized.</p>	<p>Redway Networks</p> <p>Redway Networks</p>	<p>Wi-Fi to be upgraded in 2023, in line with upgrade of technology.</p> <p>Further works were undertaken to security in 2022.</p>

**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"> <li>Security of vulnerable buildings, amenities or equipment</li> </ul>	<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 2023 – March 2024</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 September 2023</p>	
		<p>Redway Networks/Focus telephones/</p>	<p>Telephone system was moved from analogue to digital on 16 Jan 2023.</p>
		<p>Brighton CCTV</p>	<p>Victoria Pavilion now connected to enhance CCTV provision</p>

	<u>Details</u>	<u>Comments</u>	<u>Review Date</u>
<ul style="list-style-type: none"> <li>Provision of services being carried out by others</li> </ul>	Town Centre CCTV	<p>Town Centre CCTV system in place since Nov. 2018– Six cameras. i-witness partnership with Sussex Police</p> <p>New maintenance programme in place for Town CCTV with ChromaVision from May 2023.</p>	Sussex Police are currently reviewing maintenance contract with BT Redcare.
	Civic Centre	Civic Centre own CCTV system - Brighton CCTV Feb 2022	
<ul style="list-style-type: none"> <li>Banking arrangements, including borrowing</li> </ul>	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 was undertaken April 2022.

<ul style="list-style-type: none"> <li>Professional services (architects, project managers etc.)</li> </ul>	<p>To use specialist when required.</p>		<p>Review to be undertaken as and when required on a project by project basis and in line with procurement regulations.</p>
<p><b>Internal controls by Internal Auditor</b></p>			
<ul style="list-style-type: none"> <li>Standing Orders</li> <li>Annual review of contracts</li> <li>Clear statements of management responsibility for each service.</li> <li>Adoption and adherence to codes of practice</li> <li>Arrangements to detect and deter fraud and/or corruption</li> <li>Regular bank reconciliation, independently reviewed.</li> </ul>	<p>✓ ✓ ✓ ✓ ✓ ✓</p>		
<p><b>Internal audit assurance</b></p>			
<p>Internal Auditor testing includes:</p> <ul style="list-style-type: none"> <li>✓ Review of internal controls in place and their documentation.</li> <li>✓ Review of management arrangements regarding insurance cover.</li> <li>✓ Testing of specific internal controls and report findings to the General Purposes Committee.</li> </ul>			

### **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)
- Recognition of changes for new paying-in procedures as a result of the Town Council's bank closing in Uckfield. The paying-in and withdrawal of funds is now processed through the Post Office. A limit is set at £1k per day for paying-in cash to the Post Office. The Town Clerk and Assistant Town Clerk have been issued with debit cards for the Clerk account, and 'change giving' cards to authorise the withdrawal of monies for petty cash purposes only.

### **Covid-19 Pandemic – self managed risk**

- 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