

# 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

16	27.11.23	Annual review by General Purposes Committee
17	11.12.23	Ratification and adoption by Full Council
18	16.12.24	Annual review by General Purposes Committee
19	13.01.25	Ratification 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 General Purposes 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:  Period of cover: 19 October 2024 - 18 October 2025  Y126862QBE0123A Optional Marsh Commercial Claims Assist  Combined Engineering (British Engineering Services Contract No. EIP000843  Flood Excess Insurance (Signal Box) Policy Excess Ltd (Policy No. FE261314  Flood Excess (Bridge Cottage) Policy Excess Ltd	.	August to October 2025  Arrangement reviewed annually by the Town Clerk/Estates & Facilities Manager

<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>(Policy No. FE261311</p> <p>Cyber Cover ESN0040117213</p> <p>Company: Zurich Municipal</p> <p>Policy No: YLL-272007-6913</p> <p>Period of cover 20 June 2024- 19 June 2025</p> <p>Part of three year agreement to 2027.</p>	<p>The Internal Auditor recommended that Cyber risk be incorporated into this policy and a quote be obtained for insurance cover for this risk. Cyber cover was incorporated in the insurance cover for 2024-25.</p> <p>Public Liability £15M</p> <p>Products Liability £10M</p> <p>Employers Liability £10M</p> <p>Hirers Liability £2M</p> <p>Libel and Slander £250,000</p> <p>Fidelity Guarantee £2M</p> <p>Personal accident cover £500k any one person, or £2M any one incident.</p> <p>Motor vehicles Comprehensive cover</p>	<p>Reviewed annually by Assistant Town Clerk.</p>
---	--	--	---

Internal controls			
Up to date register of assets		<p>Full review of Fixed Asset Register in progress.</p> <p>Tree survey records are now being uploaded to software purchased called OTISS (which sits alongside Pear (the Town Council's mapping system). Plan to add all street furniture and assets in due course.</p>	<p>Ongoing. Reviewed at Full Council in December and January each year as part of annual review of Asset Management Plan.</p>
Regular maintenance arrangements for physical assets.		<p>Budgets in place, maintained by staff and outside contractors in line with annual building maintenance programme.</p>	<p>Ongoing and Building Maintenance Programme reviewed annually as part of budget setting process.</p>
Annual review of risk and adequacy of cover			<p>Annual review – to assess contract and action plan.</p>
Ensuring robustness in insurance provider	<p>Full market review of insurance cover undertaken by brokers in 2024.</p>		<p>Tender for brokers to be undertaken in 2025.</p>

<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 although this is not compulsory.</p>	<p>GDPR-Info were re-appointed DPO for Uckfield Town Council in May 2019. There is currently no external contractor undertaking this role.</p> <p>GDPR-Info visited premises on 28 June 2018 and carried out full one day information audit.</p>	<p>Review to be undertaken in 2025/26.</p>
<p>Ensuring we have adequate network security and firewalls in place</p>	<p>Audit undertaken of current practices, with action plan of areas to focus attention</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</p>	<p>Redway Networks</p> <p>Redway Networks</p>	<p>Wi-Fi was upgraded in August 2023, which saw an upgrade of the infrastructure within the Civic Centre and Victoria Pavilion.</p> <p>Further works were undertaken to security in 2022.</p>

	VPN capabilities to further strengthen network security and only allow traffic that is pre-authorised.		
<b>Internal audit assurance</b>			
<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>			

**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><b>Security Alarms - Kaisu</b>                      Period of cover: March 2024 – March 2025</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). The intruder alarm system was inspected in September 2024.</p>
	<p>Civic Centre, The Hub, West Park and Victoria pavilions and Foresters Hall maintained by outside contractors.</p>	<p><b>Fire Alarms – Sovereign</b>                       All expire March 2025. New contractor in place for April 2025.</p>	<p>Full annual fire risk assessments were undertaken by Pyrotech in December 2024.</p>
		<p><b>Redway Networks/Focus telephones/</b></p>	<p>Telephone system was moved from analogue to digital on 16 Jan 2023.</p>
		<p><b>Brighton CCTV</b></p>	<p>Victoria Pavilion now connected to enhance CCTV provision.                       Annual inspection of the cameras and repairs undertaken –</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 upgraded 2024. Six cameras. in partnership with Sussex Police.</p> <p>Joint Data Controller with Sussex Police. ISA signed Nov 2024.</p> <p>New maintenance SLA in place for Town CCTV with ChromaVision from April 2024 for 3yrs. Gold Service.</p>	<p>December 2024, which resulted in the upgrade of three cameras across the two sites</p> <p>Full review undertaken 2023 and 2024.</p>
<ul style="list-style-type: none"> <li>Banking arrangements, including borrowing</li> </ul>	Civic Centre	<p>Civic Centre own CCTV system – Brighton CCTV</p>	
	Banking arrangements reviewed every two years by Finance Sub-committee.	Annual review undertaken of the Town Council's borrowing and investments by Finance Sub-Committee, and subsequently reported to GP	Next review between Jan and March 2025.

<ul style="list-style-type: none"> <li>Professional services (architects, project managers etc.)</li> </ul>	<p>Credit card/Worldpay transactions</p> <p>To use specialist when required.</p>	<p>Committee.</p> <p>Changed provider from Worldpay to UTP (Barclaycard) in August 2024.</p>	<p>Review to be undertaken as and when required on a 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>✓</p> <p>✓</p> <p>✓</p> <p>✓</p> <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;
- Strengthened monthly member audit procedures, and incorporation of all bank reconciliations, with quarterly sign off by members.
- 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 and VAT review booked in for early March 2025
- 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;
- Dual member authorisation of BACs payments entered by Assistant Town Clerk for supplier payments commenced 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;
- Revised procedures for Luxfords Restaurant opening and close down, and review of movement and security with holding of cash;
- Two members of staff cashing up from restaurant each day, and investigation to commence on Internal Auditor's recommendation on cash collections;

**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
- ✓ Publication of information in line with Local Government Transparency Code on Town Council website;
- ✓ Town Council's financial requirements met on website;
- ✓ Annual precept resulted from an adequate budgetary process;
- ✓ Salaries and allowances paid in accordance with council approvals and PAYE and NI requirements;
- ✓ Asset and investment requirements complete and accurate;
- ✓ Periodic and year end bank reconciliations properly carried out;