

TETBURY TOWN COUNCIL RISK MANAGEMENT STRATEGY

Definition of Risk Management

Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements.

This document has been produced to enable the Town Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. The Council is aware that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic and focuses approach to managing risk, which:

- Identifies the key risks facing the Council
- Identifies what the risk may be
- Identifies the level of risk
- Evaluates the management and control of the risk and records findings
- Reviews, assesses and revises procedures if required.

MANAGEMENT

Subject	Risk(s) Identified	High / Medium / Low Risk?	Management/Control of Risk	Review/Assess/Revise
Business Continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	Medium	All files and recent records are kept in the Council offices either on paper or backed up to an external hard drive. In the event of the Clerk being indisposed the Deputy Clerk to step up and be confirmed as Acting Town Clerk and RFO for all relevant duties. Deputy Clerk and/or Mayor/Chairman to contact GAPTC for advice if required. Business interruption insurance cover.	Review when necessary. Council and existing staff to continue with standard operating procedures until Clerk returns to work or is replaced.

Meeting location	1. Adequacy 2. Health and Safety	1. Low 2. Medium	1. Meetings are held in the Courtroom/Council Chamber of the Council's own offices. 2. The premises and facilities are maintained by the Council	1. Considered adequate for most meetings. Looking into 'reasonable adjustments' to make Victorian Grade II Listed Building compliant with Disability Discrimination Act. 2. Single narrow internal staircase presents a risk to prompt/safe evacuation. The Council has approved the principle of restoring of external wooden staircase and may be able to install a stairlift
Council Records	Loss through theft, fire, damage	Low	Some older records are retained at the Gloucestershire Archives (i.e. County Records Office) in Gloucester. Original copies of deeds and leases are held by the Council's Solicitors. Other papers, are stored in Council offices	Damage or theft is unlikely and so provision adequate.
Council Records electronic	Loss through damage, fire, corruption of computer	Medium	The Town Council's electronic records are stored on an external hard drive. Currently, back-ups of the files are taken at fortnightly intervals and are checked to ensure readability of data. Anti virus protection is updated automatically and reviewed annually by the Council's IT support consultant.	Current fortnightly backups present risk of the loss of up to two weeks' worth of information in the event of IT failure. This risk can be remediated quickly and inexpensively by switching to more frequent back-up; so Clerk is looking into UK based Cloud back up to allow for <u>automatic</u> backups, which could even be done minute by minute.
FINANCE				
Subject	Risk(s) Identified	High / Medium / Low Risk?	Management/Control of Risk	Review/Assess/Revise
Precept	1. Adequacy of precept 2. Budget set and Precept communicated to District Council in time	1&2. Low	1. Sound budgeting to underlie annual precept. The Council and the Finance and Scrutiny Committee regularly receive budget update information for the Council overall. The	1&2. The Council has a good history of budgetary control. Existing procedure considered adequate

			Heritage and Regeneration Committee monitors its own budget. 2. Detailed budget estimates are considered by Committees in the late autumn and the Council usually agrees the Budget and Precept in November or December each year.	
Insurance	1. Adequacy 2. Cost 3. Compliance 4. Fidelity Guarantee	1. Low 2. Low 3. Low 4. Medium	1-4. An annual review is undertaken of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement	1-4. Existing procedure adequate Review provision and compliance annually
Banking	Inadequate checks result in error / theft	Low	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts	Existing procedures adequate Review Financial Regulations as necessary
Cash	Loss through theft or dishonesty	Low	The Council offices have a petty cash float of £200 and the TIC has a petty cash float of £50. Reconciliation done monthly. Other transactions are made or paid by BACS. Cheque payments are decreasing	Existing procedures adequate
Financial controls and records	1. Inadequate checks result in error / theft 2. Ultra vires Payments	1. Low 2. Low	1. Monthly reconciliation checked by the Council or the Finance and Scrutiny Committee. Two signatories on cheques. Internal checks by Councillors support the Internal and External Audit processes. The Clerk has delegated authority for a number of transactions. Any delegated payments must either have the Clerk's	1&2. Existing procedures adequate

			authority or be covered by resolution clearly recorded in the Minutes. 2. Now the Council has the General Power of Competence, ultra vires payments are highly unlikely, and s137 should no longer be used	
Freedom of Information Act	Policy Provision	Low	The Council has a model publication scheme for Local Councils in place. The Council is able to request a fee if the work will take over 15 hours.	Monitor and report any impacts made under Freedom of Information Act
Election Costs	Risk of election cost	Medium	Risk is higher in an election year. There are no measures which can be adopted to minimise risk of having a contested election. An Election Fund is available to meet the costs.	Include Election Fund in Budget when setting precept
VAT	Re-claiming/charging	Low	The Council has financial regulations which set out the requirements	Existing procedures adequate
Annual return	Not submitted within time limits	Low	Annual return is completed and signed by the Council and sent on to the External Auditor within time limit. The Council may request an extension to the deadline	Existing procedures adequate
STAFF				
Subject	Risk(s) Identified	High / Medium / Low Risk?	Management/Control of Risk	Review/Assess/Revise
Clerk	1. Loss of qualified Clerk 2. Fraud 3. Actions undertaken incorrectly 4. Salary paid incorrectly	1. Medium 2. Low 3. Low 4. Low	1. The Council to address vacancy by employing Clerks already holding the CiLCA qualification. The Deputy Clerk has CiLCA. 2. The requirements of Fidelity Guarantee insurance must be adhered to.	1. Encourage membership of SLCC; monitor working conditions and hours of work 2. Include in financial statement when setting precept 3. Purchase revised reference books

			3. Staff should be provided with relevant training, reference books, access to assistance and legal advice 4. Town Clerk / Finance and Scrutiny Committee / Internal Auditor check	
Other staff	1. Inadequate number of staff for work required 2. Staff errors	1. Medium 2. Medium	1. Council sets staff establishment and reviews periodically 2. Staff to be employed with suitable experience and/or qualifications, with additional training as required.	Existing procedures adequate
Staff Health and Safety	1. Death or injury to employees in the course of their duties 2. Time off work	1. Medium 2. Medium	Health and Safety Polices in place and training as appropriate. Risk assessment of any individual work activities undertaken	Existing procedures adequate
Volunteers	Death or injury to volunteers in the course of their duties	Medium	Health and Safety Polices in place and training as appropriate. Risk assessment of any individual work activities undertaken	Existing procedures adequate
See also: • Liability – Employer Liability • Councillor’s Propriety – Member Behaviour				
ASSETS				
Subject	Risk(s) Identified	High / Medium / Low Risk?	Management/Control of Risk	Review/Assess/Revise
All assets identified below	Identified below	Identified below	Overall - The Town Council lists a number of assets in the Asset Register, which is reviewed each year during the Annual Meeting of the Council and insurance cover discussed with the Insurance provider each year. Maintenance and repair is	Identified below

			ongoing and factored into the Budget. Inspections are undertaken as an ongoing activity by the Grounds Team. All repairs and relevant expenditure for these are actioned in accordance with correct procedures	
Buildings: 1. Council Offices, 63 Long Street (inc Police Museum) 2. The Goods Shed 3. Dolphins Hall Building	Fire, criminal damage, accidental damage,	1-3.Low	1. Occupied and managed by the Council directly. Up-to-date fire alarm systems and buildings insurance in place. Structural survey in 2014 led to 20-year maintenance plan 2. Occupied by tenant of the Council. Up-to-date fire alarm systems and buildings insurance in place 3. N/A - The Council is the Custodial Trustee (i.e. holder of the deeds) only with no day-to-day ownership or management responsibilities.	1&2. Existing procedure adequate 3. N/A
Land: 1. Dolphins Hall Recreation Ground 2. Burial Ground 3. Play grounds and play equipment at Webb Road and Suffolk Close	1. N/A 2. Injury from insecure headstones / unsafe trees 3. Injury to children/public from poorly maintained equipment	1. N/A 2. Low 3. Low	1. N/A - The Council is the Custodial Trustee (i.e. holder of the deeds) only with no day-to-day ownership or management responsibilities 2. Regular inspection and tree maintenance 3. Regular inspection by Grounds Team and annual RoSPA inspection	1. N/A 2. Existing procedure adequate 3. Existing procedure adequate
War Memorial	Criminal damage, accidental damage	Low	Regular inspection	Existing procedures adequate
Bus Shelters / Street Furniture / Litter Bins / Salt Bins	1. Loss or Damage 2. Risk/damage to third party(ies)/property	1. Low 2. Low	1&2. Directly managed by the Council.	1&2. Existing procedure adequate Ensure inspections are carried out

Vehicles: Grounds Team pickup	1. Fire, theft, accident 2. Third party liability	1&2. Low	1&2. Directly managed and operated by the Council. Vehicle insurance. Familiarity training for new users. Regular inspection by Grounds Team prior to use and scheduled maintenance	Existing procedures adequate
Plant and Machinery	1. Loss or Damage 2. Risk/damage to third party(ies)/property	1. Low 2. Low	1&2. Directly managed by the Council.	1&2. Existing procedure adequate Ensure inspections are carried out
Notice Boards/Descriptive Panels	1. Loss or Damage 2. Risk/damage to third party/parties/property	1. Low 2. Low	1. Regular inspection when posting notices 2. Due care and attention	1&2. Existing procedure adequate. Ensure inspections are carried out
Office Equipment	1. Loss or Damage 2. Injury to employees or public	1&2. Low	1&2. Normal office routine unlikely to cause much damage. Operate good Health and Safety practices regarding lifting, storage, cable, working at height etc	Existing procedures adequate
LIABILITY				
Subject	Risk(s) Identified	High / Medium / Low Risk?	Management/Control of Risk	Review/Assess/Revise
Legal Powers	1. Illegal activity or payments 2. Working Parties or individual Councillors taking decisions / authorising work / binding the Council	1. Low 2. Medium	All activity and payments to made within the powers of the Council (not ultra vires) and to be resolved and clearly minuted. Ensure established with clear terms of reference.	Existing procedures adequate Monitor on a monthly basis
Minutes/ Agendas/ Statutory documents	1. Accuracy and legality 2. Non-compliance with statutory requirements	1. Low 2. Low	1. Minutes and agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed at next meeting. Minutes and agendas are displayed according to legal requirements. 2. Trained Town Clerk give informed and authoritative advice. Council Chair (Mayor) and Committee Chairs should	1&2. Existing procedures adequate Undertake adequate training Members

			have basic New Councillor training and Chairmanship training.	
Public Liability	Risk to third party, property or individuals	Medium	Public Liability Insurance is in place. Health and Safety Polices in place and training as appropriate. Risk assessment of any individual event undertaken	Existing procedures adequate
Employer liability	1. Non-compliance with employment law possibly resulting in costs being awarded against the Council 2. Liability for death or injury to employees in the course of their duties	1. Low 2. Medium	1. The present Clerk is an experienced employer/ manager of staff. For difficult situations Clerk or an <u>authorised</u> Councillor may seek professional advice 2. Employer's Liability Insurance is in place. Health and Safety Polices in place and training as appropriate. Risk assessment of work activities undertaken	Existing procedures adequate
Legal Liability	1. Legality of activities 2. Proper and timely reporting via Minutes 3. Proper document control	1. Medium 2. Low 3. Low	1. Clerk to clarify legal position on proposals and seek advice if necessary 2. Council and Committees always receive minutes at subsequent meetings 3. Retention of document policy in place	1-3. Existing procedures adequate
COUNCILLORS PROPRIETY				
Subject	Risk(s) Identified	High / Medium / Low Risk?	Management/Control of Risk	Review/Assess/Revise
Members Interests	Conflict of Member's personal interest with a decision of the Council	Medium	Councillors have legal duty to (i) complete a form for the Register of Members Interests and keep it up to date within 28 days of any changes and (ii) to withdraw from meeting in the event of pecuniary interest. Potential criminal offence	Existing procedures adequate. Members have a <u>personal</u> responsibility to declare interests and update their register entries

Member behaviour	<p>1. Disruptive to Council/Committee meetings</p> <p>2. Damaging to the Council's reputation</p> <p>3. Poor working relationship with fellow Councillors and/or staff and public – potentially leading to resignation of fellow Councillors, resignation of staff (at considerable expense)</p>	<p>1. High</p> <p>2. High</p> <p>3. High</p>	<p>1-3. All members to attend 'Being a Good Councillor' course as induction training. Compliance with Standing Orders. Respect for the Chair's control over meetings. Basic respect for others (other members, public and staff). All members are subject to the national Code of Conduct</p>	<p>1-3. Recent events indicate that existing procedures are inadequate. Current Complaints procedure muddles administrative complaints with complaints in respect of Member behaviour. Prior training to reduce risk. In the event of incidents, swift apology and or retraction may work. Mediation if agreed to. Complaints under Code of Conduct. Censure by the Council. Removal from Committees. Vote of no confidence. Revise Complaints procedure to cover administrative complaints only, and draft new Member/Officer Protocol.</p>
<p>Date of Approval : 10th July 2017</p> <p>Date Scheduled for Review: July 2018</p>		<p>Minute no:</p>		

RISK SCHEDULE ITEM	FREQUENCY	LAST REVIEWED	COMMENTS / ACTIONS
Assets inspection (N.B. physical inspection)	Annually		
Financial Matters Banking Arrangements Insurance Providers VAT return completed Budget agreed Precept requested: Bank reconciliation overseen by Councillors Staff salaries reviewed Internal check of payments/minutes/bank rec Internal audit External audit	Annually Annually Quarterly Annually Annually Monthly Annually Monthly Annually Annually	To be confirmed May 2017 Ongoing Dec 2016 Dec 2016 Ongoing September 2016 Ongoing 12 th April 2017 July 2017	3 year agreement due to expire 2018 CDC notified ASAP after Budget/Precept set Part of Annual staff appraisal and fed into Budget-setting process
Administration Minutes properly numbered Asset register available/updated Financial Regulations reviewed Standing orders reviewed Backups taken of computer records	Each meeting Annually Annually Annually Fortnightly	Internal Auditor, 12 th April 2017 15 th May 2017 15 th May 2017 15 th May 2017 Ongoing	Part of Internal Auditors standard check Regular item - Annual Meeting of the Council Regular item - Annual Meeting of the Council Regular item - Annual Meeting of the Council To be reviewed for improvement
Employers Responsibilities Contract of employment in place Contractors Indemnity Insurance	One off check One off check with each new contract	Done at start of employment, Ongoing	Confirmed when applying for LCAS Quality Award
Members' responsibilities Code of Conduct adopted Register of Interests completed and updated Register of Gifts/Hospitality Declarations of Interests minuted	One off On joining Council and within 28 days of changes Within 28 days At each formal meeting	Ongoing Ongoing Ongoing Ongoing	Personal/Individual duty for Councillors
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