

Quedgeley Town Council

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Working with the Community for the Community

TOWN COUNCIL RISK MANAGEMENT DOCUMENT (Appendix 7)

Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
FINANCE				
Precept (1)	Adequacy of precept in order for the Council to carry out its Statutory duties	L	<p>The Council receives budget update information monthly. When setting the budget, the report includes actual & projected position to the end of year and indicative figures or costing's obtained by the Clerk. With this information, the Council is able to decide the precept amount for the following year. It allows the budget sheet to include specific figures for specific projects, the total of which is resolved to be the precept amount to be requested from Gloucester City Council. The figure is submitted by the Clerk in writing.</p> <p>The Clerk informs the Council when the monies are received.</p>	Existing procedure adequate.
Financial Records (2)	Inadequate records Financial irregularities	L L	<p>The Council has a robust and effective system of internal control as required by law and in line with the Financial Regulations which are reviewed annually.</p>	<p>Existing procedure adequate</p> <p>Review the Financial regulations when necessary</p>

<p>Bank and banking (3)</p>	<p>Inadequate checks Banks mistakes</p>	<p>L L</p>	<p>These are set out in the Financial Regulations and regularity stipulated by Internal Controls. Accounts are held at a Town Council Approved National Bank. Monthly reconciliation</p>	<p>Existing procedure adequate Existing procedure adequate</p>
<p>Reporting and auditing (4)</p>	<p>Information communication</p>	<p>L</p>	<p>Financial information is supplied on a monthly basis to Finance Meetings. Items discussed/reviewed and approved at each meeting.</p>	<p>Existing procedures adequate.</p>
<p>Grants and support payable (5)</p>	<p>Power to pay Authorisation of Council to pay</p>	<p>L</p>	<p>All such expenditure goes through the required Council process of approval, minuted and listed accordingly.</p>	<p>Existing procedure adequate.</p>
<p>Best value accountability (6)</p>	<p>Work awarded Incorrectly. Overspend on services.</p>	<p>L M</p>	<p>Town Council practice would be to seek, if possible, more than one quotation for any substantial work to be undertaken. For major work competitive tenders would be sought in line with the rules for contracts in Standing Orders. If problems encountered with a contract the Clerk would investigate the situation and report to the Council.</p>	<p>Existing procedure adequate. Include when reviewing Financial regulations.</p>
<p>Salaries and assoc. costs (7)</p>	<p>Salary paid incorrectly. Unpaid Tax to Inland Revenue.</p>	<p>L L</p>	<p>Financial Controls in place to pay Salary and staff salaries agreed in line with Staffing Committee resolution and NALC paycales. Financial Controls in place to pay Inland Revenue</p>	<p>Existing procedure adequate.</p>

Employees (8)	Fraud by staff Health and safety	L L	Requirements of the Insurance adhered to with regards to fraud. All adhoc payments generated from QTC works order and reported via Internal Controls. All employees to be provided adequate direction and safety equipment needed to undertake their roles	Existing procedures adequate. Monitor health and safety requirements and insurance annually.
VAT (9)	Reclaiming/charging	L	VAT returns completed electronically on HMRC website and acknowledgement printed and kept in office. Subject to internal controls. The Council has Financial Regulations which set out the requirements.	Existing procedures adequate
QTC Loans (10)	High Interest Rates/non recognised lenders	L	All loans are taken out via PWLB and are subject to 2 signatures	Existing procedures adequate
Annual Return (11)	Submit within time limits	L	Employers Annual Return is completed and submitted online with the prescribed time frame by the Clerk. Annual Return completed and submitted to internal auditor for final completion and signing. Placed on Full Council agenda for signing by the council and then checked and sent to External Auditor within time frame.	Existing procedures adequate.
Employer Liability (12)	Misuse of HMRC website	L	Government Gateway ID in place.	Existing procedures adequate.
ADMINISTRATION				
Legal Powers (1)	Illegal activity or payments	L	All activity and payments within the powers of the Town Council to be resolved at Full Council Meetings.	Existing procedures adequate

<p>Minutes/agendas/ Notices Statutory Documents (2)</p>	<p>Accuracy and legality Loss of Information</p>	<p>L L L</p>	<p>Minutes and Agendas are produced in the prescribed manner by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair Information backed up and kept remotely.</p>	<p>Existing procedures adequate. Members adhere to Code of Conduct</p>
<p>Members interests (3)</p>	<p>Conflict of interests Register of members interests</p>	<p>L M</p>	<p>Declarations of interest by members at Council meetings. Disclosure of Pecuniary Interests Forms reviewed regularly.</p>	<p>Existing procedures adequate. Members take responsibility to update register.</p>
<p>Insurance (4)</p>	<p>Adequacy Cost Compliance Fidelity Guarantee</p>	<p>L L L M</p>	<p>An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity and within policies. Ensure compliance measures are in place. Fidelity checks in place. Membership of SLCC and NALC All users of Town Council buildings/play music etc have personal PRS insurance. Bouncy Castles are only permitted on receipt of adequate liability insurance.</p>	<p>Existing procedure adequate. Insurance reviewed annually.</p>

Data protection (5)	Policy provision	L	The Town Council is registered with the Data Protection Agency Leases and legal documents kept in safe place in Clerk's office. Legal documents where appropriate, scanned and kept electronically.	Ensure annual renewal of registration
Freedom of Information (6)	Policy Provision	L M	The Council has a Model Publication Scheme in place. To date there has been no requests under FOI. The Town Council is aware that if a substantial request came in it could create a number of additional hours work. The Town Council can request a fee to supplement the extra hours	Monitor any requests made under FOI
ASSETS				
Assets (1)	Loss or damage Risk/damage to third party (i.e.) property	L L	All buildings are alarmed All buildings are insured and value increased annually by RPI and annual meetings conducted between Insurer and Town Council. Key Holders are employed to secure all buildings at the end of each day. Nature Reserve/playparks/cemetery and allotments are subject to regular inspections which are then reported to R&A Committee on a monthly basis. Trees investigated and damage reported. CCTV in place	Existing procedures adequate

Maintenance (2)	Poor performance of assets or amenities	L	All assets owned by the Town Council are regularly reviewed and maintained. All repairs and relevant expenditure for any repair is actioned/authorised in accordance with the correct procedures of the Town Council. Assets are insured.	Existing procedures adequate
Health & Safety (3)	Risk of injury/public disorder	M	CCTV systems in place and monitored remotely by mobile phone. Doors are on a locking system which can only be opened by means of a fob or door code. Regular H&S checks of buildings.	
Notice Board (4)	Risk of damage	L	The Town Council manage multiple noticeboards. No formal inspection procedures are in place but any reports of damage or faults are reported to the Town Council and dealt with in accordance of the correct procedures of the Council.	Existing procedures adequate
TRANSPARENCY OF INFORMATION				
Meeting locations (1)	Adequacy Health & Safety	L M	The Town Council meeting is held in a venue considered to have appropriate facilities for the Clerk, members and the general public.	Existing procedures adequate
Council records – paper (2)	Loss through: Theft Fire damage	L M L	The copies of the Town Council paper records are stored at the home of the Chairman electronically. Records include historical correspondences, minutes, insurance, and bank records. The documents are stored on a USB Memory stick.	Damage (apart from fire) and theft is unlikely and so provision is adequate.
Council records – electronic (3)	Loss through: Theft, fire damage or corruption of computer	L M	The Town Council electronic records are stored on the Council computers. Offsite Back-ups of electronic data is made at regular intervals	Existing procedures considered adequate

Reviewed annually by Finance and General Purposes Committee/ Reviewed and agreed on 03/07/2017 – Minute Ref: F.059/17-18