



# MONMOUTH TOWN COUNCIL RISK MANAGEMENT POLICY

1. The council ensure that the necessary risk management systems are in place and all significant business risks are being managed effectively.
2. The Town Clerk or Responsible Financial Officer (RFO) will provide advice and guidance of the risks associated with operation and management decisions to the council.
3. The council will manage its risks utilizing the One Voice Wales Risk Assessment attached as Appendix 1.
4. In line with this policy a risk register will be maintained (at the end of the document).

## Appendix 1

### Monmouth Town Council –Annual Risk Assessment Last Full Review 11<sup>th</sup> May 2020

CQ=CONSEQUENCE, LK=LIKELIHOOD, H=HIGH, M=MEDIUM, L=LOW

1. The Protection of Physical Assets owned by the Council (Loss or Damage):					
AREA/RISK	CQ	LK	RISK PRIMARILY MANAGED BY:	MTC ADDITIONAL MEASURES/CONTROLS	ADDITIONAL MEASURES IDENTIFIED
<b>1.1 Town Field</b>	M	L	Insurance -annually reviewedby Council	<ul style="list-style-type: none"><li>• Dedicated as “Queen Elizabeth II Fields in Trust” Status to protect as public space</li></ul>	<ul style="list-style-type: none"><li>• Councillors regularly inspect and report on physical assets within their wards</li><li>• Area mown and inspected by MCC contractors</li><li>• Tree survey undertaken on an annual basis.</li></ul>
<b>1.2 Drybridge Play Area</b> <ul style="list-style-type: none"><li>• Vandalism/Fire</li></ul>	H	L	Insurance -annually reviewed by Council.	<ul style="list-style-type: none"><li>• Insurance updated 2011 to include specific equipment costs</li><li>• Fencing to prevent vehicle access</li></ul>	<ul style="list-style-type: none"><li>• Regular inspection undertaken by MCC on behalf of MTC and any emergency repairs completed. Other repairs carried out as and when.</li></ul>

				<ul style="list-style-type: none"> <li>• New playground surface 2016/17</li> <li>• EMR Strategy for provision for replacement of surface and equipment over 5 years</li> </ul>	
<b>1.3 Litter Bins.</b> <ul style="list-style-type: none"> <li>• Vandalism/Fire</li> </ul>	L	L	Council decision not to include physical replacement on insurance (excess not warranted) (August 2011)	<ul style="list-style-type: none"> <li>• EMR Strategy for provision for repair and replacement</li> </ul>	
<b>1.4 Dog Waste bins</b> <ul style="list-style-type: none"> <li>• Vandalism/Fire</li> </ul>	L	L	Public liability insurance cover in place.	<ul style="list-style-type: none"> <li>• Council decision not to include physical replacement on insurance (excess not warranted)</li> <li>• EMR Strategy provision for repair/replace (Dog Waste Bins)</li> </ul>	<ul style="list-style-type: none"> <li>• Full numbering system and plotting on Google Maps by office.</li> <li>• Stickers with numbers and office contact numbers placed by Ward member</li> <li>• Weekly emptying of bins undertaken by contractor on behalf of MTC</li> </ul>

<p><b>1.5 Benches</b></p> <ul style="list-style-type: none"> <li>• Vandalism/Fire</li> </ul>	L	M	<p>Council decision not to include physical replacement on insurance (excess not warranted) (Aug 2011)</p>	<ul style="list-style-type: none"> <li>• EMR Strategy provision for repair/replace (Street Furniture)</li> </ul>	<ul style="list-style-type: none"> <li>• Councillors regularly inspect and report on physical assets within their wards</li> <li>• Bench Audit carried out in 2022 – list of refurb required to be discussed and agreed</li> </ul>
<p><b>1.6 Floral Planters/ Raised Beds</b></p> <ul style="list-style-type: none"> <li>• Vandalism/Fire</li> </ul>	L	L	<p>Council decision not to include physical replacement on insurance(excess not warranted) (August 2011)</p>	<ul style="list-style-type: none"> <li>• EMR Strategy provision for repair/replace (Planter Replacement)</li> </ul>	<ul style="list-style-type: none"> <li>• New 4 year floral contract in place from oct 22 with increased contractor responsibilities</li> <li>• All four planters on entrance to town to be replaced in spring 2023. Already purchased.</li> </ul>

<b>1.7 Christmas Lights and Pennants and Banners</b> <ul style="list-style-type: none"> <li>• Vandalism/ other damage</li> </ul>	H	L	Insurance -annually reviewed by Council.	<ul style="list-style-type: none"> <li>• Installed and removed by external contractors and are hired lights as of new contract for 21-26</li> </ul>	<ul style="list-style-type: none"> <li>• Christmas lighting anchor points and catenary wires inspected as included in contract specification</li> </ul>
<b>1.8 Mayoral Regalia</b> <ul style="list-style-type: none"> <li>• Damage/stolen</li> </ul>	H	L	Insurance -annually reviewed by Council.	<ul style="list-style-type: none"> <li>• Insurer informed/consulted if taken abroad</li> <li>• Fire and intruder alarms operational in Shire Hall (MCC)</li> </ul>	<ul style="list-style-type: none"> <li>• Vigilance and care by Mayor /Deputy/Clerk</li> <li>• Photographic record taken of all pictures</li> <li>• Mayor's Parlour and cupboard kept locked (unless being used)during Shire Hall opening times</li> <li>• Revalue to be carried out Nov 29<sup>th</sup> 22-23</li> </ul>

<b>1.9 Office/ Mayors Parlour general furniture and paintings</b> <ul style="list-style-type: none"> <li>• Damage/stolen</li> </ul>	L	L	Insurance -annually reviewed by Council.	<ul style="list-style-type: none"> <li>• Fire and intruder alarms operational in Shire Hall</li> </ul>	<ul style="list-style-type: none"> <li>• Photographic record ongoing as stored within Shire Hall securely</li> <li>• Mayor's Parlour and cupboard kept locked(unless being used) during Shire Hall opening times</li> </ul>
<b>1.10 Agincourt Street Public Conveniences</b> <ul style="list-style-type: none"> <li>• Vandalism</li> </ul>	M	M	Insurance -annually reviewed by Council.	<ul style="list-style-type: none"> <li>• Call-out/urgent repair contract with MCC</li> <li>• Service contract with MCC notice of maintenance required</li> </ul>	<ul style="list-style-type: none"> <li>• List of repairs and refurb carried out and completed 2022.</li> <li>• To be revalued 2022-23?</li> </ul>

**2. The risk of damage to third party property or individuals as a consequence of the council providing services or amenities to the public (Public Liability):**

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RISK	CQ	LK	RISK PRIMARILY MANAGED BY:	MTC ADDITIONAL MEASURES/CONTROLS	ADDITIONAL MEASURES IDENTIFIED
<p><b>2.1 Town Field</b></p> <p>Injury to member of Public</p> <ul style="list-style-type: none"> <li>• Slips/trips/falls</li> <li>• Injury from Moving debris from machinery(eg mower, chainsaw)</li> <li>• Injury/drowning in adjacent river</li> </ul>	H	L	Public liability insurance cover in place.	<ul style="list-style-type: none"> <li>• Field inspected and maintained regularly by MCC as contractor for Town Maintenance</li> <li>• Pathway maintained without easy access route to river</li> <li>• Lifebelt provided on riverbank, inspected regularly</li> <li>• Tree survey &amp; report Carried out annually</li> </ul>	<ul style="list-style-type: none"> <li>• Weekly inspection checks by MCC (Grounds Maintenance SLA)</li> <li>• Redundant skateboard park facilities now removed by MCC.</li> <li>• Ongoing debate about reinstatement of area use</li> </ul>
<p><b>2.2 Drybridge Play Area</b></p> <p>Injury to member of Public</p> <ul style="list-style-type: none"> <li>• Slips/trips/falls</li> <li>• Injury from faulty equipment</li> <li>• Play area contaminated by waste from bin/other debris</li> <li>• Injury to member of public during maintenance work</li> <li>• Play area flooding</li> </ul>	H	L	Public liability insurance cover in place	<ul style="list-style-type: none"> <li>• Weekly checks made by contractor MCC and records kept by Town Clerk</li> <li>• Contract in place with Zurich Engineering for annual inspection of equipment and play area.</li> <li>• No maintenance work carried out whilst public in vicinity</li> </ul>	<ul style="list-style-type: none"> <li>• Play area equipment repainted in 2020</li> <li>• Items of equipment replaced in 2020 as per identified in report</li> <li>• Tree inspection in vicinity carried out by MCC as contractor</li> <li>• Any urgent repairs identified carried out immediately</li> <li>• No smoking sign implemented in Feb 21 as per govt. requirements</li> <li>• Gate re- sited in 2020 to remove possibility of public slipping on flooded area</li> </ul>

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<ul style="list-style-type: none"> <li>• Injury from moving vehicles in school area</li> </ul>				<ul style="list-style-type: none"> <li>• Fencing around play area to prevent vehicle and animal access</li> <li>• Play area completely resurfaced with appropriate new safety surfacing Nov 16.</li> <li>• Bench re-sited to allow easier visibility/supervision of children whilst playing</li> <li>• New accessible swing unit supplied and fitted for inclusive access to facilities</li> </ul>	
<p><b>2.3 Litter Bins</b></p> <p>Injury to member of Public</p> <ul style="list-style-type: none"> <li>• Damaged bin</li> <li>• Sharps/hazardouswaste present</li> </ul>	M	L	Public liability insurance cover in place.	<ul style="list-style-type: none"> <li>• Litter bins installed/maintained by reliable contractor (MCC)</li> <li>• External contract (MCC) in place with reliable contractor for weekly/daily empty-four bins in Blestium St, Portal Rd, Kings Fee and Beech Road</li> <li>• Police/MCC Emergency contact for hazardous waste.</li> </ul>	

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<p><b>2.4 Dog Waste bins</b></p> <p>Injury to member of Public</p> <ul style="list-style-type: none"> <li>• Damaged bin</li> <li>• Sharps/hazardouswaste present</li> </ul>	M	L	Public liability insurance cover in place.	<ul style="list-style-type: none"> <li>• External contract in place for regular/weekly empty</li> <li>• Police/MCC Emergency contact for hazardous waste</li> </ul>	<ul style="list-style-type: none"> <li>• Councillors regularly inspect and report on any damage within their wards</li> <li>• Dog waste contractor credentials/insurance checked and reported F and P Committee</li> <li>• Contractor to report any damage observed</li> <li>• Location map on google maps has been put in place and all bins have been numbered and stickers produced with MTC contact details</li> </ul>
<p><b>2.5 Benches</b></p> <p>Injury to member of Public</p> <ul style="list-style-type: none"> <li>• Damaged plinths/slats in bench</li> <li>• Footings damaged or unsecure</li> </ul>	L	L	Public liability insurance cover in place		<ul style="list-style-type: none"> <li>• Councillors generally inspect and report on any damage within their wards.</li> <li>• Benches formally inspected and recorded by maintenance contractor (MCC) bi- monthly.</li> </ul>
<p><b>2.6 Floral Planters/Raised Beds</b></p>					

Injury to member of Public	L	L	Public liability insurance cover in place.	<ul style="list-style-type: none"> <li>External contract in place to plant and maintain beds. External contractor insurance in place</li> <li>Regular inspections made by Town Maintenance working group members</li> <li>Any physical repairs required made by contractor/MCC Town Maintenance</li> </ul>	<ul style="list-style-type: none"> <li>Contract renewed for four years in 2022</li> <li>Councillors regularly inspect and report on any damage within their wards, working group in place to update.</li> <li>Some planters in view of CCTV cameras</li> </ul>
<b>2.7 Christmas Lights</b> Injury to member of Public	M	M	Public liability insurance cover in place	<ul style="list-style-type: none"> <li>External contractors insurance/certifications in place</li> </ul>	<ul style="list-style-type: none"> <li>5 + 1 year contract awarded in 2021 for hire of lights</li> <li>Christmas lighting fixings/anchor points inspected and tested and inspected annually as per contract</li> </ul>
<b>2.8 – Agincourt St /Blestium St Toilets</b>	M	L	Public liability insurance cover in place.	<ul style="list-style-type: none"> <li>External contracts with MC</li> </ul>	<ul style="list-style-type: none"> <li>Daily cleaning carried out by MCC Contractor including emptying of bins</li> </ul>

<b>Injury to member of public</b>			Agincourt Street on the asset list and covered by Public Liability  Blestium St toilets under MCC ownership	<ul style="list-style-type: none"> <li>• Call-out/urgent repair contract with MCC</li> <li>• Service contract with MCC notice of maintenance required</li> </ul>	<ul style="list-style-type: none"> <li>• General maintenance/repair is contracted out to MCC.</li> <li>• Asbestos survey carried out in 2013</li> </ul>
<b>2.9 Mayoral Regalia</b>  Injury to member of Public	L	L	Public liability insurance cover in place.		<ul style="list-style-type: none"> <li>• Vigilance and care by Mayor/Deputy/Clerk</li> <li>• Any damage to be recorded and repaired as necessary</li> <li>• Mayor's discretion on safety of occasion for wearing regalia</li> <li>• (Personal safety and physical damage to chain)</li> </ul>

<b>2.10 Offices/ Mayors Parlour general furniture and paintings</b>  Injury to member of Public/staff	L	L	Public liability insurance cover in place.	<ul style="list-style-type: none"> <li>Regular inspections of electrical equipment (MCC Shire Hall shared facilities)</li> <li>Maintenance contracts in place for IT equipment.</li> </ul>	<ul style="list-style-type: none"> <li>Mayor's Parlour chairs repaired and re-upholstered (2012)</li> <li>Further repairs identified and Completed Dec 2013</li> <li>Visual inspections ongoing.</li> </ul>

<b>3. The risk of Consequential loss of income or the need to provide essential services following critical damage, loss or non-performance by a third party (consequential loss)</b>					
<b>RISK</b>	<b>CQ</b>	<b>LK</b>	<b>RISK PRIMARILY MANAGED BY:</b>	<b>MTC ADDITIONAL MEASURES/CONTROLS</b>	<b>ADDITIONAL MEASURES IDENTIFIED</b>
<b>3.1</b> Annual review of risk and adequacy of cover. Ensuring the robustness of insurance providers	L	L	Insurance provision in place	<ul style="list-style-type: none"> <li>Use of recognised suppliers</li> <li>Ensure contractors have appropriate insurance</li> </ul>	<ul style="list-style-type: none"> <li>Obtain references for new suppliers</li> <li>Re-appraise contracts/suppliers regularly</li> </ul>
<b>3.2</b> Financial risk of non-receipt of precept	H	L	General reserves availability in emergency/unforeseen circumstances	<ul style="list-style-type: none"> <li>Maintenance of agreed level of general reserves to cover</li> </ul>	Currently no borrowing- any future should be subject to financial risk identification

				<p>essential budget commitments</p> <ul style="list-style-type: none"> <li>• Ear marked reserves held for specific projects</li> </ul>	
<p><b>3.3</b> Financial risk of institution failure and protection of MTC funds</p>	H	L	<p>FSCS protects council funds up to £85000 per institution</p> <p>If over 500000 euros, not protected above that amount</p>	<ul style="list-style-type: none"> <li>• Spread funds around different banking institutions in order to mitigate risk and maximise income.</li> </ul>	<ul style="list-style-type: none"> <li>• Moved funds from Lloyds bank to Monmouthshire Building Society in 2020 and 2021</li> <li>• Investment Strategy Policy set up in 2021</li> <li>• Moved funds to the CCLA Public Sector Deposit Fund in 2022</li> </ul>

#### 4. Loss of cash through theft or dishonesty

RISK	CQ	LK	RISK PRIMARILY MANAGED BY:	MTC ADDITIONAL MEASURES/CONTROLS	ADDITIONAL MEASURES IDENTIFIED
<p>4.1 Annual review of risk and adequacy of cover</p> <p>Implemented recommendations of internal/external auditors</p>	H	L	Insurance (fidelity) provision in place	<ul style="list-style-type: none"> <li>• Requirement for all payments to be signed/authorised by 2 signatories of one member and Clerk/Member on checking invoice/voucher</li> <li>• All invoices checked and signed by two councillors and payments approved at committee</li> <li>• Bank reconciliations reported regularly to council and checked by councillors</li> </ul>	<ul style="list-style-type: none"> <li>• Introduction of debit card payments in 2021 with Internal Controls document reviewed by internal auditor</li> <li>• Payments authorized by TC/RFO and one councillor</li> <li>• BACS to be investigated</li> </ul>

				<ul style="list-style-type: none"> <li>• Schedule of all payments presented to council regularly</li> <li>• Standing Orders/Financial Regulations reviewed every 12 months. Latest Standing Orders reviewed annually Financial Regulations reviewed annually</li> </ul>	
4.2 Risk of bank no longer accepting cheques	L	L	Card use/BACS/CHAPS payments	<ul style="list-style-type: none"> <li>• Now all payments electronic unless cheque requested.</li> <li>• All accounts checked as genuine by bank before release</li> </ul>	

**5. Legal Liability as a consequence of asset ownership (public liability)**

RISK	CQ	LK	RISK PRIMARILY MANAGED BY:	MTC ADDITIONAL MEASURES/CONTROLS	ADDITIONAL MEASURES IDENTIFIED
Annual review of risk and adequacy of cover	L	L	Insurance provision in place	Inspections made and recorded on physical condition of assets	

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## 6. Legal Liability as a consequence of slander, libel, defamation or bullying of the Council, Councillors, or Officers (public liability)

RISK	CQ	LK	RISK PRIMARILY MANAGED BY:	MTC ADDITIONAL MEASURES/CONTROLS	ADDITIONAL MEASURES IDENTIFIED
Financial, reputation, legal, personal	M	M	Staff risk aware. Code of conduct. Press releases and publications reviewed by Town Clerk before publication	Councillors made aware of risk management by adoption of risk management strategy.	Staff training to be reviewed.

## 7. Loss of delivery of service

RISK	CQ	LK	RISK PRIMARILY MANAGED BY:	MTC ADDITIONAL MEASURES/CONTROLS	ADDITIONAL MEASURES IDENTIFIED
Risk of loss of standard and quality of service due to loss of key staff	M	M	<ul style="list-style-type: none"> <li>Organisation structure in place.</li> </ul>	<ul style="list-style-type: none"> <li>Employment contracts with notice periods.</li> <li>All staff have job descriptions &amp; work lists. Staff development training relevant to the role undertaken to enable cover.</li> <li>Option to use short term vacancy cover</li> </ul>	<ul style="list-style-type: none"> <li>Written office procedures to be put in place in 2022/23</li> <li>EMR for Staff Absence Contingency in place</li> </ul>

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				from suitably qualified professional via contacts with SLCC	
Risk of loss of service due to IT breakdown or loss of key passwords, staff or administration users	<b>H</b>	<b>L</b>	<ul style="list-style-type: none"> <li>IT Contractor in place</li> <li>Contract with Microshade who provide hosting service</li> </ul>	<ul style="list-style-type: none"> <li>IT contractor engaged on payment of support in lump sum up front.</li> <li>Appointment of Microshade for all services therefore more secure</li> </ul>	<ul style="list-style-type: none"> <li>Properly managed procedures and instructions</li> <li>Training of key staff to understand IT set up and for knowledge to be cascaded to other staff</li> </ul>

**(TABLE 2) Areas where there may be scope to work with a third party to help manage risk**

<b><i>Practitioners' Guide Recommended Internal Controls:</i></b>	<b>Monmouth Town Council:</b>
<i>Standing Orders and financial regulations</i>	Reviewed every 12-months, last reviewed 2022
<i>Regular reporting on performance by suppliers/contractors/providers</i>	Reported to Committees with delegated responsibility for contract
<i>Annual review of contract</i>	Reviewed annually
<i>Clear statements of management responsibility for each service</i>	Within the contract documents
<i>Regular scrutiny of performance against targets</i>	Staff appraisal, contract conditions/specifications introduced with advice by Worknest – HR/H & S consultants
<i>Adoption of and adherence to codes of practice for procurement and investment</i>	Standing Orders/Financial regulations
<i>Arrangements to detect and deter fraud and/or corruption</i>	Internal and external audits, bank reconciliations approved at Full Council and F & P, all payments reviewed at each Committee meeting
<i>Regular bank reconciliation, independently reviewed</i>	Monthly bank reconciliations for all cash books verified by council and random checks carried out by councillor

<b>1.Security for vulnerable buildings, amenities or equipment</b>	M	L	<ul style="list-style-type: none"> <li>Contracted out to principal authority/owners (Shire Hall)</li> </ul>		External audit undertaken by EW.
<b>2. Maintenance for vulnerable buildings, amenities or equipment</b> <i>Annual review of contract Regular reporting on performance by suppliers/contractors/providers Adoption of and adherence to codes of practice for procurement and investment Standing Orders and financial regulations</i>	L	L	<ul style="list-style-type: none"> <li>Contracted out to principal authority/owners (Shire Hall)</li> <li>Maintenance of Drybridge Play area and Town Field – MCC contracted</li> </ul>		Standing Orders and Financial regulations adopted and reviewed annually
<b>3.The provision of services being carried out under agency/partnership agreements with principal authorities</b> <i>Clear statements of management responsibility for each service</i>	L	L	<ul style="list-style-type: none"> <li>MCC –various</li> <li>Torfaen CBC Pension fund and purchasing</li> </ul>		<ul style="list-style-type: none"> <li>Shire Hall Service Level Agreement confirmed and renewed for 10 years from 2022.</li> <li>Staff aware of their rights under the Pension Act of 2016 to choose their pension arrangements and direct online access to Pension providers available.</li> <li>Review of pension discretions to be carried out</li> </ul>

<b>4. Banking arrangements, including borrowing or lending</b> <i>Regular bank reconciliation, independently reviewed and reported regularly to Finance and Audit Committee</i>	M	L	<ul style="list-style-type: none"> <li>• Bank</li> <li>• Advice from One Voice Wales, SLCC, Internal auditor</li> </ul>	<ul style="list-style-type: none"> <li>• Standing Orders (33) and Financial Regs reviewed and adopted</li> </ul>	<ul style="list-style-type: none"> <li>• Very low level of income banked</li> <li>• References in place for all staff</li> <li>• Banking undertaken within 2 days and separation of duties exist</li> </ul>
<b>5. Ad hoc provision of amenities /facilities for events to local community groups N/A</b>					
<b>6. Markets management N/A</b>					
<b>7. Vehicle or equipment lease hire N/A</b>					
<b>8. Trading units (leisure centres, playing fields etc)</b>  <b>Town Field</b> <i>Clear statements of management responsibility for each service</i>	M	L	<ul style="list-style-type: none"> <li>• User provides event risk assessment and insurance confirmation</li> <li>• Requests for use made to Council</li> </ul>	<ul style="list-style-type: none"> <li>• Vehicle access gated</li> </ul>	Copies of Insurance and Risk assessments to be provided to Council by users.
<b>9. Professional services (architects, planning, accountancy etc)</b> <i>Clear statements of management responsibility for each service</i> <i>Annual review of contract</i>	L	L	<ul style="list-style-type: none"> <li>• MCC contracts</li> <li>• Salary payments contracted out</li> </ul>	<ul style="list-style-type: none"> <li>• Access to wide range of MCC professional services for advice</li> <li>• GPDR advice provided from Worknest</li> <li>• HR Advice provided by Worknest</li> <li>• Legal Advice provided by One Voice Wales</li> </ul>	

<b>10. Long term provision of Council accommodation after 10 years</b>	M	M	<ul style="list-style-type: none"> <li>New SLA drawn up for 10 years from 2022 with MCC for use of the Shire Hall</li> </ul>	<ul style="list-style-type: none"> <li>MTC have right to office within the Shire Hall in law</li> </ul>	
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**(TABLE 3) Areas where it may be better to self manage the risk**

<b><i>Practitioners' Guide Recommended Internal Controls:</i></b>	<b>Monmouth Town Council:</b>
<i>Regular scrutiny of financial records and proper arrangements for the approval of expenditure</i>	Financial regulations within Standing Orders
<i>Recording in the minutes the precise powers under which expenditure is being approved</i>	
<i>Regular returns to HM Revenue and customs, contracts of employment for all staff, annually reviewed by the council, systems of updating records for any change in relevant legislation</i>	Carried out by Payroll Contractor and HR Advisor

<i>Regular returns of VAT, training the RFO in the matters of VAT and other taxation issues</i>	RFO completes, checked by Chair F & P and Full Council
<i>Regular budget monitoring statements</i>	Reported at every Finance and Policy Committee meeting and other committee meetings
<i>Developing systems of performance measurement</i>	Staff Appraisal – undertaken by the Proper Officer/s for Support Officer and by the Chair of F & P for the Proper Officers with advice from Worknest
<i>Procedures for dealing with and monitoring grants or loans made or received</i>	Grant applications undertaken and check list completed by the working group as to the legalities
<i>Minutes properly numbered and paginated with a master copy kept in safekeeping</i>	Modern.Gov system auto numbering and all checked by Proper Officers before publishing

<i>Documented procedures to deal with enquiries from members of the public</i>	All enquiries through the Town Clerk email and documented via email
<i>Documented procedures to deal with responses to consultation requests</i>	All passed to appropriate committee with date of response required
<i>Documented procedures for document receipt, circulation response, handling and filing</i>	All documents listed on correspondence and scanned for archive. Big scanning exercise carried out in 2022 and paper documents not required for retention, shredded and destroyed
<i>Procedures in place for recording and monitoring Members' interests and Gifts and Hospitality received</i>	Registers held
<i>Adoption of Codes of Conduct for members and employees</i>	Agreed with acceptance of office and in year reminder on the Code of Conduct

## RISK REGISTER

RISK	C	L	RISK PRIMARILY MANAGED BY:	MTC ADDITIONAL MEASURES/CONTROLS	ADDITIONAL MEASURES IDENTIFIED
<p>1.Keeping proper financial records in accordance with statutory requirements</p> <p><i>Regular scrutiny of financial records and proper arrangements for the approval of expenditure</i></p>	M	L	<ul style="list-style-type: none"> <li>Recognised computerised Finance system (RBS)</li> <li>Membership of SLCC and One Voice Wales as sources of advice</li> <li>Recognised use of Microshade for all correspondence and operational processes</li> <li>Use of Modern.Gov for all agendas and minutes and registers</li> </ul>	<ul style="list-style-type: none"> <li>Regular financial reports to Finance and Policy Committee</li> <li>Support for on-going training to ensure members/staff are aware of changes to requirements/good practice etc.</li> </ul>	<ul style="list-style-type: none"> <li>Movement over to BACS to be reviewed</li> </ul>
<p>2.Ensuring all business activities are within legal powers applicable to local councils</p> <p><i>Recording in the agenda and minutes the precise powers under which expenditure is being approved</i></p>	M	L	<ul style="list-style-type: none"> <li>Council</li> <li>Membership of SLCC</li> <li>Membership of One Voice Wales as sources of advice</li> <li>Support for Clerk to become CiLCA qualified</li> <li>Support for office staff on ILCA and FILCA qualification</li> </ul>	<ul style="list-style-type: none"> <li>Support for on-going training to ensure members/staff are aware of changes to requirements/good practice etc</li> </ul>	<ul style="list-style-type: none"> <li>Precise powers under which non routine expenditure is approved to be recorded in minutes</li> <li>Important to record the s137 expenditure</li> <li>Support for ongoing training to ensure staff are aware of the changes and best practice guides</li> </ul>



<p><b>3.Complying with restrictions on borrowing</b></p> <p><i>Procedures for dealing with and monitoring</i></p>	L	L	<ul style="list-style-type: none"> <li>• Council</li> <li>• Membership of One Voice Wales/SLCC as sources of advice</li> <li>• Bank</li> </ul>	<ul style="list-style-type: none"> <li>• Standing Orders (33) procedures in place</li> </ul>	
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<i>grants or loans made or received</i>					
<p><b>4.</b> Ensuring that all requirements are met under employment law and regulations</p> <p><i>Regular returns to HM Revenue and customs, contracts of employment for all staff , annually reviewed by the council, systems of updating records for any change in relevant legislation</i></p> <p><i>Regular returns of VAT, training the RFO in the matters of VAT and other taxation issues</i></p>	H	L	<ul style="list-style-type: none"> <li>• Council</li> <li>• Membership of One Voice Wales/SLCC</li> </ul>		<ul style="list-style-type: none"> <li>• New 3 year Contract HR/Personnel consultancy service in Jan 2022 to ensure current best practice and legal requirements in place</li> </ul>
<p><b>5.</b>Ensuring all requirements are met under HM Revenue and Customs notices and regulations (Income Tax, National Insurance, and VAT)</p>	M	L	<ul style="list-style-type: none"> <li>• Council</li> <li>• Membership of One Voice Wales/SLCC as sources of advice</li> <li>• Salary payments contracted out</li> </ul>	<ul style="list-style-type: none"> <li>• VAT returns submitted quarterly and approved at Full Council</li> <li>• Regular reporting of payments and VAT reclaimed</li> </ul>	<ul style="list-style-type: none"> <li>• HR/Personnel consultancy service contracted in 2022 for 3-year contract</li> </ul>

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<i>Regular returns of VAT, training the RFO in the matters of VAT and other taxation</i>					
<b>6.</b> Ensuring the adequacy of the annual precept within sound budgeting arrangements  <i>Regular budget monitoring statements</i>	M	L	<ul style="list-style-type: none"> <li>• Council</li> <li>• Regular budget monitoring reports to Committees and all to Finance and Policy Committee</li> </ul>	<ul style="list-style-type: none"> <li>• Report on Reserves made to Finance and Policy Committee at least twice yearly</li> <li>• Adequate reserves maintained between 33 and 100% of precept</li> <li>• 5 year EMR strategy plan drawn up in 2022</li> </ul>	
<b>7.</b> Monitoring of performance against agreed standards under partnership agreements  <i>Developing systems of performance measurement</i>	L	L	<ul style="list-style-type: none"> <li>• Council</li> </ul>	<ul style="list-style-type: none"> <li>• Maintenance contracts performance specifications</li> </ul>	All contracts reviewed on annual basis
<b>8.</b> Ensuring the proper use of funds granted to local community	M	M	<ul style="list-style-type: none"> <li>• Council</li> <li>• Community Grants Scheme</li> </ul>		Reported as required re the section 137 expenditure limits

bodies under specific powers or under section 137  <i>Procedures for dealing with and monitoring grants or loans made or received</i>			procedure/criteria in place to ensure proper use of grants		
<b>9.</b> Proper timely and accurate reporting of council business in the minutes  <i>Minutes properly numbered and paginated with a master copy kept in safekeeping</i>	L	L	<ul style="list-style-type: none"> <li>• Council</li> <li>• Minutes sequentially numbered automatically</li> </ul>	<ul style="list-style-type: none"> <li>• All minutes and financials agreed and signed at following meeting</li> </ul>	
<b>10.</b> Responding to electors wishing to exercise their rights of inspection  <i>Documented procedures to deal with enquiries from members of the public</i>	M	L	<ul style="list-style-type: none"> <li>• Council</li> <li>• Correspondence reported to Council</li> <li>• Office hours advertised</li> <li>• Appropriate notices displayed</li> </ul>		<ul style="list-style-type: none"> <li>• Freedom of Information Act document retention policy to be reviewed</li> <li>• Procedures for dealing with enquires to be documented and monitored</li> </ul>
<b>11.</b> Meeting the laid down timetables when	M	L	<ul style="list-style-type: none"> <li>• Council</li> </ul>	<ul style="list-style-type: none"> <li>• Town Council /committee meetings</li> </ul>	<ul style="list-style-type: none"> <li>• Procedures for dealing with responses to</li> </ul>

<p>responding to consultation invitation</p> <p><i>Documented procedures to deal with responses to consultation requests</i></p>			<ul style="list-style-type: none"> <li>• Consultative documents reported to appropriate Committee or Full Council stating response date</li> </ul>	<p>work on 4/6 week cycle, so some delays possible. Consultation invitees informed, or extra meetings called if necessary.</p>	<p>consultation papers to be documented and monitored</p>
<p><b>12.</b> Proper document control</p> <p><i>Documented procedures for document receipt, circulation response, handling and filing</i></p>	H	L	<ul style="list-style-type: none"> <li>• Council</li> <li>• The majority of correspondence received by email</li> </ul>		
<p><b>13.</b> Register of Members' interests, gifts and hospitality complete, accurate and up to date</p> <p><i>Procedures in place for recording and monitoring Members' interests and Gifts and Hospitality received</i></p>	L	L	<ul style="list-style-type: none"> <li>• Council</li> <li>• Register of Interests, Gifts, Hospitality maintained</li> </ul>	<ul style="list-style-type: none"> <li>• Registration of Interest forms completed as made, published on website</li> </ul>	<ul style="list-style-type: none"> <li>• Register of interests of Cllrs published on The Town Council website.</li> </ul>

<p><b>14.</b> Adoption of codes of conduct for members and employees</p> <p><i>Adoption of Codes of Conduct for members and employees</i></p>	L	L	<ul style="list-style-type: none"> <li>• Council</li> <li>• Members code of conduct formally adopted and accepted by members with acceptance of office, as amended 2016 (Wales) adopted Dec 2016</li> <li>• Staff code of conduct automatically applied</li> </ul>	<ul style="list-style-type: none"> <li>• Copy of Code of Conduct issued to all members and acceptance signed and agreed</li> <li>• Complaints procedure within Standing Orders</li> </ul>	<ul style="list-style-type: none"> <li>• Copy of Code of Conduct issued to all members and acceptance signed and reminder issued in May 2017 on the code.</li> <li>• Complaints Policy and procedure adopted in 2022.</li> </ul>
<p><b>15. GDPR Consideration</b></p>	H	M	<ul style="list-style-type: none"> <li>• Council Members and Office Staff</li> <li>• An awareness of the legal obligation</li> <li>• Computer usage policy in place.</li> <li>• Staff policy for Data Protection and use of personal data.</li> <li>• Annual renewal of registration with Information Commissioners Office</li> </ul>	<ul style="list-style-type: none"> <li>• Training for officers</li> <li>• Cascade information from training to Council Members</li> <li>• Firewall in place on network – managed by IT contractor</li> <li>• Home working policy</li> <li>• Freedom of Information Policy, procedure and information request log in place.</li> <li>• Charging policy and fee notice for large amounts of information.</li> </ul>	<ul style="list-style-type: none"> <li>• Update training regularly</li> </ul>
<p><b>16.</b> Ensuring security and provision of council funding</p>	H	L	<ul style="list-style-type: none"> <li>• Council</li> <li>• Officers monitoring financial accounts</li> <li>• FSCS £85000 per institution protection</li> </ul>	<ul style="list-style-type: none"> <li>• General reserve levels sufficient to provide basic and essential budget commitments</li> <li>• EMRs for specific</li> </ul>	

				<p>projects</p> <ul style="list-style-type: none"><li>• Actions to increase spread of council funds required</li><li>• CCLA public Sector Deposit fund account opened in 2022</li></ul>	
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# Version Control

No	Reason for change	Amendments Made	Date	Initials
1	Full Review	Adoption of OVW template document	16/09/2019	SJ
2	Created 27/01/2020	Updated with GDPR	11/05/20	SJ
3	Amended	Updated with loss due to libel, slander, defamation, bullying, IT breakdown and loss of key staff	02/03/21	PH
4	Amended	Updated with all amendments from FC on 24.01.22 plus required updates	18/02/22	PH
5	Amended	Updated on 22 <sup>nd</sup> November 2022 for adoption at FC	28/11/22	PH