

SAXMUNDHAM TOWN COUNCIL ASSESSMENT OF MANAGEMENT RISKS

| SUBJECT: | NO. | RISK IDENTIFIED | POTENTIAL IMPACT (H/M/L) | LEVEL OF RISK (H/M/L) | MANAGEMENT/CONTROL OF RISK | REVIEW/ASSESS/REVISE |
|--------------------------------|-----|----------------------------------------------------------------------------------|--------------------------------|-----------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| BUSINESS CONTINUITY | 1. | Council unable to continue business as a result of an unexpected or tragic event | H | L | All files and recent records are retained at the council's office. There is a secure, cloud-based IT system for digital records. Paper documents, both current and archived, are filed in the Market Hall and Saxmundham Old Police Station. | Review regular updating of user passwords. Personnel files are stored in locked, metal filing cabinet. All other paper-based documentation has been reviewed but historical documentation is yet to be logged and archived appropriately. Assistant clerk and clerk share information about each other work |
| BUSINESS CONTINUITY | 2 | Town Clerk temporarily absent or otherwise unable to carry out duties. | H | M | In the event of the clerk being indisposed the assistant town clerk will provide clerical support. An operational plan is in place including temporary clerical support. | Ensure that both members of staff have reasonable day-to-day experience of all systems to ensure continuity. Training plan to include RBS financial system and CILCA training. |
| BUSINESS CONTINUITY | 3. | Council records: Loss through damage, fire or theft | H | L | IT system files are backed-up using a cloud-based system. This occurs at file creation and updating. See Business Continuity 1. | Also refer to Business Continuity 1. Provide an emergency contingency plan. |
| BUSINESS CONTINUITY | 4 | Access to confidential information by non-authorised personnel. | M | L | Only the town clerk, the assistant town clerk and the IT administrator have access to the IT system. | Password updating procedure in place with our IT support. Passwords to be securely stored in case of emergency. See Financial Regulations. Cabinets/Offices to be locked when Clerk/Assistant Clerk not present. |

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| BUSINESS CONTINUITY | 5 | Meeting location adequacy: Health and Safety | H | L | Full Council meetings are held in the Market Hall. Committee meetings are held either in the Market Hall or Saxmundham Old Police Station. The clerk and assistant town clerk hold keys/access codes to both. The premises are considered satisfactory providing all statutory health and safety obligations are observed. | Statutory health and safety obligations for both the Market Hall and the old police station reviewed and will be continued Relevant documentation retained in STC Office. |
| FREEDOM OF INFORMATION ACT (FOA) | 1 | Policy Provision | M | L | The council has a model publication scheme for local Councils in place. The Town Clerk is aware that if a substantial request arrives it may necessitate additional hours of work. The council is able to request a fee if the work will take in excess of 15 hours to complete. The request can be resubmitted in sections to negate the payment of a fee. | Monitor any report and potential impacts made under the FOA. Review files for any previous information requests. On receipt of an FOI, the Chair and Vice-Chair should be informed and monitoring of compliance to time to respond should be monitored |
| DATA PROTECTION | 1. | Failure to comply with GDPR (General Data Protection Regulation) 2018 or later regulations | H | L | Follow good administrative practice for securing personal and GDPR related data | Members to verify on an on-going basis. |

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| FINANCE | 1. | Precept adequacy | H | L | Sound planning and budgeting process to support the annual precept requirement. The process should take account of each committees' recommendations. The Resources Committee reviews the planned budget in October/November with recommendation/agreement by Full Council each January. | Minute to be made on budget, submission of precept request and receipt of precept payments. Copy of the approved budget to be sent to all members. |
| FINANCE | 2. | Budgetary control | H | H | The RFO to regularly provide the council with regular updates regarding receipts and expenditure against each budget category. | Part of Financial Standing Orders Section 4. Budgetary Control and Authority to Spend. Financial Regulations reviewed 2020 and will be reviewed reported to Resource Committee & Council annually Resources Committee to receive regular budget/forecast detailed update. Full council to receive regular updated summary budget sheet. |
| FINANCE | 3. | Insurance adequacy | M | H | Statutory requirement: Employers' Liability, Public Liability, Fidelity Guarantee. Annual review completed. Part of annual audit. | Asset Register to be reviewed annually or updated more frequently as required. Market Hall to have a separate asset list. RFO to report to Council on general adequacy of insurance. |
| FINANCE | 4. | Banking: Adequacy of checking procedure | L | L | The council has agreed Financial Regulations which determine the procedure. Annual independent audit. | Review Financial Regulations annually and as required. Online banking mandate to be reviewed by Full Council, as required. |

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| FINANCE | 5. | Cash: Control to prevent loss through theft | H | L | Regular reconciliation of bank statements prepared by RFO. Checked and signed by designated Councillor. Two authorised signatures required for cheques. Annual internal and external audits completed. | Part of Financial Standing Orders. Review as required. Review procedure for on-line banking and on-line payment authorisation. On-line banking mandate to be reviewed and agreed by Council |
| FINANCE | 6. | Approval of expenditure: Authorisation levels | H | L | Any financial obligation must be resolved and clearly recorded prior to any commitment. This usually takes place at Resources Committee meetings. All income and expenditure must be detailed in the monthly financial reports presented to the Resources Committee and Full Council. | Financial Regulations reviewed and specific limits specified. |
| FINANCE | 7. | Fraud | H | L | Internal procedures are observed. Fidelity Guarantee insurance must be in place. | Monitor adherence to Financial Regulations. Annual check of fidelity insurance. |
| FINANCE | 8. | VAT & other Taxes | H | L | The council has Financial Regulations which define the requirements for VAT recovery which is completed on a quarterly basis. PAYE tax & NI paid as defined by HMRC regulations. | Monitor Financial Regulations to ensure correct compliance in respect of any professional advice received. |

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| LIABILITY | 1. | Damage to building assets, street furniture, IT equipment, play equipment and other equipment | M | L | An Asset Register is maintained, and insurance is held at the appropriate level for all items. Regular checks are made on all equipment by the appropriate service providers and members of the council. | A central log should be maintained for any items of equipment or documentation which are lent out. This to include a signature by the borrowing party. See comments on Asset Register and Insurance Cover. Capital Replacement Fund now in place. |
| LIABILITY | 2. | Legal Powers: Illegal activity or payments Legal powers: Working Parties taking decisions | H L | L L | All activity and payments made within the powers of the Town Council (not ultra vires) are to be resolved and clearly recorded in the minutes. Ensure clear terms of reference are in place with delegated responsibilities to Committees and Working parties. | Existing procedures adequate. Review inclusion of powers being used by Council in the minutes and papers Terms of reference in place and agreed. |
| LIABILITY | 3 | Agendas, minutes and statutory documents: Accuracy and legality and/or non-compliance | L | L | Agendas and minutes are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed at the next meeting unless there is a resolution to defer approval until the following meeting. Agendas and minutes are displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chairman according to Standing Orders. | Existing procedures adequate. Undertake adequate training to ensure adherence to procedure. Members to adhere to Code of Conduct and Standing Orders. Review Standing Orders at least annually to ensure relevance. |

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| LIABILITY | 4. | Public Liability: Risk to third party, property or individuals | H | L | Insurance is in place. Risk assessment of any individual event is undertaken. Separate insurance is taken for one-off events. Health and safety risk assessment, training and instruction routinely completed. | Existing procedures adequate. An annual review of insurance cover to be completed at the start of each financial year. |
| COUNCIL REPUTATION | 1. | Conflict of interest | L | L | Councillors have a duty to declare any interest at the start of a meeting or when a conflict becomes apparent during a meeting. Councillors with a pecuniary interest must leave the meeting while that item is discussed. | Existing procedures are adequate. Reminder to be issued regarding updates to the Interest Register at the start of each financial year. |
| | | Register of Members' Interests | L | L | Register of Members' Interests form to be reviewed at least annually. | Members to take individual responsibility to update the register on-line. |
| COUNCIL REPUTATION | 1. | Councillors and Staff: Bringing the Council into disrepute | M | L | Councillors understand and receive training on the Code of Conduct. A professional approach is undertaken for all Town Council matters. An e-mail protocol policy is available. | Members to identify training requirements. Clerk to issue a reminder covering available training at the start of each financial year. Review e-mail protocol policy and update as required. |

Reviewed on date: _____

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Minute Item: _____

Signed (Chair) _____