

# QUEDGELEY TOWN COUNCIL

*"Working with the community for the community"*

01452 721 552  
Quedgeley.gov.uk

## TOWN COUNCIL RISK MANAGEMENT DOCUMENT

Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
<b>FINANCE</b>				
Precept  (1)	Adequacy of precept in order for the Council to perform its Statutory duties	L	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 costings obtained by the Clerk. With this information, the Council can decide the precept amount for the following year. It allows the budget sheet to include specific figures for specific projects, including up to date inflation rates, 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.	Existing procedure adequate.

			The Clerk informs the Council when the monies are received.	
Financial Records (2)	Inadequate records  Financial irregularities	L  L	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. New councillors are trained to provide backup as and when required.	Existing procedure adequate  Review the Financial Regulations when necessary
Bank and banking (3)	Inadequate checks  Banks mistakes	L  L	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	Existing procedure adequate  Existing procedure adequate
Reporting and auditing (4)	Information communication	L	Financial information is supplied monthly to Finance Meetings. Items discussed/reviewed and approved at each meeting.  Internal controls take place Quarterly with recommendations reported to F&GP.	Existing procedures adequate.
Grants and support payable (5)	Power to pay  Authorisation of Council to pay	L	All such expenditure goes through the required Council process of approval, minuted and listed accordingly.	Existing procedure adequate.
Best value accountability (6)	Work awarded Incorrectly.  Overspend on services.	L  M	Town Council practice would be to seek, if possible, more than one quotation for any substantial work to be undertaken, in line with Financial Regulations. 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.	Existing procedure adequate.  Include when reviewing Financial Regulations.
Salaries and assoc. costs (7)	Salary paid incorrectly.	L		Existing procedure adequate.

	Unpaid Tax to Inland Revenue.	L	Financial Controls in place to pay Salary and staff salaries agreed in line with Staffing Committee resolution and NALC payscales.  Financial Controls in place to pay Inland Revenue	
Employees (8)	Fraud by staff  Health and safety	L  L	Requirements of the Insurance adhered to with regards to fraud.  All ad hock 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  The Town Council pay for services from Ellis Whittam who provide expertise H&S advise and provide tailored training to staff and councillors.	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  No outstanding loans at present.	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.  All actions reported to Full Council.	Existing procedures adequate.
Employer Liability (12)	Misuse of HMRC website	L	Government Gateway ID in place.	Existing procedures adequate.
<b>ADMINISTRATION</b>				
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  Ensure Standing Orders are reviewed annually.
Minutes/agendas/ Notices Statutory Documents (2)	Accuracy and legality   Loss of Information	L   L  L	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.	Existing procedures adequate.      Members adhere to Code of Conduct

Members interests (3)	Conflict of interests	L	Declarations of interest by members at Council meetings.	Existing procedures adequate. Members take responsibility to update register.
	Register of members interests	M	Disclosure of Pecuniary Interests Forms reviewed regularly.	
Insurance (4)	Adequacy	L	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.	Existing procedure adequate. Insurance reviewed annually.
	Cost	L	Membership of SLCC and NALC	
	Compliance	L	All users of Town Council buildings/play music etc have personal PRS insurance.	
	Fidelity Guarantee	M	Bouncy Castles are only permitted on receipt of adequate liability insurance.	
Data protection (5)	Policy provision	L	The Town Council is registered with the Data Protection Agency	Ensure annual renewal of registration
			Leases and legal documents kept in safe place in Clerk's office.  Legal documents where appropriate, scanned and kept electronically.	
Freedom of Information (6)	Policy Provision	L	The Council has a Model Publication Scheme in place. To date there has been one request made under the FOI.	Monitor any requests made under FOI
		M	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	
<b>ASSETS</b>				

Assets (1)	Loss or damage  Risk/damage to third party (i.e.) property	L  L	<p>All buildings are alarmed</p> <p>All buildings are insured and value increased annually by RPI and annual meetings conducted between Insurer and Town Council.</p> <p>Key Holders are employed to secure all buildings at the end of each day.</p> <p>Nature Reserve/playparks/cemetery and allotments are subject to regular inspections which are then reported to R&amp;A Committee monthly.</p> <p>Trees investigated and damage reported.</p> <p>CCTV in place where appropriate. CCTV in other areas remains an ongoing subject.</p>	Existing procedures adequate
Maintenance (2)	Poor performance of assets or amenities	L	<p>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.</p> <p>Community Buildings Committee in place which meets monthly to review Town Council assets.</p>	Existing procedures adequate
Health & Safety (3)	Risk of injury/public disorder	M	<p>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&amp;S checks of buildings.</p> <p>Risk Management Documents in place as per Ellis Whittam advice.</p>	
Notice Board (4)	Risk of damage	L	The Town Council manage multiple noticeboards which have in 2022 been subject to a full renovation. No formal inspection procedures are	Existing procedures adequate

			in place but any reports of damage are faults are reported to the Town Council and dealt with in accordance of the correct procedures of the Council.	
<b>TRANSPARENCY OF INFORMATION</b>				
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
Website (2)	Adequacy	L	The Town Council during 2022 gave delegated authority to one councillor to create a new website. This is now live and subject to regular updates in line with what is required to support the Transparency Code 2015 and Quality Gold Status.	Review of budget Contact Website designer
Council records – paper (3)	Loss through: Theft Fire damage	L M L	Copies of the Town Council paper records are to be stored in the safe at the Town Council Office. Records include historical correspondences, minutes, insurance, and bank records.	Damage (apart from fire) and theft is unlikely and so provision is adequate.
Council records – electronic (4)	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 by the council’s IT provider.	Existing procedures considered adequate

Unit 8, Olympus Park Business Centre, Quedgeley, Gloucester. GL2 4NF  
e-mail : [Jacquie.webster@quedgeley-tc.gov.uk](mailto:Jacquie.webster@quedgeley-tc.gov.uk)