

# 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	Risk Rating	Management/control of Risk	Review /Assess/Revise	Residual Risk
Subject	Risk	LXS = R (1-5)	Controls	Additional Controls	LXS = R (1-5)
Precept (1)	Adequacy of precept in order for the Council to perform its Statutory duties	1x1=1	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	Existing procedure adequate.	1x1=1

			<p>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.</p> <p>The Clerk informs the Council when the monies are received.</p>		
Financial Records (2)	Inadequate records Financial irregularities	1x2=2	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	1x2 =2
Bank and banking (3)	Inadequate checks Banks mistakes	1x3=3 1x2=2	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	1x2 =2 1x1 =1
Reporting and auditing (4)	Information communication	1x2=2	Financial information is supplied monthly to Finance Meetings. Items discussed/reviewed and approved at each meeting.	Existing procedures adequate.	1x2 =2

			Internal controls take place Quarterly with recommendations reported to F&GP.		
Grants and support payable (5)	Power to pay Authorisation of Council to pay	1x2=2	All such expenditure goes through the required Council process of approval, minuted and listed accordingly.	Existing procedure adequate.	1x2 =2
Best value accountability (6)	Work awarded Incorrectly.  Overspend on services.	1x2=2	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.	1x2 =2
		2x3=6			2x2 =4
Salaries and assoc. costs (7)	Salary paid incorrectly.  Unpaid Tax to Inland Revenue.	1x3=3	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	Existing procedure adequate.	1x2 =2

Employees (8)	Fraud by staff  Health and safety	1x3=3	Requirements of the Insurance adhered to with regards to fraud.	Existing procedures adequate.  Monitor health and safety requirements and insurance annually.	1x2 =2
			All ad hock payments generated from QTC works order and reported via Internal Controls.		1x2 =2
			All employees to be provided adequate direction and safety equipment needed to undertake their roles		
			The Town Council pay for services from Worknest who provide expertise H&S advise and provide tailored training to staff and councillors.		
VAT (9)	Reclaiming/charging	1x1=1	VAT returns completed electronically on HMRC website and acknowledgement printed and kept in office. Subject to internal controls.	Existing procedures adequate	1x1 =1
			The Council has Financial Regulations which set out the requirements and which are updated annually.		
QTC Loans (10)	High Interest Rates/non recognised lenders	1x1=1	All loans are taken out via PWLB and are subject to 2 signatures	Existing procedures adequate	1x1 =1

			No outstanding loans at present.		
Annual Return (11)	Submit within time limits	1x2=2	<p>Employers Annual Return is completed and submitted online with the prescribed time frame by the Clerk.</p> <p>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.</p> <p>Due diligence is followed with regards to appointing the right Independent Auditor.</p> <p>Training in place for Assertion 10 on AGAR and website fully compliant.</p> <p>All actions reported to Full Council.</p>	Existing procedures adequate.	1x2 =2
Employer Liability (12)	Misuse of HMRC website	1x1=1	Government Gateway ID in place.	Existing procedures adequate.	1x1 =1
Legal Powers (1)	Illegal activity or payments	1x2=2	All activity and payments within the powers of the Town Council to be resolved at Full Council Meetings.	Existing procedures adequate	1x2 =2

				Ensure Standing Orders are reviewed annually.	
Minutes/agendas/ Notices Statutory Documents (2)	Accuracy and legality	1x1=1	Minutes and Agendas are produced in the prescribed manner by the Clerk and adhere to the legal requirements.	Existing procedures adequate.	1x1 =1
		1x1=1	Minutes are approved and signed at the next Council meeting.		
	Loss of Information	1x3=3	Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair Information backed up and kept remotely. Managed by Council's IT provider.	Members adhere to Code of Conduct	1x1 =1 1x2 =2
Members interests (3)	Conflict of interests	1x1=1	Declarations of interest by members at Council meetings.	Existing procedures adequate.	1x1 =1
	Register of members interests	1x1=1	Disclosure of Pecuniary Interests Forms reviewed regularly.	Members take responsibility to update register.	1x1 =1
Insurance (4)	Adequacy Cost	1x1=1	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity and within policies. Ensure compliance measures	Existing procedure adequate. Insurance reviewed annually.	

	<p>Compliance</p> <p>Fidelity Guarantee</p>	1x3=3	<p>are in place. Fidelity checks in place.</p> <p>Membership of SLCC and NALC</p> <p>All users of Town Council buildings/play music etc have personal PRS insurance.</p> <p>Bouncy Castles are only permitted on receipt of adequate liability insurance.</p>		<p>1x1 =1</p> <p>1x2 =2</p>
<p>Data protection</p> <p>(5)</p>	<p>Policy provision</p>	1x1=1	<p>The Town Council is registered with the Data Protection Agency</p> <p>Leases and legal documents kept in safe place in Clerk's office.</p> <p>Legal documents where appropriate, scanned and kept electronically.</p> <p>All staff have either or are currently undertaking Data Protection Training, 1,2 &amp; 3.</p> <p>Timeout permitted to process map.</p>	<p>Ensure annual renewal of registration</p>	1x1 =1
<p>Cyber Security</p> <p>(6)</p>	<p>Exposure to cyber threats, data breaches, phishing attacks, or system vulnerabilities leading to loss of data, disruption of services, financial penalties, or reputational damage.</p>	2x5=10	<p>Regular system updates, patching, and vulnerability testing</p> <p>Firewalls, antivirus, and</p>	<p>Annual review of cyber security policies and procedures</p>	

			<p>multi-factor authentication</p> <p>Data encryption for sensitive information</p> <p>Ongoing cyber awareness training for staff</p> <p>Regular penetration testing and monitoring (System Force)</p> <p>Incident response and disaster recovery plans in place</p> <p>Compliance with relevant data protection legislation (e.g., GDPR)</p>	<p>Regular IT risk assessments and security audits.</p> <p>Monitoring of threat intelligence and adapting controls accordingly.</p> <p>Periodic independent external audits and penetration tests.</p> <p>Review outcomes reported to Town Council.</p>	1x5 =5
Freedom of Information (7)	Policy Provision	1x1=1	<p>The Council has a Model Publication Scheme in place. To date there has been one request made under the FOI.</p> <p>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</p>	<p>Monitor any requests made under FOI</p>	1x1 =1
Assets (1)	Loss or damage Risk/damage to third party (i.e.) property	1x4=4 1x2=2	<p>All buildings are alarmed</p> <p>All buildings are insured and value increased annually by RPI and annual correspondence is conducted</p>	<p>Existing procedures adequate</p>	

			<p>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 being considered for Waterwells Sports Centre with Kingsway Sports Pavilion remaining ongoing.</p>		<p>1x2 =2</p> <p>1x1 =1</p>
<p>Maintenance (2)</p>	<p>Poor performance of assets or amenities</p>	<p>1x3=3</p>	<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</p>	<p>Existing procedures adequate</p>	<p>1x2 =2</p>

			<p>meets monthly to review Town Council assets.</p> <p>Annual plans put in place for large maintenance projects and discussed as part of the Futures Plan.</p>		
Health & Safety (3)	Risk of injury/public disorder	2x3=6	<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>Lone working policy in place. Risk Management Documents in place as per Work Nest advice.</p>		1x2 =2
Notice Board (4)	Risk of damage	1x2=2	<p>The Town Council manage multiple noticeboards. No formal inspection procedures are in place however staff do update them fortnightly and any damage is reported at that stage and dealt with in accordance of the correct procedures of the Council.</p>	Existing procedures adequate	1x1 =1

Meeting locations (1)	Adequacy Health & Safety	1x2=2	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	1x1 =1
Website (2)	Adequacy	1x1=1	A new website is now in place and complies with the Transparency Code 2015 and Quality Gold Status. It meets the requirements for Assertion 10 on the AGAR. The website is regularly updated and a webmaster easily available.	Review of budget Contact Website designer	1x1 =1
Council records – paper (3)	Loss through: Theft Fire damage	1x3=3 1x3=3 1x3=3	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.	1x1 =1 1x1 =1 1x1 =1
Council records – electronic (4)	Loss through: Theft, fire damage or corruption of computer	1x3=3	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	1x1 =1

RISK/PRIORITY INDICATOR MATRIX						
LIKELIHOOD	5	5	10	15	20	25
	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5
		1	2	3	4	5
		SEVERITY (CONSEQUENCE)				

Summary		Suggested Timeframe
12-25	High	As soon as possible
6-11	Medium	Within next 3-6 months
1-5	Low	Whenever viable to do so