



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 20th November 2023

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
1.1 Town Field	M	L	Insurance -annually reviewedby Council	<ul style="list-style-type: none">• Dedicated as “Queen Elizabeth II Fields in Trust” Status to protect as public space	<ul style="list-style-type: none">• Councillors regularly inspect and report on physical assets within their wards• Area mown and inspected by MCC contractors• Tree survey undertaken on an annual basis.
1.2 Drybridge Play Area <ul style="list-style-type: none">• Vandalism/Fire	H	L	Insurance -annually reviewed by Council.	<ul style="list-style-type: none">• Insurance updated 2011 to include specific equipment costs• Fencing to prevent vehicle access	<ul style="list-style-type: none">• Regular inspection undertaken by MCC on behalf of MTC and any emergency repairs completed. Other repairs carried out as and when.

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

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

1.7 Christmas Lights and Pennants and Banners <ul style="list-style-type: none"> • Vandalism/ other damage 	H	L	Insurance -annually reviewed by Council.	<ul style="list-style-type: none"> • Installed and removed by external contractors and are hired lights as of new contract for 21-26 	<ul style="list-style-type: none"> • Christmas lighting anchor points and catenary wires inspected as included in contract specification
1.8 Mayoral Regalia <ul style="list-style-type: none"> • Damage/stolen 	H	L	Insurance -annually reviewed by Council.	<ul style="list-style-type: none"> • Insurer informed/consulted if taken abroad • Fire and intruder alarms operational in Shire Hall (MCC) 	<ul style="list-style-type: none"> • Vigilance and care by Mayor /Deputy/Clerk • Photographic record taken of all pictures • Mayor's Parlour and cupboard kept locked (unless being used)during Shire Hall opening times • Revalued in November 2022 • Items signed in and out • Consideration to make replicas and store original's in museum

<p>1.9 Office/ Mayors Parlour general furniture and paintings</p> <ul style="list-style-type: none"> • Damage/stolen 	L	L	Insurance -annually reviewed by Council.	<ul style="list-style-type: none"> • Fire and intruder alarms operational in Shire Hall 	<ul style="list-style-type: none"> • Photographic record ongoing as stored within Shire Hall securely • Mayor's Parlour and cupboard kept locked(unless being used) during Shire Hall opening times
<p>1.10 Agincourt Street Public Conveniences</p> <ul style="list-style-type: none"> • Vandalism 	M	M	Insurance -annually reviewed by Council.	<ul style="list-style-type: none"> • Call-out/urgent repair contract with MCC • Service contract with MCC notice of maintenance required 	<ul style="list-style-type: none"> • List of repairs and refurb carried out and completed 2022. • Was To be revalued 2022-23 however the cost of revaluation was in excess of £2000 and as the insurance value is index linked annually, this has not been carried out.
<p>1.11 War Memorial</p> <ul style="list-style-type: none"> • Vandalism 	M	L	Insurance – annually reviewed by the Council.	<ul style="list-style-type: none"> • Fencing to prevent vehicle access • Surrounding land is owned, maintained by MCC and inspected on a regular basis • Royal British Legion (RBL) – inspect prior to Remembrance Services 	<ul style="list-style-type: none"> •

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):

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

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

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

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

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

2.10 Offices/ Mayors Parlour general furniture and paintings Injury to member of Public/staff	L	L	Public liability insurance cover in place.	<ul style="list-style-type: none"> Regular inspections of electrical equipment (MCC Shire Hall shared facilities) Maintenance contracts in place for IT equipment. 	<ul style="list-style-type: none"> Mayor's Parlour chairs repaired and re-upholstered (2012) Further repairs identified and Completed Dec 2013 Visual inspections ongoing.
2.11 War Memorial Injury to member of public	M	L	Public liability insurance cover in place	<ul style="list-style-type: none"> Zurich insurance annual inspection Ursells inspection schedule pending Refurbished on acquisition 2021/22 	

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)

RISK	CQ	LK	RISK PRIMARILY MANAGED BY:	MTC ADDITIONAL MEASURES/CONTROLS	ADDITIONAL MEASURES IDENTIFIED
3.1 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"> • Use of recognised suppliers • Ensure contractors have appropriate insurance 	<ul style="list-style-type: none"> • Obtain references for new suppliers • Re-appraise contracts/suppliers regularly
3.2 Financial risk of non-receipt of precept	H	L	General reserves availability in emergency/unforeseen circumstances	<ul style="list-style-type: none"> • Maintenance of agreed level of general reserves to cover 	Currently no borrowing- any future should be subject to financial risk identification

				<p>essential budget commitments</p> <ul style="list-style-type: none"> • Ear marked reserves held for specific projects 	
<p>3.3 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"> • Spread funds around different banking institutions in order to mitigate risk and maximise income. 	<ul style="list-style-type: none"> • Moved funds from Lloyds bank to Monmouthshire Building Society in 2020 and 2021 • Investment Strategy Policy set up in 2021 • Moved funds to the CCLA Public Sector Deposit Fund in 2022

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"> • Requirement for all payments to be signed/authorised by 2 signatories of one member and Clerk/Member on checking invoice/voucher • All invoices checked and signed by two councillors and payments approved at committee • Bank reconciliations reported regularly to council and checked by councillors 	<ul style="list-style-type: none"> • Introduction of debit card payments in 2021 with Internal Controls document reviewed by internal auditor • Payments authorized by TC/RFO and one councillor • BACS to be investigated • Segregation of Duties – regarding financial management and processes. Members should resolve to instruct the Support Officer to add new suppliers or amend existing suppliers details on the accounting system (as opposed to officers with full signatory banking access) at a meeting of the Full Council, or its Standing Committees, with said resolution being formerly recorded in the minutes of the corresponding meeting when financial matters are considered.

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

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 on monthly basis and by our insurers on an annual basis	

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.	<ul style="list-style-type: none"> All Councillors and Officers undertake Code of Conduct training Council signed up to the Civility and Respect Pledge

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"> Organisation structure in place. 	<ul style="list-style-type: none"> Employment contracts with notice periods. All staff have job descriptions & work lists. Staff development training relevant to the role undertaken to enable cover. Option to use short term vacancy cover 	<ul style="list-style-type: none"> Written office procedures ongoing EMR for Staff Absence Contingency in place for the appointment of a Locum TC or RFO from LGRC if required short term. Town Clerk and RFO contracts notice periods. Consider lengthening notice period

				from suitably qualified professional via contacts with SLCC	should these staff change in the future and review for potential new officer roles.
Risk of loss of service due to IT breakdown or loss of key passwords, staff or administration users	H	L	<ul style="list-style-type: none"> IT Contractor in place Contract with Microshade who provide hosting service 	<ul style="list-style-type: none"> IT contractor engaged on payment of support in lump sum up front. Appointment of Microshade for all services therefore more secure 	<ul style="list-style-type: none"> Properly managed procedures and instructions Training of key staff to understand IT set up and for knowledge to be cascaded to other staff Key passwords kept by RFO in locked cabinet
Risk of loss of service should a financial institution fail	L	L	<ul style="list-style-type: none"> Funds spread across financial institutions for FCS protection 	<ul style="list-style-type: none"> If budget higher than 500,000 euros this protection is lost therefore funds invested in low risk funds 	

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

<i>Practitioners' Guide Recommended Internal Controls:</i>	Monmouth Town Council:
<i>Standing Orders and financial regulations</i>	Reviewed every 12-months, last reviewed 2023
<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 as per contract terms
<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 included 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 and other legislation
<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 quarterly checks carried out by councillor

RISK	CQ	LK	RISK PRIMARILY MANAGED BY:	MTC ADDITIONAL MEASURES/CONTROL	ADDITIONAL MEASURES IDENTIFIED
1. Security for vulnerable buildings, amenities or equipment	M	L	<ul style="list-style-type: none"> Contracted out to principal authority/owners (Shire Hall) 		External audit undertaken by insurers
2. Maintenance for vulnerable buildings, amenities or equipment <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"> Contracted out to principal authority/owners (Shire Hall) Maintenance of Drybridge Play area and Town Field – MCC contracted 		Standing Orders and Financial regulations adopted and reviewed annually

<p>3.The provision of services being carried out under agency/partnership agreements with principal authorities <i>Clear statements of management responsibility for each service</i></p>	L	L	<ul style="list-style-type: none"> • MCC –various • Torfaen CBC Pension fund and purchasing 		<ul style="list-style-type: none"> • Shire Hall Service Level Agreement confirmed and renewed for 10 years from 2022. • Staff aware of their rights under the Pension Act of 2016 to choose their pension arrangements and direct online access to Pension providers available. • Review of pension discretions carried out in 2023
<p>4.Banking arrangements, including borrowing or lending <i>Regular bank reconciliation, independently reviewed and reported regularly to Finance and Audit Committee</i></p>	M	L	<ul style="list-style-type: none"> • Bank recommendations from One Voice Wales, SLCC, Internal auditor 	<ul style="list-style-type: none"> • Standing Orders (33) and Financial Regs reviewed and adopted annually 	<ul style="list-style-type: none"> • Very low level of income banked • References in place for all staff • Receipts banked within 2 days and segregation of duties exist • Any staff or Councillors with mandates could be credit checked annually
<p>5.Ad hoc provision of amenities /facilities for events to local community groups</p>	M	L	<ul style="list-style-type: none"> • Use of office equipment i.e. photocopying • Pre-arranged supervised access with clear conditions documented beforehand 		<ul style="list-style-type: none"> • Use of MTC property to be signed out and in when returned and terms and conditions of use to be signed to prevent monetary loss or damage • Consider risk mitigation for

					loss or damage if allow groups to use the Mayor's Parlour and introducing Terms and Conditions of Use
6.Markets management					
N/A					
7.Vehicle or equipment lease hire					
N/A					
8.Trading units (leisure centres, playing fields etc)					
Town Field <i>Clear statements of management responsibility for each service</i>	M	L	<ul style="list-style-type: none"> User provides event risk assessment and insurance confirmation Requests for use made to Council with sufficient notice prior to use 	<ul style="list-style-type: none"> Vehicle access gated 	
9.Professional services (architects, planning, accountancy etc) <i>Clear statements of management responsibility for each service</i> <i>Annual review of contract</i>	L	L	<ul style="list-style-type: none"> MCC contracts Salary payments contracted out Tender Process 	<ul style="list-style-type: none"> Access to wide range of MCC professional services for advice GPDR advice provided from Worknest HR Advice provided by Worknest Legal Advice provided by One Voice Wales IT advice provided by Orbits and Microshade 	

10. Long term provision of Council accommodation after 10 years	M	M	<ul style="list-style-type: none"> New SLA drawn up for 10 years from 2022 with MCC for use of the Shire Hall 	<ul style="list-style-type: none"> MTC have right to office within the Shire Hall in law 	
-----------------------------------------------------------------	---	---	------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------	--

(TABLE 3) Areas where it may be better to self-manage the risk

Practitioners' Guide Recommended Internal Controls:	Monmouth Town Council:
<i>Regular scrutiny of financial records and proper arrangements for the approval of expenditure</i>	Financial regulations and Standing Orders and Accountability and Governance Document from SLCC
<i>Recording in the minutes the precise powers under which expenditure is being approved</i>	To consider integrating this into the Minutes for irregular spend
<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 with use of Making Tax Digital (MTD) within Rialtas software
<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. Appraisal Policy adopted in 2023
<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. Uploaded to website automatically

	and signed copies scanned and retained.
<i>Documented procedures to deal with enquiries from members of the public</i>	All enquiries and responses through the Town Clerk and other MTC emails
<i>Documented procedures to deal with responses to consultation requests</i>	All passed to appropriate committee with date of response required, or circulated to all councillors if not within time for committee
<i>Documented procedures for document receipt, circulation response, handling and filing</i>	The Town Clerk General email address is reviewed by all staff and key correspondence either added to an Agenda for the appropriate committee or circulated to all councillors. Scanning exercise carried out in 2022 and paper documents not required for retention, shredded and destroyed. This work is ongoing.
<i>Procedures in place for recording and monitoring Members' interests and Gifts and Hospitality received</i>	Registers held on Modern.Gov electronically.
<i>Adoption of Codes of Conduct for members and employees</i>	Signed up to on Acceptance of Office and re-affirmed with the Code of Conduct training

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"> Recognised computerised Finance system (RBS) Membership of SLCC and One Voice Wales as sources of advice Recognised use of Microshade for all correspondence and operational processes Use of Modern.Gov for all agendas and minutes and registers 	<ul style="list-style-type: none"> Regular financial reports to Finance and Policy Committee and Full Council Support for on-going training to ensure members/staff are aware of changes to requirements/good practice etc. 	<ul style="list-style-type: none"> Movement over to BACS to be reviewed Internal and External Audit – Full Audit (as per 3 year cycle), carried out in 21-22 and completed Sept 23.
<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"> Council Membership of SLCC Membership of One Voice Wales as sources of advice Support for Clerk to become CiLCA qualified Support for office staff on ILCA and FILCA qualification 	<ul style="list-style-type: none"> Support for on-going training to ensure members/staff are aware of changes to requirements/good practice etc 	<ul style="list-style-type: none"> Precise powers under which non-routine expenditure is approved to be recorded in minutes Important to record the s137 expenditure Support for ongoing training to ensure staff are aware of the changes and best practice guides

<p>3. Complying with restrictions on borrowing (N/A)</p> <p><i>Procedures for dealing with and monitoring grants or loans made or received</i></p>	L	L	<ul style="list-style-type: none"> • Council • Membership of One Voice Wales/SLCC as sources of advice • Bank 	<ul style="list-style-type: none"> • Standing Orders (33) procedures in place 	
-----------------------------------------------------------------------------------------------------------------------------------------------------------	---	---	------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------	--

<p>4. 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"> • Council • Membership of One Voice Wales/SLCC • All staff have contracts approved by Worknest and the Council • Contract changes reviewed and approved by Staffing Committee for approval to Finance and Policy or to Full Council if Proper Officers 		<ul style="list-style-type: none"> • New 3 year Contract HR/Personnel consultancy service Worknest in Jan 2022 to ensure current best practice and legal requirements in place
<p>5.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"> • Council • Membership of One Voice Wales/SLCC as sources of advice • Salary payments contracted out to Payroll Experts who administer and pay Tax and NI 	<ul style="list-style-type: none"> • VAT returns submitted quarterly and approved at Full Council • Regular reporting of payments and VAT reclaimed 	<ul style="list-style-type: none"> • HR/Personnel consultancy service contracted in 2022 for 3-year contract

<i>Regular returns of VAT, training the RFO in the matters of VAT and other taxation</i>					
<p>6.Ensuring the adequacy of the annual precept within sound budgeting arrangements</p> <p><i>Regular budget monitoring statements</i></p>	M	L	<ul style="list-style-type: none"> • Council • Regular budget monitoring reports to Committees and all to Finance and Policy Committee 	<ul style="list-style-type: none"> • Report on Reserves made to Finance and Policy Committee at least twice yearly • Adequate reserves maintained between 33 and 100% of precept • 5 year EMR strategy plan drawn up in 2022 	<ul style="list-style-type: none"> • Budget Setting Timetable adopted by Council prior to budget setting process • RFO prepares draft budget to identify mandatory services and payments prior to process
<p>7. Monitoring of performance against agreed standards under SLAs and partnership agreements</p> <p><i>Developing systems of performance measurement</i></p>	L	L	<ul style="list-style-type: none"> • Council 	<ul style="list-style-type: none"> • Maintenance and SLA contracts performance specifications 	All agreements reviewed on annual basis
8. Ensuring the proper use of funds granted to local community	M	M	<ul style="list-style-type: none"> • Council • Community Grants Scheme 		<ul style="list-style-type: none"> • 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		
9. 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"> • Council • Minutes sequentially numbered automatically 	<ul style="list-style-type: none"> • All minutes and financials agreed and signed at following meeting 	
10. 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"> • Council • Correspondence reported to Council • Office hours advertised • Appropriate notices displayed 		<ul style="list-style-type: none"> • Freedom of Information Act document retention policy to be reviewed • Procedures for dealing with enquires to be documented and monitored
11. Meeting the laid down timetables when	M	L	<ul style="list-style-type: none"> • Council 	<ul style="list-style-type: none"> • Town Council /committee meetings 	<ul style="list-style-type: none"> • Procedures for dealing with responses to

<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"> • Consultative documents reported to appropriate Committee or Full Council stating response date 	<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>12. 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"> • Council • The majority of correspondence received by email 	<ul style="list-style-type: none"> • Version Controls now adopted for all documents and previous versions archived 	
<p>13. 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"> • Council • Register of Interests, Gifts, Hospitality maintained 	<ul style="list-style-type: none"> • Registration of Interest forms completed as made, published on website 	<ul style="list-style-type: none"> • Register of interests of Cllrs published on The Town Council website. • Hard copies scanned and kept for retention period • Recorded on Modern.Gov system

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

			500,000 euros protection no longer in place	projects <ul style="list-style-type: none">• Actions to increase spread of council funds required• CCLA public Sector Deposit fund account opened in 2022	
--	--	--	---------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--

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 nd November 2022 for adoption at FC . Adopted on 28/11/22 Min No 114/FC/22	28/11/22	PH
6	Amended	Updated on 23 rd October 2023 for adoption at FC. Adopted on 20/11/23 Min No 131/FC/23	23/11/23	NJ/CM