

Agenda No.8e

SALTASH TOWN COUNCIL: RISK MANAGEMENT PLAN STATEMENT 2018-19

Area	Risk	Level	Controls	Action
Assets	Protection of physical assets	M	Buildings insured. Value increased annually by RPI.	Insurance revalue 2016 Current revaluation of all property, land and open spaces underway.
	Security of buildings, equipment etc Security of Regalia	M	Alarms on Guildhall. Station Building secured by bolts and locks during first stage of refurbishment. Legionella monitoring in place for all buildings and toilets. Regalia and valuables kept in insurance company approved safe.	Guildhall New Fire and Security System Installed Linked to Monitoring Station Service Contract in place.
	Maintenance of buildings etc	M	Survey and planned programme of electrical and safety equipment worked up in conjunction with building maintenance consultant. 5 year maintenance and budget plan in place.	Completed September 2012 Updated 2018
Finance	Banking	M	All funds and investment deposits with high street banks and investment company. Funds distributed with a minimum of 3 separate investment bodies based on credit rating, interest rates and accessibility to funds.	Investment Strategy in place. Council Policy 2015 to be updated to LGA 3 rd edition 2018
	Risk of consequential loss of income	M	Insurance to cover loss of income and relocating office. Important documents backed-up off site.	.
	Loss of cash through theft or dishonesty	M	Division of responsibility in operation as per Governance and Accountability recommendations and audit. Fidelity insurance in place.	Ongoing monitoring of work practices and audit trail.
	Financial controls and records	M	Monthly bank reconciliation and quarterly VAT report prepared by FO and checked by Chairman of P & R and Town Clerk and reported to Council. Two signatories for payments. Internal and external audit.	Ongoing monitoring.
	Comply with Customs and Excise Regulations	M	Use help line when necessary. VAT payments and claims calculated by FO and checked by Town Clerk & Chairman of P&R. Internal and external auditor to provide double check.	VAT consultant engaged. to ensure compliance with partial exemption regulations and annual report.
	Sound budgeting to support annual precept	M	Committees and Council receive detailed budgets in the late autumn. Precept derived directly from this. Expenditure against budget reported to committees at each meeting.	Ongoing.

Pending Approval by Policy and Resources Committee 17th April 2018

	Complying with borrowing restrictions	L	All borrowing conducted via Calc to Public Works Loan Board	Ongoing
Liability	Risk to third party, property or individuals	M	Insurance in place. Property and land checked regularly. Trees inspection in place. Risk assessments of individual events such as Christmas lights and other events carried out as necessary.	Ongoing
	Legal liability as consequence of asset ownership.	H	Insurance in place. Regular safety inspections and checks conducted with records kept.	Ongoing
Employer Liability	Comply with Employment Law	M	HR consultants now retained as of 2012. Membership of various bodies including CALC regular checks for updates. Clerk is member of SLCC. Staffing Committee in place.	Ongoing
	Comply with Inland Revenue requirements	M	Regular advice from IR and Sage. Internal and external auditors carry out annual checks. Staff training in place.	Ongoing
	Safety of Staff and visitors	M	Health and Safety consultants retained as of 2012 Regular risk assessment checks of all buildings, premises and open spaces by Grounds and Premises Warden. Annual risk assessment audit by HR Consultant.	Ongoing
Legal Liability	Ensuring activities are within legal powers	H	Clerk to clarify legal position on any new proposal. Legal advice to be sought where necessary. Power of Competence taken up.	Ongoing
	Proper and timely reporting via the Minutes	M	Council meets once a month and always receives and approves Minutes of meetings held in interim. Minutes made available to press and public at the Guild Hall and via the web site.	Ongoing
	Proper document control	M	Copies kept in the office and backed up off site. Original leases stored in safe.	Ongoing

Councillor propriety	Registers of Interests and gifts and hospitality in place	H	Register of interest completed and anti-bribery policy statement and anti-fraud and corruption strategy in place. Code of Conduct adopted.	Ongoing
Direct Acquisition & Devolution receipt of Assets and Services	Financial cost and reputational risk linked to lack of service delivery standard	M	Acquisition and acceptance of assets or services based on community need and cost benefit analysis and budgeting via working party scrutiny though to Full Council decision.	Ongoing

Agenda No. 8f

SALTASH TOWN COUNCIL

ANNUAL STATEMENT ON INTERNAL CONTROL
2018/19

Saltash Town Council is responsible for ensuring that the financial management of the Council is adequate and effective and that the Council has a sound system of internal financial control.

Saltash Town Council is required to review at least annually the effectiveness of its system of financial control. The review of the effectiveness of the system of internal control is informed by the work of the internal auditors and the management of the Council who have responsibility for the development and maintenance of the internal control environment, and also by comments made by the external auditors in their annual letter and other reports.

The Council is responsible for:

- Establishing and monitoring the achievement of its objectives.
- The facilitation of policy and decision-making
- Ensuring compliance with established policies, procedures, laws and regulations.
- The Council has overall responsibility for the management of risk.
- The Council and all committees, the Town Clerk and staff all contribute to the identification and management of risk. Any identified weaknesses in this area are addressed and actioned by the Council.

Key staff are trained in health and safety, fire and general risk management and appropriate risk assessments are used to regularise these processes.

- Through its standing orders, financial regulations and delegated authority to the Town Clerk the Council has put in place a scheme of delegation, self-audit mechanisms and controls to ensure that best value and value for money are achieved.
- All committees of the Council receive regular and up to date reports on financial activities under their direction.
- Performance is regularly monitored against financial and operational budgets

The Policy and Resources committee has delegated responsibility for monitoring effectiveness and is assisted in this by the Business Strategy and Forward Planning Sub Committee and by regular internal audit reports on systems, reports from the Town Clerk/ RFO and Finance Officer and matters raised by external auditors and from other retained professional advisers. It receives and considers such reports promptly and agrees appropriate action to address identified weaknesses.

Subject to any restrictions imposed by the Council the Responsible Financial Officer is required to determine

- accounting records including the form of accounts and supporting accounting records
- accounting control systems
- ensuring that determined systems are adhered to, comply with proper practice and are up to date

The Responsible Financial Officer is required by statute to

- ensure that the records are kept in such a way as to enable the financial statements and related notes to be prepared
- ensure that entries on a day by day basis record all money received and expended
- record the assets and liabilities of the Authority
- record separately income and expenditure relating to any claim for contribution, grant or subsidy from the government, a body funded by government or a community institution

The system determined by the Responsible Financial Officer is as required by statute

- to record transactions as soon as practicable
- to put in place measures for the prevention and detection of inaccuracy and fraud
- to put in place measures for the reconstitution of data if records are lost
- to identify the duties of individual officers and the segregation of duties achieved for significant transactions
- to only allow the write off of uncollectible amounts including bad debts with the Responsible Financial Officer's evidenced approval
- to ensure appropriate measures to manage risk

A system of internal financial control cannot be expected to completely eliminate the possibility of inaccuracy or fraud. In this Council due to the small number of staff and in common with other small organisations it is not possible to achieve full segregation of duties. However wherever possible division of financial responsibility has been introduced to promote best practice.

To compensate for this weakness all payments are approved and cheques and other payment methods are checked and signed by two Councillors, the Town Clerk/RFO and FO.

The Council has a computerised accounting package that records all of the accounting transactions and is used to register unpaid supplier invoices and unpaid customer accounts. This package is used to provide financial information and to inform budgetary control.

As required by statute the Council has in place a system of internal audit carried out by an independent auditor. Issues raised by the internal auditor are reported in writing to the Council and agreed actions are monitored to ensure that they have been carried out and actioned within agreed timescales.

Additionally, the Council seeks and receives appropriate property, legal, insurance, V.A.T. health and safety and human resources advice to manage risk.

To be received Policy and Resources 17th April 2018

Agenda No. 10c

84.

- Evidence of good financial management (annual reports and accounts)
- Benefits for Saltash in terms of civic pride, economic spending in the Town, increased numbers of visitors, PR and publicity for the Town etc

Saltash Town Council will make a funding offer to successful applicants, who will then have two months to accept the grant on the terms offered.

SALTASH TOWN COUNCIL FESTIVAL FUND APPLICATION FORM

1. Name of Organisation	Saltash May Fair Committee		
2. Contact Name	VERA FORBES		
3. Contact Address			
4. Telephone numbers			
5. Email address	mayfairsaltash@gmail.com		
6. Name of Event	Saltash May Fair		
7. Date(s)	5 th May 2018		
8. Description of Event	The event offers live and interactive entertainment for all ages alongside a market which has grown exponentially since returning to Fore Street and over the three sites.		
9. Amount of funding Requested (Itemise expenditure up to level sought)	Item	Cost	£
Continue if necessary on separate sheet if necessary	HIRE OF STAGE FOR FORE STREET SALTASH TOWN COUNCIL		£ 30.00
	HIRE OF TOILET'S - ANDY'S LOOS		£ 168.00
	MEDICAL COVER - SOUTH WEST RESPONSE		£ 280.00
	FIRE POINT TROLLEY		£ 34.80
	LOCKABLE SKIP - BEURAL SKIP HIRE		£ 150.00
	MARKETING - LOVE SALTASH, POSTERS LEAFLETS		£ 360.00
	RUE - MUSICIAN		£ 120.00
	CHARLIE HARRIS - MUSICIAN		£ 30.00
	SAMBA KERNOW - LEADING PARADE OF YOUTH		£ 150.00

10. When is the funding required ?	No later than the 1st of May 2018
11. To whom have you applied/intend to apply for other grants related to this application?	STC, CORNWALL COUNCIL 5106 £1,563. COMMUNITY CHEST £300 WAITROSE GREEN TOKEN SCHEME £ UNKNOWN COOP LOCAL COMMUNITY FUND £ UNKNOWN.
12. Attached - previous year's report / accounts <i>(Delete as appropriate, or explain if not attached)</i>	PLEASE SEE ATTACHED.

Signed

[Redacted Signature]

Date

5/4/2018

CHECKLIST

Please note, prior to submission of your application, please ensure that you have enclosed and complied with the following:

Signed and completed application form



Bank account details



Copy of full audited accounts



Estimates/quotes (project specific)



Registered charity/company number

I hereby submit my application and confirm that I have enclosed the above:

Signed

[Redacted Signature]

Date

5/4/2018

2. Not unlawfully discriminate against any persons on the grounds of sex or race. The Commission for Racial Equality and the Equal Opportunities Commission have issued.
3. Codes of Practice giving guidance on the law and equal opportunities good practice in employment.

For and on behalf of Saltash Town Council

..... Date

For and on behalf of Organisation/Group

SALTASH MAY FAIR COMMITTEE..... Date 5/4/2018.....

Agenda No. 11

To approve necessary expenditure for the upgrade of the telephone system and provision of services to the Mayor's Parlour

Background:

Decision to convert the Mayor's Parlour into an office for the Town Clerk

Requirements

IT connections & telephone connection

The IT consultant was asked to survey the room for the provision of the necessary services and connections to allow the Town Clerk to work from this room.

The telephone service provider also visited the Guildhall and provided a report with his recommendations which is attached.

This work was quoted for as part of a wider review of IT and telephone services which is being undertaken with regard to

1. the expansion of the Town Council to different operating locations within the town as devolution progresses
2. the impact of the new GDPR regulations

The specific requirements for the Mayor's Parlour are as follows:

- White CAT5e cable to be discreetly run into the Mayor's Parlour cupboard
- Installation of Gigabit POE switch into parlour cupboard
- Installation of 2 network points into the Mayor's Parlour

Whilst this work could be done as a standalone project it is more cost effective to upgrade the entire telephone system (which has not been done since the refurbishment of the Guildhall in 1998) to a more modern, appropriate and professional system that will allow for expansion as the organisation grows. This can also then form a part of the IT upgrade required to comply with the GDPR requirements and the needs of the expanding council staff base.

Efficient Comms:

At present STC use a disjointed collection of networks to meet their communication needs.

There is a requirement for new system, to more efficiently manage the current needs, cabling requirements to provide access to currently unavailable areas, with the possible requirement of incorporating additional sites in the future.

The phone requirements are additionally for 7 handsets, and analogue lines, but any system will need SIPⁱ compatibility for future proofing against the BT ISDN shutdown.

The system has a maximum capacity of 100 ports, so future expansion is not an issue.

Costs:

Total phone system installed: 2122.00

Total network installed: 1315.00

Total installed cost 3337.00

All prices quoted exclude VAT

ⁱ [Session Initiation Protocol](#)

The Session Initiation Protocol is a communications protocol for signaling and controlling multimedia communication sessions in applications of Internet telephony for voice and video calls, in private IP telephone systems, as well as in instant messaging over Internet Protocol networks.

Agenda No. 12

General Data Protection Regulation:

- a. GDPR Officer and Senior Information Risk Owner (SIRO) appointment
- b. Staff training
- c. Policies and Privacy Impact Statement
- d. Budget provision
- e. To consider an information audit
- f. To consider a report to upgrade the server to allow STC to be GDPR compliant

Background:

New GDPR comes into force 25th May 2018 replacing the 1998 Data Protection Act

What has changed:

- Greater clarity over the use of personal data
- Proof of consent required for data sharing
- Enhanced right of access for data subjects
- Mandatory breach disclosure within 72 hours
- A requirement to appoint a Data Protection Officer

Key point:

Under the new legislation the TC has a duty to only hold information which is needed and cannot use information gathered for one purpose for any other purpose without specific approval.

Note:

The ICO is aware of the burden of the legislation on the public sector. Provided the council is *working towards compliance* the ICO has made it clear that they will be satisfied. Total compliance on day one is not expected but this does not detract from the point that the work has to be done.

a. GDPR Officer and Senior Information Risk Owner (SIRO) appointment

Key points:

The Council as a corporate body is the 'Data Controller'.

A Data Protection Officer must be appointed.

The Clerk will be the Data Protection Officer (DPO) and Senior Information Risk Owner.

(Note: CALC are working on a joint scheme with Simon Mansell which will meet the criteria for the Clerk to act as the DPO.)

Action required:

1. The Town Council should delegate its full obligations as Data Controller to an appropriate committee of group of members.

This group will set council policy on data management, audit the security of council held data, maintain registers of information held and audit the security of personal data held. The Clerk as DPO should have no role in agreeing policy but continue to provide independent impartial advice for the council to make the decision and set the policy.

2. Appoint the Clerk as Data Protection Officer.

b. Staff training

Key staff are attending CALC run training. All staff are being given in house training and are undertaking information audits. Data awareness training is ongoing. Particular focus on Privacy Access Impact Assessments and consent.

c. Policies and Privacy Impact Statement

These are currently being drafted.

Considerations include:

Privacy notices

Data retention policy (Finance documents already covered.)

Disposal Schedule

Policy for handling information including consent procedure (this must be explicit consent, not assumed/opt out)

Procedure for Subject Access Requests (SARs)

Data Breach Management procedure

d. Budget provision

- Training costs
- Replacement of shredder in reception to high volume security cross shredder – Rexel Auto+ Micro cut shredder £385.79 + VAT
- IT/Telephone system (see previous item & below)

-
- Lockable office cabinets for all staff to ensure clear desk policy can be adhered to – example cost £125 + VAT

e. To consider an information audit

Note: Information held includes all digital documents, not just paperwork

Advice from CALC is that all old papers, information and documents no longer needed should be destroyed.

An audit of information held is ongoing. All staff have been asked to undertake a review their mailboxes and documents held on their pc, keeping information no longer than necessary and ensuring that when deleting the full trail is included (inbox, sent items).

f. To consider a report to upgrade the server to allow STC to be GDPR compliant

The aim is to secure the IT system at the highest possible level against data leaks/attacks.

The server is due to be upgraded and this is also an opportunity to streamline the system as the organisation grows whilst also addressing the additional system security needs required by the GDPR legislation.

Following a meeting to discuss requirements with the current IT provider the attached recommendations were proposed.

In summary:

- the mail system for both staff and councillors will have additional security
- it is advised that all staff should have named email accounts rather than the current generic titles
- Moving all users to a cloud based system (the data storage is Europe based) using Windows 365 will ensure everyone is using the same (and most up to date) system. Currently some pcs are running different versions of Office which can cause confusion and compatibility issues. Those members of staff working remotely will also find the syncing issues currently experienced are resolved.
- Currently in place and to continue: intrusion detection systems (Symantec Endpoint), email filtering, off-site backup, Firewall.

It is recommended that the server is installed in a lockable cabinet in the current room used by the Grounds and Premises Warden.

It is recommended that if the telephone system is to be upgraded and IT provision made to the Mayor's Parlour the work should be undertaken at the same time to allow installation to be done with minimum disruption