

**Broadstairs Town Council**

**RISK MANAGEMENT ASSESSMENT 2024/2025 approved by Council 29 July 2024  
Next review July 2025**

<b>1. Physical Assets</b>			
<b>Risk</b>	<b>Control</b>	<b>Status</b>	<b>Action</b>
1.a. Loss or significant damage to assets Including risk of fire damage	1.a.1. Register of assets	In place	An Asset Register has been compiled. Equipment is included at original and at replacement value.
	1.a.2. Buildings and street furniture insured and value adjusted annually.		Photographs to be taken to provide electronic register in line with IIA recommendations
	1.a.3. Items on insurance to be checked against Asset Register	To be done	Asset register reviewed and updated every March to comply with insurance valuations and completion of AGAR
	1.a.4 Fire risk assessment of Pierremont site and Retort house undertaken in August 2021 and annually thereafter	completed	All buildings professionally valued by RICS certified surveyor February 2022 and updated values sent to insurance company.  Actions on identified areas for improvement implemented immediately. Experts employed for advice. Staff trained in use of fire extinguishers Staff trained in fire warden duties Regular testing of fire alarms, smoke and heat alarms and emergency lighting implemented Fire assembly point signage installed  Fire alarm, intruder alarm and CCTV now remotely monitored

<p>1.b. Damage/decay of assets due to lack of maintenance/attention</p>	<p>1.b.1. Regular maintenance arrangements for physical assets (to cover also security and fire safety).</p> <p>1.b.2. Risk assessment of Mockett's Wood, Culmer's Amenity Land, both allotment sites to be reviewed annually by relevant committee.</p> <p>1.b.3 Safety Inspections of Mockett's Wood, Culmer's Amenity land, and both allotment sites to be undertaken by individuals twice yearly.</p> <p>1.b.4 Fixed Assets and Asset Valuation Policy</p> <p>Facilities Officer employed to ensure building is well maintained, and hazards, damage and deterioration dealt with promptly and efficiently.</p> <p>Operations Officer employed from April 2022 to ensure prompt attention to any hazard or asset needing repair and negating the need to involve lengthy waiting times with third parties</p>	<p>In place</p> <p>In place</p> <p>In place</p> <p>In place</p> <p>Employed from June 2021. Made permanent in August 2022</p>	<p>Annual maintenance schedule designed and implemented</p> <p>Maintenance issues addressed as soon as staff notified</p> <p>Document updated if new amenities added or circumstances change</p> <p>Hazards identified and reported to the office and relevant committee. Checked back against risk assessment for appropriate action.</p>
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<ul style="list-style-type: none"> <li>1.c improper asset management – without the right management information, outdated patterns of use may run on unchallenged or unnoticed;</li> </ul>	<p><del>1.c.1 Tenant Management company engaged to undertake correct and robust management of tenant's affairs</del></p> <p>Tenant management company contract not renewed as service fell short of expectation. Building currently has very few tenants. Staff can manage but situation to be monitored when tenants increase again.</p> <p>Independent RICS qualified accountancy firm has carried out end of year service charge validation check.</p> <p>Risk assessments for new or major projects are undertaken by professional company to ensure best practice</p>	<p>In place April 2022</p>	<p><del>Regular contact with management company to ensure tenants are upholding their agreements and council commercial affairs are being handled properly.</del></p> <p>Issues identified will be dealt with accordingly and risk assessment used as basis for future assessments</p>
<ul style="list-style-type: none"> <li>Assets purchased or acquired without due consideration of on-going resource needed to adequately protect, maintain and run it or without due consideration of legislative or financial constraints upon the council or consideration of financial, reputational, strategic and operational risks facing the Council</li> </ul>	<p>14.4. No real property (interests in land) shall be purchased or acquired without the authority of the full council. In each case a report in writing shall be provided to council in respect of valuation and surveyed condition of the property (including matters such as planning permissions and covenants) together with a proper business case (including an adequate level of consultation with the electorate).</p>	<p>Standing order 14.4 reviewed along with all other standing orders and re-approved in April 2023</p>	<p>Council has developed an action plan to guide effective decision making over the four year term. All decisions to be weighed against a risk matrix to establish good decision making, quantify benefits to the Town, and underpin prudent use of public funds.</p>
<p><b>2. Financial</b></p>			
<p>2.a. Inadequate financial controls and/or records</p>	<p>2.a.1. Standing Orders and Financial Regulations in place with annual review.</p> <p>2.a.2. Regular bank reconciliations (done monthly by the Clerk) approved</p>	<p>In place</p> <p>To be done</p>	<p>NALC Model Standing orders 2018 adopted. Reviewed and readopted by Council in April 2024</p> <p>Financial Regulations 2016 adopted September 2018. Reviewed, revised and</p>

	by Council.		readopted in April 2024. New 2024 Financial regulations to be considered at F&GP meeting 22 July 2024
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<b>Risk</b>	<b>Control</b>	<b>Status</b>	<b>Action</b>
2.b. Loss through fraud, corruption or collusion.	<p>2.b.1. Approval of expenditure and system for payments/receipts:</p> <ul style="list-style-type: none"><li>- approval by the council required before any expenditure is incurred (committed). If a transaction has to be completed between council meetings, approval by the Chairman of the Council or Vice-Chairman of the Council is required;</li><li>- payments or commitments made between meetings ratified at the next meeting of the council;</li><li>- monies received paid into bank immediately and receipts issued if necessary; and</li><li>- accounts checked quarterly by a councillor who is not a member of F&amp;GP committee</li></ul> <p>2.b.2 Electronic banking procedures as follows:-</p> <ol style="list-style-type: none"><li>1. The Town Clerk will authorise set up of payment for invoices received and send them electronically to the Finance Officer in small regular batches.</li><li>2. The Finance Officer will input them into the accountancy system and the Unity Bank system and send an electronic copy of the invoices to two bank account signatories.</li><li>3. The signatories will check bank entries against invoices and authorise payment on the Unity Bank system. This will happen as regularly as necessary to ensure invoices are paid on time, but</li></ol>	<p>All in place</p> <p>To be reinstated</p> <p>In place</p>	<p>Financial Regulations adopted September 2018 and reviewed annually cover all these risks.</p> <p>Signatories</p> <p>Lapsed during lockdown</p>

	<p>batches are kept to a manageable size.</p>		
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Risk	Control	Status	Action
	<p>2.b.2. Payments approved retrospectively by council meeting –invoices checked against onscreen amount at point of approval by signatory.</p> <p>2.b.3. Annual Review of effectiveness of internal audit and system of internal control</p> <p>Professional internal auditor appointed.</p>	<p>In place</p> <p>In place</p>	<p>Council auditors to be appointed ??</p> <p>Reviewed annually. Next review July 2024</p>
<p>2.c. Non compliance with legislation on employer/ee liability.</p>	<p>2.c.1. Insurance is in place for the clerk.</p>	<p>In place</p>	<p>Insurance cover reviewed March 2023. Long term agreement with Zurich expired March 2024 so three brokers approached for cover. Only Zurich gave a quote. Three year agreement therefore renewed with Zurich.</p>
<p>2.d. Non compliance with HM Revenue &amp; Customs.</p>	<p>2.d.1. Regular returns to HM Revenue and Customs on advice of Batchelor Coop</p>	<p>In place</p>	<p>Monthly payroll runs carried out by Batchelor Coop and monthly payments made to HMRC.</p>
<p>2.e. Non compliance with Revenue &amp; Customs regulations.</p>	<p>2.e.1. VAT 100 is submitted monthly.</p> <p>Professional advice sought to address issues raised by operational changes within the organisation</p>	<p>In place</p>	<p>VAT 100 completed from financial information system</p>
<p>2.f. Inadequate budgetary control. Significant over/under spend.</p>	<p>2.f.1. Regular budget monitoring - expenditure against budget monitored monthly and reported to council.</p>	<p>In place</p>	<p>Quarterly reports presented to Town Council</p>
<p>2.g. Non compliance with borrowing regulations</p>	<p>2.g.1. Procedures for dealing with, and monitoring of, loans received</p>	<p>In place</p>	<p>PWLB loan repaid in interest and capital instalments twice yearly</p>
<p>2.h. Inappropriate use of funds granted to the community</p>	<p>2.h.1. Procedures for dealing with, and monitoring of, grants made by the Council:</p> <ul style="list-style-type: none"> <li>- accounts of the organisation and purpose of the grant to be submitted with the request;</li> </ul>	<p>In place</p>	<p>Grants are often made up front unless stipulated by Council. Grant recipients required to complete a monitoring form.</p>

	- for match funding, accounts to be submitted and checked.		
2.i. Inadequate control and/or poor performance/ standards under grants/partnership agreements	2.i.1. Monitoring of partnership standards and/or performance.	Not applicable	Currently no partnership agreements are in place.
	2.i.2. Recording in the Minutes the precise powers under which grants are made	In place	To be recorded in minutes and website summary report



Risk	Control	Status	Action
	2.i.3. Developing systems of performance measurement	In place	No partnership agreements in place at the present time
2.j. Damage/injury to third party property or individuals  Claims made on Council's insurance policy	2.j.1. Public Liability insurance cover is in place. Public areas visually inspected periodically. In addition twice yearly safety inspections and risk assessments are done. Facilities Officer ensures works are carried out to highest H&S standards	In place	Insurance cover reviewed in March 2024.  Annual and regular inspections too be carried out. See also 1.b.2
	2.j.2. Annual review of land maintenance contracts	n/a	Culmer's amenity land lease expires 2033
	2.j.3. Verification of insurance cover of service suppliers when contract given.	In place	All contractors to provide evidence of public liability insurance.
2.k. Non compliance with 'Employer Liability' requirements. New Councillors unaware of obligations as an employer	2.k.1. Compliance with employment laws - employer liability insurance held  <b>2.k.2 Training session to be held to explain council's responsibilities</b>	In place  <b>To be arranged</b>	Insurance cover reviewed March 2024. Next review March 2025
	2.k.2. Compliance with Disability and Discrimination Act	Communal areas comply with the Act as far as is practicable	
2.l Financial loss through non-payment of rents and service charges by tenants	Leases to be drawn up by suitably qualified professionals. As existing leases expire, new standardised leases to be offered. Month end checks on receipt of payments of invoices. Direct debit for rental payments is mandatory Reminder invoices are be sent. Any payments outstanding after reminder invoice to be reported to Council immediately.	In place but under constant review	New standardised lease developed throughout 2023 and offered to Viking Suite. All new leases to follow this one ensuring consistency and efficiency.

<b>3. Compliance with Legal Requirements</b>			
<b>Risk</b>	<b>Control</b>	<b>Status</b>	<b>Action</b>
3.a. Parish Council business or activity not within appropriate legal powers.	3.a.1 Activities checked by the Clerk when setting the agenda for meetings.	All in place	General Power of Competence reinstated at Council meeting of June 26 2023
	3.a.2. Powers under which activities to be carried out will be stated on the agenda.		
	3.a.3. Precise legal powers recorded in the Minutes and also in the notes for the Internal Auditor.		
	3.a.4. Clerk to clarify the legal position for any new proposal.		
	3.a.5. Legal advice sought if necessary.		
	3.a.6. Section 137 payments listed separately in the Receipts and Payments book and recorded in the Minutes.		
3.b. Non compliance with relevant legislation.	3.b.1. The Council's acknowledgement of Acts to be recorded in the minutes and documented. (Relevant Acts - Race Relations Act, Freedom of Information Act, and Disability Discrimination Act.)	Needs renewing	The Council has adopted the Freedom of Information Act (January 2019) and is fully compliant with the requirements of the Act including its publication scheme. Information is published on the Council's web site and is available from the Clerk. The Council has registered with the ICO
3.c. Non compliance with procedures when electors wish to exercise their rights of inspection.	3.c.1. Documented Procedures: <ul style="list-style-type: none"> <li>- council's publication scheme, in compliance with Freedom of Information Act, on website</li> <li>- Agendas and calendar of meetings displayed on the High Street notice board; and</li> <li>- audit notices and audited accounts displayed on the High Street notice board and the website in accordance with Audit Regulations.</li> </ul>	In place  In place  In place	Notice of agendas and agendas are displayed prior to meetings but notice boards are too small to display 8/9 pages of minutes. They are published on the web site and available in the Parish Office.  Compliance with Accounts and Audit Regulations etc carried out for 2023/2024 Final Accounts

3.d. Inadequate reporting of Council business.	<p>3.d.1. Timely preparation and distribution of agendas and minutes for all meetings.</p> <p>3.d.2. Minute items properly numbered, minutes paginated and agreed by the Council at the following meeting. Agreed minutes signed (all pages) by the Chairman.</p> <p>3.d.3. Approved, signed copy of minutes filed by the Clerk.</p>	<p>In place</p>       <p>In place</p>	<p>Minute book of council minutes to be paginated and stored separately</p>
<p>3.e. Inadequate documentation:</p> <ul style="list-style-type: none"> <li>– loss, damage, incomplete;</li> <li>– no evidence to support decisions; and</li> <li>– no evidence of adequate stewardship or performance of council.</li> </ul>	<p>3.e.1. Safe storage of legal business:</p> <ul style="list-style-type: none"> <li>– old Minutes and Parish Records to be properly and safely archived</li> <li>– deeds and legal documents for all Parish Council owned lands are securely kept.</li> </ul>	<p>In place</p>    <p>In place</p>	<p>All current records are safely and securely stored at Pierremont Hall. Fireproof and waterproof filing cabinet ensures documents secure.</p> <p>Document management policy and archiving policy written and adopted July 2021. Reviewed and readopted November 2023</p>
	<p>3.e.2. Documented procedures for:</p> <ul style="list-style-type: none"> <li>– receipt/response and handling of documents;</li> <li>– responding to consultations;</li> <li>– dealing with enquiries by the public; and</li> <li>– dealing with complaints by the public.</li> </ul>	<p>In place</p>	<p>Work to be undertaken. Complaints procedure in place and recently reviewed (April 2023)</p>
<b>Risk</b>	<b>Control</b>	<b>Status</b>	<b>Action</b>
3.f. Councillors allowances not made in compliance with legislation.	3.f.1. Register kept of all allowances paid. All allowances paid to be published at the end of the Financial year on the High Street notice board.	In place	To be displayed on notice boards and web-site along with East Kent Remuneration Panel report for 2021

3.g. Clerk unavailable.	3.g.1 Written procedures to cover the temporary or permanent loss of the Clerk's services.		Short term absence – senior member of staff to stand-in or share services of a neighbouring parish clerk.  Long term absence – Use of Locum or share services of a neighbouring parish clerk and advertise the position in local papers and KALC newsletter and web site.
<b>4. Councillor Property</b>			
4.a. Bribery/conflict of interests, inducements or favours from council.	4.a.1. Procedures in place for monitoring members' interests and any gifts and/or hospitality received.  4.a.2. Registers of interests, gifts and hospitality in place. Register of Councillors' interests kept by the Monitoring Officer at the District Council Offices. (Copies held by the Clerk.)	All in place	Councillors to be reminded annually about obligations to keep the Register up to date
4.b. Inappropriate action/conduct by Parish Council/Councillors.	4.b.1. Code of Conduct adopted by all council members on appointment.	In place	Code of Conduct is out of date. New Kent Model recently released from TDC. To be considered and adopted at Council meeting of 29 July 2024
4.c. Inadequate risk management. Poor performance/stewardship by Council.	4.c.1. Risk management procedures in place – this document. 4.c.2. This document to be reviewed annually, also as/when any changes to council business/activity are made or other circumstances require it. 4.c.3 Detailed risk register to be compiled 4.c.4 Annual timetable of risk assessments established 4.c.5 Risk Management Strategy document to be written	In place  In place  Summer 2024  In place  Summer 2024	This document was reviewed and updated in July 2024. Next review due in July 2025.

Copies of the Risk Management Assessment document are available from the Clerk to the Council: