



Appendix 2(ii)(a)



New Romney Town Council RISK MANAGEMENT STATEMENT 2022/23

1. Physical Assets			
Risk	Control	Status	Action
1(a) Loss or significant damage to assets	1(a) (i) Register of assets	In place Work still to be done	An asset register has been compiled during the re-insurance quotation exercise in November-December 2012. Valuations of buildings, antiques and historic artefacts and research into historic costs of other assets is in hand. (Where historic costs are not available, equivalent replacement value will be stated.) Photographic library of assets to be added to the register is also in hand and progressing slowly.
	1(a) (ii) Buildings and street furniture insured and values adjusted in line with regular valuations	In place	Insurance valuations carried out Nov/Dec 2015. Re-valuation planned three-yearly, in line with insurance renewal. Next valuation due 2018. Advised valuation should be 4-5 yearly; thus due in 2020. Overdue as a result of the 2020/21 coronavirus pandemic; desktop re-valuation undertaken in 2022.
	1(a) (iii) Items on insurance to be checked against asset register	Done	An annual 'asset walk' takes place at which time, items specified on the asset register are confirmed and checked against insurance schedule. New play equipment was added to the asset register during the course of 2021-22. These items are non-specified in terms of insurance.

Approved by Full Council: 12th April 2023

Last Reviewed:

1(b) Damage / decay of assets due to lack of maintenance / attention	1(b) (i) Regular maintenance arrangements for physical assets, including security and fire safety	In place	Parish Caretaker and Assembly Rooms Caretaker report maintenance issues to Clerk. Where appropriate, Clerk reports to F&GP Committee. Fire safety equipment, boilers, portable electrical equipment, roof and rainwater goods and security alarm inspected and tested annually by appropriate qualified persons. Annual inspection of leased properties undertaken in respect of boilers, roof and rainwater goods and mains electricity. Tenant responsible for all other safety checks. Weekly fire safety, water safety and Health / Safety Checks carried out by Parish Caretaker Written Inspection Records developed.
		In place	
	1(b) (ii) Annual safety inspection of properties and play areas	In place	Inspection of play areas carried out annually by RoSPA accredited inspector. Inspection of Town Hall House carried out by letting agent. Visual inspection of Maude Pavilion / Community Hall carried out routinely by Parish Caretaker and any issues reported.
	1(b) (iii) Periodic visual checks of properties and play areas	In place	Caretakers check Assembly Rooms on an on-going basis and report issues to Clerk. Weekly visual inspections of play areas carried out by Parish Caretaker. Parish Caretaker undertakes weekly health and safety checks / visual inspection of Town Hall and routine walkovers re open spaces. Written records now maintained.
2. Financial			
Risk	Control	Status	Action
2(a) Inadequate financial controls and / or records Loss through clerical error	2(a) (i) Standing Orders and Financial Regulations in place with annual review	In place In place	Standing Orders and Financial Regulations reviewed and updated as necessary on an annual basis and at any such time as amendment is deemed necessary.

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Last Reviewed:

	2(a) (ii) Monthly bank reconciliations checked against cash book and statements and signed by one of two authorised Councillors not authorised to sign cheques	In place	Councillor Tillson and Councillor Davies Appointments to be reviewed for 2023-24.
	2(a) (iii) Finance Clerk to check minute reference against annual precept demand prior to submission	In place	Finance Clerk initials precept demand and covering letter to confirm checks
2(b) Loss through fraud, corruption or collusion	2(b) (i) Approval of expenditure and system for payments / receipts: - Council approval required prior to incurring / committing expenditure (Minuted resolutions) - Transactions completed between Council meetings, including routine payments / commitments made under delegated authority of the Clerk, retrospectively approved at the next meeting of Full Council - Non-routine payments / commitments made between meetings in consultation with Chairman (eg. in emergency) retrospectively approved at the next meeting of Full Council - Monies received paid into bank promptly and receipts issued if necessary - Cheques signed by two Councillors from a list of five authorised Councillors and cheque stubs initialled	In place	Financial regulations reviewed and updated as necessary on an annual basis and at any such time as amendment is deemed necessary. Councillors Miss Hiscock, Coe, and Mrs Metcalfe Councillors Thomas and Rivers added March 2020 New appointments or re-confirmation required in 2023.
	2(b) (ii) Random check of order / payment process undertaken at same time as monthly check of bank reconciliation by same Councillor authorised to check bank reconciliation	In place	Councillor Tillson and / or Councillor Davies Appointments to be reviewed for 2023-24.
	2(b) (iii) Annual Review of effectiveness of internal audit and system of internal control	In place	Professional internal auditor appointed and review due to be carried out in May/June 2023.

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2(c) Non-compliance with legislation on employer / employee liability	Insurance in place covers all staff and Council Members. (Fidelity Guarantee in the amount of £1,000.000)	In place	Three-year long-term insurance agreement with Zurich Municipal renewed with effect from April 2022. Renewal Due 2025.
2(d) Non-compliance with Department for Revenue and Customs	Regular returns to Inland Revenue by Payroll Bureau in consultation with RFO	In place	Real-time information (RTI) processed monthly online.
2(e) Non-compliance with Revenue and Customs regulations	Regular VAT returns made by the Finance Clerk in consultation with the RFO periodically throughout the course of the financial year	In place	Monthly VAT returns submitted via MTD (Making Tax Digital).
2(f) Inadequate budgetary control / significant under or over-spend	2(f)(i) Regular budget monitoring: Expenditure / income monitored against budget by Committees at least quarterly and ratified by Full Council	In place	Financial Reports regularly submitted to Committees for approval (ratified by Full Council)
	2(f)(ii) Annual review of pension scheme	On-going	Pension scheme reviewed annually commencing Autumn 2018
2(g) Reserves falling below an acceptable level	Regular reserve fund movement reports	In place	Reserve Fund Movement Reports submitted regularly to F&GP for approval (ratified by Full Council) commenced May 2013
2(h) Non-compliance with borrowing regulations	Financial Regulations 51(d) in place	Not applicable	Currently no loans – consent to borrow acquired with draw-down required to be completed by March 2024.
2(i) Inappropriate use of funds granted to the community	Procedures for dealing with and monitoring of grants made by the Council: - Formal application form to be submitted - Supporting accounts / financial details to accompany application where appropriate - Monitoring form to be completed and returned to Town Council following completion of project / event / purchase	In place	Formal grant awarding policy in place, adopted by Council in 2012, together with policy guidance and application form. Monitoring form drafted and in use.
2(j) Inadequate control and / or poor performance / standards under grants / partnership agreements	2(j) (i) Monitoring of partnership standards and / or performance	Not applicable	Currently no partnership agreements in place.
	2(j) (ii) Recording in minutes of powers under which grants are made	In place	
2(k) Damage / injury to third party property or individuals	2(k) (i) Public Liability insurance is in place	In place	Insurance cover reviewed and renewed April 2022. Renewal due April 2025.

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	Children's play areas visually inspected on a weekly basis and annual RoSPA inspection carried out		Inspections evidenced.
	2(k) (ii) Annual review of land maintenance contracts	In place	Contracts reviewed and renewed annually and/or three-yearly through quotation process.
	2(k) (iii) Verification of insurance cover of service suppliers when contract let	In place	Contracts let on basis of receipt of evidence of public liability insurance
2(l) Non-compliance with 'Employer Liability' requirements	Compliance with Disability and Discrimination Act	In place	The Council has undertaken all that can reasonably be done in regards to the Act: Stair lift installed in Town Hall due to nature of building and replacement currently in hand to further improve accessibility. Assembly Rooms assessed as being inappropriate for adaptation due to age and nature of building Review took place in 2019 and working party established to consider recommendations to Council. Working Party recommendations have been submitted to Full Council during 2021-22 and 2022-23 and resulting actions are on-going.
3. Compliance with Legal requirements			
Risk	Control	Status	Action
3(a) Town Council business or activity not within appropriate legal powers	3(a) (i) Activities checked by Clerk when setting meeting agenda	All in place	The Town Council has re-established its eligibility to hold the 'General Power of Competence' (May 2019). It will be necessary to re-declare GPC in May 2023. Community Hall and Sports Pavilion project progressing under this Power as already commenced in accordance with GPC.
	3(a) (ii) Clerk to clarify legal position for any new proposal / activity		
	3(a) (iii) Clerk to seek legal advice if necessary		
	3(a) (iv) Section 137 payments listed separately in cash book and recorded in minutes		
3(b) Non-compliance with relevant legislation	Statement of Commitment to Legislation reviewed regularly and updated as appropriate	In place	Statement of Commitment reviewed annually. Last reviewed 2022.
3(c) Non-compliance with procedures when electors wish to exercise their rights of inspection	Documented procedures: - Publication Scheme available online	All in place	Publication scheme posted on Town Council website.
	-Minutes published online		Minutes and agendas posted on Town Council website. Agendas also displayed

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Last Reviewed:

	<p>-Agendas displayed in parish notice-boards and published online</p> <p>-Audit notices and audited accounts displayed at Town Hall in line with Audit regulations</p> <p>-Completed Annual return published online</p>		<p>one week prior to meetings in two parish notice boards and in the Town Hall notice board.</p> <p>Details (Date/ Time/ Location / Committee) of forthcoming meetings routinely published on social media.</p> <p>Current Audit notices displayed in Town Hall window in compliance with Accounts and Audit Regulations.</p> <p>Annual Return for 2021/2022 published on Town Council website.</p>
3(d) Inadequate reporting of Council business	3(d) (i) Timely preparation, distribution and display of agendas for all meetings	In place	<p>Agenda emailed* to all Councillors and displayed in notice boards and online seven days prior to a meeting.</p> <p>*except in special circumstances whereby an agenda may be occasionally posted</p> <p>Details (Date/ Time/ Location / Committee) of forthcoming meetings routinely published on social media.</p>
	3(d) (ii) Minute items correctly numbered. Minutes agreed, by resolution, at the next meeting. Agreed minutes signed by Chairman.	In place	Consecutive numbering of all Full Council and Committee minutes commenced May 2013.
	3(d) (iii) Approved, signed minutes filed.	In place	
3(e) Inadequate documentation: - loss, damage, incomplete - no evidence to support decisions - no evidence of adequate stewardship or performance of Council	3(e) (i) Safe storage of legal Council business: - Minutes filed at Town Hall / Bound Minute Books stored at Town Hall - Deeds and legal documents securely kept - Current computer files backed up regularly	In place	<p>All current records filed in locked filing room at Town Hall.</p> <p>Old records periodically archived in Council storage space.</p> <p>Deeds and legal documents stored in locked, fire-proof strongroom.</p> <p>Regular back-up of Town Council electronic files to the cloud.</p>
	3(e) (ii) Documented evidence pertaining to: consultations / responses; public	In place	All relevant documentation filed appropriately at Town Hall

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	enquiries; complaints from public; routine Council business		
3(f) Councillors allowances not made in compliance with legislation	Register of allowances paid	Not applicable	New Romney Town Council Members do not claim an allowance.
3(g) Town Clerk unavailable	Appointment of Deputy Town Clerk	In place	Deputy Town Clerk to stand in: - Annual Leave - Sickness / Ill health / Medical appointments - Absence for training / meetings / other work-related absence - Permanent absence whilst position advertised
Councillor Property			
Risk	Control	Status	Action
4(a) Bribery / conflict of interests / inducements or favours from Council	4(a) (i) Procedures in place for monitoring Members' interests and any gifts / hospitality received.	All in place	
	4(a) (ii) Register of Interests, gifts and hospitality kept by District Council Monitoring Officer with copies held at Town Hall.		
4(b) Inappropriate action / conduct by Town Council / Councillors	Code of conduct adopted by Town Council and all Council Members on appointment	In place	New Code of Conduct adopted by Town Council in 2012 in accordance with the Localism Act 2011.
4(c) Inadequate risk management / poor performance / stewardship by Council	4(c) (i) Risk management procedures in place – this document	In place	Risk management statement reviewed and updated at least annually from May 2013.
	4(c) (ii) Risk Management Statement to be reviewed at least annually and as / when any changes to Council business / activity are made or other circumstances require it.		

Prepared by Town Clerk / Responsible Financial Officer: 21st February 2022

Approved by Full Council: 12th April 2023

Last Reviewed: