



# APPLEBY-IN-WESTMORLAND TOWN COUNCIL

## RISK ASSESSMENT 2020 - 2021

Area	Hazard	Current Controls	Is Control adequate or is further Action needed?	Action by Whom?	Action by When?	Review of 2019 - 2020
<b>A Town Council</b>						
A1i Failure to disclose interests	Members are required to declare any disclosable pecuniary interest or other registrable interest	Register kept up to date and available on website Item on all Agendas and interests declared record in the minutes.	Up to date register required	Councillors / Clerk	Ongoing	<input checked="" type="checkbox"/>
A1ii Legal Powers	Illegal activity or payment	Advise Council as to their legal duties and powers	Qualified Clerk	Clerk	December 2019	<input type="checkbox"/>
	Standing Orders in accordance with NALC Model Standing Orders 2018	Reviewed and updated		Clerk / Council	Annual - March	<input checked="" type="checkbox"/>
A1iii Minutes	Accurate and legal	Reviewed and signed at following meeting		Committee Chairs / Mayor / Clerk	Ongoing	<input checked="" type="checkbox"/>
A1iv Legislation	Non compliance with legislation (Employment, H&S etc)	Policies adopted, reviewed and approved annually	Seek professional advice as required	Clerk	Ongoing	<input checked="" type="checkbox"/>
<b>B Financial</b>						
B1 Accounting Statement	Accounting statement prepared in accordance with Accounts and Audit Regulation	Annual internal audit. Annual external audit.		Clerk / Council	Annually - May	<input checked="" type="checkbox"/>



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B2 Financial Regulations	In accordance with NALC Model Financial Regulations January 2016	Reviewed and updated		Clerk / Council	March	<input checked="" type="checkbox"/>
B3 Internal Controls	Precept determined by adequate budgetary process	Agreed at Council and minuted		Clerk / Council	January	<input checked="" type="checkbox"/>
	Appropriate accounts kept properly	Utilise accounting software		Clerk	Monthly	<input checked="" type="checkbox"/>
		Progress against budget reviewed		Finance Committee	Monthly	<input checked="" type="checkbox"/>
		Expenditure approved in accordance with Financial Regulations	Payments schedule approved and signed	Council	Monthly	<input checked="" type="checkbox"/>
		Income fully received		Clerk	Monthly	<input checked="" type="checkbox"/>
		VAT properly accounted for and reclaimed		Clerk	Quarterly	<input checked="" type="checkbox"/>
		Petty cash accounted for appropriately	No more than £100 (each) petty cash held by Clerk & TIC Manager	Clerk	Monthly	<input checked="" type="checkbox"/>
		Salaries paid in accordance with HMRC and NI requirements	Utilise payroll software	Clerk	Monthly	<input checked="" type="checkbox"/>
		Pensions paid in accordance with Pensions Regulator	Utilise payroll software	Clerk	Monthly	<input checked="" type="checkbox"/>



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		Monthly and end of year bank reconciliation properly undertaken	Online banking	Clerk / Councillor (not bank signatory)	Monthly / Year End	<input checked="" type="checkbox"/>
		Internal Audit	Annual internal review	Clerk	May	<input checked="" type="checkbox"/>
		Trust Funds (Charity Accounts) accounted for and reported appropriately		Clerk / Trustees	April	<input checked="" type="checkbox"/>
B4 Significant risks	Significant risks identified COVID 19	Health and Safety risk assessment reviewed and updated		Clerk / Council	March	<input checked="" type="checkbox"/>
	COVID 19	Risk Assessment		Clerk / Council	September 2020	<input checked="" type="checkbox"/>
		Financial risks identified and reported		Clerk	Monthly	<input checked="" type="checkbox"/>
B5 Assets and Investments	Asset Register reviewed and updated			Clerk / Council	March	<input checked="" type="checkbox"/>
	Manage investments appropriately			Clerk / Finance Committee	February	<input checked="" type="checkbox"/>
B6 Insurance	Adequacy of insurance cover reviewed prior to renewal		Review compliance with insurance policy	Clerk	June	<input checked="" type="checkbox"/>
	Competitive process to ensure best value			Clerk	Ongoing	<input checked="" type="checkbox"/>



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<b>C3 Business Continuity</b>						
	No plan		Develop Plan Review 2020	Clerk	To be completed by December 2019	<input checked="" type="checkbox"/>
	Computer back up		Utilise appropriate secure off site computer records storage facility	Clerk	Ongoing	<input checked="" type="checkbox"/>
<b>C4 Data Protection</b>						
	Compliance with Data Protection Act 1998	Policy adopted, reviewed and approved annually Registration with Information Commission Office	Compliance with new General Data Protection Regulations	Clerk / Council	Ongoing	<input checked="" type="checkbox"/>
<b>C5 Freedom of Information</b>						
	Compliance with Freedom of Information Act 2000	Policy adopted, reviewed and approved annually Model Publication Scheme adopted, reviewed and approved annually		Clerk / Council	February	<input checked="" type="checkbox"/>
<b>C6 Appointment of Contractors</b>						
	In accordance with Financial Regulations	Review and update process		Clerk	September	<input checked="" type="checkbox"/>



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**Signed:**

**Mayor:** Cllr Gareth Hayes  
**Dated:** Wednesday 22<sup>nd</sup> July 2020

**Signed:**

**Clerk:** Karen Lowthrop  
**Dated:** Wednesday 22<sup>nd</sup> July 2020