



APPLEBY-IN-WESTMORLAND TOWN COUNCIL

RISK ASSESSMENT 2018 - 2019

| Area | Hazard | Current Controls | Is Control adequate or is further Action needed? | Action by Whom? | Action by When? | Review of 2017 - 2018 |
|--------------------------------------|---|--|--|----------------------------------|---------------------------------|--|
| A Town Council | | | | | | |
| 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. | | Councillors / Clerk | Ongoing | <input checked="" type="checkbox"/> |
| A1ii Legal Powers | Illegal activity or payment Standing Orders in accordance with NALC Model Standing Orders October 2013 | Advise Council as to their legal duties and powers Reviewed and updated | Qualified Clerk | Clerk Clerk / Council | December 2018 Annual - March | <input checked="" type="checkbox"/> <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 Financial | | | | | | |
| B1 Accounting Statement | Accounting statement prepared in accordance with Accounts and Audit Regulation | Annual internal audit. Annual external audit. | | Clerk / Council | Annually - March | <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"/> |
| | | Agreed at Council and minuted | | Clerk / Council | January | <input checked="" type="checkbox"/> |
| | | 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"/> |
| B3 Internal Controls | Appropriate accounts kept properly | | | | | <input checked="" type="checkbox"/> |



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| B4 Significant risks | Significant risks identified | 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 | March | <input checked="" type="checkbox"/> |
| | | Trust Funds (Charity Accounts) accounted for and reported appropriately | | Clerk / Trustees | April | <input checked="" type="checkbox"/> |
| B5 Assets and Investments | Asset Register reviewed and updated | Health and Safety risk assessment reviewed and updated | | Clerk / Council | March | <input checked="" type="checkbox"/> |
| | | Risk Assessment | | Clerk / Council | Monthly | <input checked="" type="checkbox"/> |
| | | Financial risks identified and reported | | Clerk | March | <input checked="" type="checkbox"/> |
| B6 Insurance | Adequacy of insurance cover reviewed prior to renewal | Manage investments appropriately | | Clerk / Finance Committee | February | <input checked="" type="checkbox"/> |
| | | Competitive process to ensure best value | Review compliance with insurance policy | Clerk | June | <input checked="" type="checkbox"/> |
| | | | | | Ongoing | <input checked="" type="checkbox"/> |



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| C3 Business Continuity | | | | | | |
| | No plan | | Develop Plan | Clerk | To be completed by December 2018 | <input checked="" type="checkbox"/> |
| | Computer back up | | Utilise appropriate secure off site computer records storage facility | Clerk | Ongoing | <input checked="" type="checkbox"/> |
| C4 Data Protection | | | | | | |
| | 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"/> |
| C5 Freedom of Information | | | | | | |
| | 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"/> |
| C6 Appointment of Contractors | | | | | | |
| | In accordance with Financial Regulations | Review and update process | | Clerk | September | <input checked="" type="checkbox"/> |



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Signed:

A handwritten signature in blue ink, appearing to read 'A Connell', written in a cursive style.

Mayor: Cllr Andy Connell
Dated: Wednesday 21st March 2018

Signed:

A handwritten signature in black ink, appearing to read 'Caroline Dodgson', written in a cursive style.

Clerk: Caroline Dodgson
Dated: Wednesday 21st March 2018