



# APPLEBY-IN-WESTMORLAND TOWN COUNCIL

## RISK ASSESSMENT 2019 - 2020

Area	Hazard	Current Controls	Is Control adequate or is further Action needed?	Action by Whom?	Action by When?	Review of 2018 - 2019
<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.		Councillors / Clerk	Ongoing	<input checked="" type="checkbox"/>
A1ii Legal Powers	Illegal activity or payment Standing Orders in accordance with NALC Model Standing Orders 2018	Advise Council as to their legal duties and powers Reviewed and updated	Qualified Clerk	Clerk Clerk / Council	December 2019 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>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"/>				
							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	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	Clerk	Monthly	<input checked="" type="checkbox"/>
							Salaries paid in accordance with HMRC and NI requirements	Clerk	Monthly	<input checked="" type="checkbox"/>
							Pensions paid in accordance with Pensions Regulator	Clerk	Monthly	<input checked="" type="checkbox"/>
									Utilise payroll software	Clerk



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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	May	<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	Monthly	<input checked="" type="checkbox"/>
		Financial risks identified and reported		Clerk / Council	March	<input checked="" type="checkbox"/>
B6 Insurance	Manage investments appropriately	Adequacy of insurance cover reviewed prior to renewal	Review compliance with insurance policy	Clerk / Finance Committee	February	<input checked="" type="checkbox"/>
		Competitive process to ensure best value		Clerk	June	<input checked="" type="checkbox"/>
					Ongoing	<input checked="" type="checkbox"/>



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<b>C3 Business Continuity</b>						
	No plan		Develop Plan	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"/>



APPLEBY-IN-WESTMORLAND TOWN COUNCIL

RISK ASSESSMENT 2019 - 2020

Signed:

Mayor:  
Dated:

Cllr Stan Rooke  
Wednesday 20<sup>th</sup> March 2019

Signed:

Clerk:

Caroline Dodgson

Dated:

Wednesday 20<sup>th</sup> March 2019