

**BURTON UPON STATHER PARISH COUNCIL
RISK MANAGEMENT ASSESSMENT**

Risk Identified	Existing controls	Additional measures	H/M/L	Date of implementation of additional measures
The protection of assets owned by the Council	<ul style="list-style-type: none"> Up-to-date Asset Register Regular maintenance checks Insurance Policy 	<ul style="list-style-type: none"> Annual Review of Asset Register Budget provision for maintenance costs Review of level of insurance policy 	L L L	April 2015 November 2014 September 2016
Control of financial management	<ul style="list-style-type: none"> Adoption of Standing Orders and Financial Regulations Accurate and appropriate books to be kept Precept to be applied for to NLC to cover budget Spending to be kept within budget. Salaries to be paid accurately and on time Contractors paid accurately and monthly Year end accounts prepared on correct accounting basis Annual return submitted within time limits Monthly bank reconciliations Presentation to Council of monthly statements of receipts 	<ul style="list-style-type: none"> Ensure most recent models are available from ERNLLCA New NALC model Financial Regulations adopted Oct 2019. Reviewed annually New NALC model Standing Orders adopted Jan 2017 Reviewed annually Quarterly checks by two Councillors Councillors to receive regular budget updates, which are used to agree precept in Full Council meeting. At least 3 months reserves to be kept in accounts Any overspending of budget must first be authorised by Council Salaries payments outsourced to local company Payment of all invoices authorised at Council meeting Checked by Councillors prior to signing off Annual return is audited by the internal auditor prior to being submitted to Council. Council completes the AGAR and it is sent to External Auditor within specific time frame Council to agree frequency of bank reconciliations Council to agree frequency of production of payments and balances held 	L L L M L L L L L L	Oct 2019 Jan 2017 October 2019 May 2020 October 2019 October 2019 October 2019 November 2014 November 2014

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	<ul style="list-style-type: none"> and payments and balances held • Presentation to Council of quarterly year to date expenditure against annual budget • All cheques to be signed by at least two members of the Council • All BACs payments to be signed by at least two members of the Council • Schedule of accounts for payment authorised by a meeting of the Council • All spending authorised monthly within powers available to the Council • Appointment of Internal Auditor • Ensure Clerk has appropriate training if required 	<ul style="list-style-type: none"> • Council to agree frequency of production of payments and balances held • Council to agree members to sign cheques on accounts • Council to agree members to sign invoices when BACs payment made • Council to agree frequency of production of payments and balances held • Council to agree frequency of production of payments and balances held • Council to agree appointment of Internal Auditor • Seek guidance from ERNLLCA/SLCC 	<p>L</p> <p>L</p> <p>L</p> <p>L</p> <p>L</p> <p>L</p>	<p>September 2016</p> <p>November 2014</p> <p>October 2019</p> <p>November 2014</p> <p>November 2014</p> <p>November 2014</p>
Insurance provision	<ul style="list-style-type: none"> • Public liability insurance, Employer Liability and Employee Fidelity policies in place 	<ul style="list-style-type: none"> • Council to consider level of insurance cover once per year 	L	31 March 2014
VAT controls	<ul style="list-style-type: none"> • Quarterly returns made to Customs and Excise 	<ul style="list-style-type: none"> • Council informed when VAT reclaim received 	L	April 2014
Conducting Activity within Legal Powers	<ul style="list-style-type: none"> • All payments and resolutions to be made within the legal powers and minuted 	<ul style="list-style-type: none"> • Clerk to be kept up to date with all new legislation 	L	October 2020
Minutes/agendas/notices of statutory documents	<ul style="list-style-type: none"> • Accuracy and legality • Business conduct 	<ul style="list-style-type: none"> • Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements • Minutes are approved and signed at the next Council meeting • Agenda is displayed according to legal requirements. Business conducted at 	<p>L</p> <p>L</p>	October 2020

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		Council meetings should be managed by the Chair		
Members interests	<ul style="list-style-type: none"> • Conflict of interests • Register of members interests 	<ul style="list-style-type: none"> • Declarations of interest made by members at Council meetings • Register of members interests available on NLC website 	L L	October 2020
Data Protection	<ul style="list-style-type: none"> • Policy in place which is annually reviewed • Council registered with ICCM 	<ul style="list-style-type: none"> • Subscription renewed annually 	L	October 2020
Freedom of Information	<ul style="list-style-type: none"> • Policy in place which is annually reviewed 	<ul style="list-style-type: none"> • Council will react as necessary to requests • Substantial requests that impact on the Clerk's working hours will involve a fee 	L	October 2020
Safety of Council records	<ul style="list-style-type: none"> • All paper records are stored in lockable cabinets at the office • All electronic records are stored on the Council laptop 	<ul style="list-style-type: none"> • Back up's are available electronically • All electronic records are backed up on 'OneDrive' • Chair has a list of all passwords in a sealed envelope. 	L L	October 2020 October 2020
Website	<ul style="list-style-type: none"> • Held using secure domain • Web support used 	<ul style="list-style-type: none"> • Clerk to ensure that website is regularly updated 	L L	October 2020
Employees	<ul style="list-style-type: none"> • Loss of key personnel • Fraud 	<ul style="list-style-type: none"> • Personnel committee would be convened to agree interim arrangements • Council has insurance 	M L	October 2020