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	Up-to-date Asset Register	Annual Review of Asset Register	L	April 2015
owned by the Council	 Regular maintenance checks 	Budget provision for maintenance costs	L	November 2014
	Insurance Policy	Review of level of insurance policy	L	September 2016
Control of financial management	Adoption of Standing Orders and Financial Regulations	Ensure most recent models are available from ERNLLCA	L	
		New NALC model Financial Regulations adopted Oct 2019. Reviewed annually		Oct 2019
		New NALC model Standing Orders adopted Jan 2017 Reviewed annually		Jan 2017
	Accurate and appropriate books to be kept	Quarterly checks by two Councillors	L	October 2019
	Precept to be applied for to NLC to cover budget	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	L	May 2020
	Spending to be kept within budget.	Any overspending of budget must first be authorised by Council	M	October 2019
	Salaries to be paid accurately and on time	Salaries payments outsourced to local	L	October 2019
	Contractors paid accurately and	 company Payment of all invoices authorised at 	L	October 2019
	monthlyYear end accounts prepared on correct accounting basis	Council meetingChecked by Councillors prior to signing off	L	
	Annual return submitted within time limits	Annual return is audited by the internal auditor prior to being submitted to Council.	L	
		Council completes the AGAR and it is sent to External Auditor within specific time frame		
	Monthly bank reconciliations	Council to agree frequency of bank	L	November 2014
		reconciliations	L	November 2014

Review Due: October 2025

BURTON UPON STATHER PARISH COUNCIL RISK MANAGEMENT ASSESSMENT

	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	 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 	L L	November 2014 November 2014
Insurance provision	Public liability insurance, Employer Liability and Employee Fidelity policies in place	Council to consider level of insurance cover once per year Council informed when VAT reclaim.	L	31 March 2014
VAT controls	Quarterly returns made to Customs and Excise	Council informed when VAT reclaim received	L	April 2014
Conducting Activity within Legal Powers	All payments and resolutions to be made within the legal powers and minuted	Clerk to be kept up to date with all new legislation	L	October 2020
Minutes/agendas/notices of statutory documents	Accuracy and legality	 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 	L	October 2020

Reviewed: October 2024

Review Due: October 2025

BURTON UPON STATHER PARISH COUNCIL RISK MANAGEMENT ASSESSMENT

	Business conduct	Agenda is displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair	L	
Members interests	Conflict of interestsRegister of members interests	 Declarations of interest made by members at Council meetings Register of members interests available on 	L	October 2020
	1 register of members interests	NLC website	_	
Data Protection	 Policy in place which is annually reviewed Council registered with ICCM 	Subscription renewed annually	L	October 2020
Freedom of Information	Policy in place which is annually reviewed	 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	All paper records are stored in lockable cabinets at the office	Back up's are available electronically	L	October 2020
	All electronic records are stored on the Council laptop	All electronic records are backed up on 'OneDrive'	L	
		Chair has a list of all passwords in a sealed envelope.		October 2020
Website	Held using secure domain Web support used	Clerk to ensure that website is regularly updated	L L	October 2020
Employees	Loss of key personnel	Personnel committee would be convened to agree interim arrangements	М	October 2020
	Fraud	Council has insurance	L	