

## Thurton Risk Register

<b>Subject</b>	<b>Risk identified</b>	<b>Management/Control of Risk</b>	<b>Review Assessment</b>
Bank	Charges/mistakes	Bank Control by RFO/Bank reconciliation	Monitor Bank Monthly
Best Value Accountability	Over-charge	Work over three hundred pounds subject to 3 tenders	Ensure work put out to tender
Cash	Loss/Theft	No cash held	Adequate
Clerk's Contract	Adequacy	Terms and conditions in accordance with NALC/SLCC national agreement	Adequate
Council Records	Paper	Parish records stored by the Clerk include minute books, invoices insurance documents – record of planning decisions, pc comments, conditions & appeals.	Review Annually
Council Records	Electronic	Parish council electronic records are stored on the Clerk's computer. Backups are taken at regular intervals	Back up held
Councillor Allowances	Councillors overpaid	Councillors have agreed not to claim councillor basic allowance or subsistence but can claim reasonable travel for actual journeys by submitting mileage claim	No risk
GDPR Data Protection & Freedom of Information	Policy	The council complies with the 8 principles in accordance with the Data Protection Act & will adapt a Data Protection and Freedom of Information Policy. To comply with GDPR a Data Audit Schedule will be held by the council  A database is not held. The council has a model publication scheme for Local Councils in place. There has been no request for information to date but the council is registered and complies fully with the ICO's requirements and the web-site was designed to give the maximum amount of information to the public.	Review Annually
Data Storage	Loss, fire or theft	Computer data will be backed up regularly to an external hard drive. Electronic back up flash drive to be held by chair.	Adequate
Election Cost	Risk of Election	District Council pay for election every 4 years otherwise replacement is by co-option unless more than one candidate is forthcoming. Sufficient funds held in reserves to cover cost	Existing Procedure Adequate
Electors Rights	Complaint to auditor	Notice of Audit posted on Parish Council Notice-board - Accounts available	Adequate
Expenses	Goods not Supplied	Invoices checked against goods	Check invoices
Expenses	Incorrect Invoicing	Invoices checked against goods	Check invoices
Financial Records	Inadequate Records	Internal Audit and Financial Regulations Held	Review Financial Records

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Financial Records	Financial Irregularities	Internal Audit/Audit	Review Internal Audit TOR
Financial Reporting	Information	Meeting Agenda to include current financial standing approve payments. Quarterly budget monitoring	Check correct documents presented
Grants Receivable	Receipt of Grant	Risk assessment to address compliance with regulations	
Insurance	Adequacy, cost, Compliance Fidelity Guarantee	Mandatory Public Liability; Employers Liability; Money; Fidelity Guarantee Property Damage Bus Shelters £10,000 each, Village Sign £2000 Notice Board £500; Libel Slander, Fidelity Guarantee Personal Accident to Councillors to 75 years and Clerk to 85 years. Legal Expenses	Existing Procedure Adequate Employers Liability in place
Internal Audit	Adequate check	Qualified audit	Review Internal Audit Terms of Ref
Internal Controls	Misuse - of cheques	Cheques signed by 2 of 4 councillor signatories	Adequate
Legal Power to Pay	Illegal payment	Clerk checks LGA Power. Payments including s137 are recorded in minutes.	Check documents presented
Maintenance	Risk to third parties	Repaired as required	Review Annually
Meeting	Adequacy	The Village Hall is adequate	Review Annually
Members Interests New code of Conduct adopted 17 May 20	Conflict of interest Register of Members Interests held	A paragraph is included early in the agenda to inform councillors that they must declare a personal interest at this point in the meeting in any item on the agenda	Existing Procedure Adequate Guidance training available to the chair. Members take responsibility to update their register.
Physical Assets	Loss or Damage	Covered by Insurance/Asset Register held	Review Annually
Precept/Budget	Adequacy	Budget Control (monitored quarterly)	Existing Procedure Adequate
Quotes	Unfair competition - over payment	Three quotes obtained for larger items	Procedure adequate
Receipts	BACS paid into other organisation account	RFO reconciles bank statement against receipts monthly	Monitor Bank Monthly
Salaries and Expenses	Salary paid incorrectly Liability for tax	Currently the clerk is contracted to work 5 hours per week in accordance with National Salary Scale 28. Payroll is managed by an external source	Clerk's salary reviewed annually.

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Standing Orders and Financial Regulations	Adequacy	Check adequacy	Review Annually
Statutory Documents: Adequate Notice, Agenda and Minutes	Accuracy and Legality Business Conduct	Minutes, Agenda and notices are produced and posted in the prescribed manner by the Clerk in accordance with legal requirements and standing orders. Minutes are signed at the next meeting. Business conducted is managed by the chair in accordance with the published agenda.	Existing Procedure Adequate Guidance training available to the chair. Members adhere to code of conduct
Stock	Loss/Theft	No stocks held	Review unnecessary
Street Furniture	Risk damage to third party/Theft	Bus Shelters insured for £10,750 (2 of). Village sign insured for £2,050. PRow board and Parish Council Notice board insured for £2,500, mileage sign for £713. Insurance excess £100. Bins not insured.	Review Annually Asset Register held
VAT	Reclaim	Financial Regulations Held	Claimed Annually

Risk Register updated September 2022. Review due September 2023