

# COLTON PARISH COUNCIL

## Risk Assessment and Management for 2017/2018

Area	Risk	Level	Control
<b>Assets</b>	Protection of physical assets	<b>L</b>	<ul style="list-style-type: none"> <li>Adequate insurance on               <ol style="list-style-type: none"> <li>playground and village green equipment</li> <li>Other assets: defibrillator, phone kiosks, benches, notice-boards, grit bins and drainage rods.</li> </ol> </li> <li>Insurance reviewed annually to ensure sufficient cover.</li> </ul>
<b>Finance</b>	Loss of cash through theft or dishonesty	<b>L</b>	<ul style="list-style-type: none"> <li>All financial transactions made by cheque, which are signed and countersigned (3 councillors as signatories)</li> <li>Receipts kept by clerk for expenses which are audited.</li> <li>Travel claims to be signed by chair or vice-chair and Clerk.</li> </ul>
	Financial controls and records	<b>L</b>	<ul style="list-style-type: none"> <li>All payments approved and minuted at Council meetings, and cheques signed by 2 signatories</li> <li>Bank reconciliations reported to Council quarterly.</li> <li>Budget reviewed against accounts twice yearly.</li> <li>Internal audit to include spot-checks on receipts, accounts, cheque book and minuted payments.</li> <li>Internal and external auditing carried out annually. No external audit after 2017 year end</li> <li>Internal audit review carried out annually</li> <li>Financial Regulations to be reviewed every 4 years</li> </ul>
	Precept and grants: not submitted or not paid	<b>L</b>	<ul style="list-style-type: none"> <li>Minute submission</li> <li>Confirm receipt and minute</li> </ul>
	Wrong mileage rates/expenses paid to clerk or Councillors.  PAYE submissions not made in time – penalties levied.  Clerk paid wrong amount.	<b>M</b>	<ul style="list-style-type: none"> <li>Expenses claim forms to be completed and signed by 2 Councillors and Clerk. End of year checks to be made.</li> <li>Following assessment of the penalty risk (£100) of missing a monthly return, it was decided that the payroll be contracted out starting in 2014/15 at a cost of £48/year, now £68 for FY 17/18. Liability for any late returns remains with the Council. The Clerk remains responsible for sending <u>quarterly</u> PAYE payments to HMRC by due dates.</li> <li>Annual review of Clerk's salary payments by Finance WG and approved by Council at Annual Council meeting. All amounts paid to be minuted.</li> </ul>
	Risk to third party, property or individuals	<b>M</b>	<ul style="list-style-type: none"> <li>Insurance in place for:               <ul style="list-style-type: none"> <li>Clerk and Councillors</li> </ul> </li> </ul>

<b>Liability</b>			<ul style="list-style-type: none"> <li>○ Property</li> <li>○ 3<sup>rd</sup> party liability</li> </ul>
	Bouth Village Green and Playground	<b>M</b>	<ul style="list-style-type: none"> <li>• 3<sup>rd</sup> party public liability insurance in place for volunteer workers acting under the instructions of the Council. For example, on Bouth Village Green (note: cover only where Colton Parish Council liable).</li> <li>• Health and Safety policy in place</li> <li>• Checks of playground and equipment carried out as required by insurers: <ul style="list-style-type: none"> <li>○ Monthly formal recorded inspection by volunteer</li> <li>○ Annual Risk Assessment and Inspection by RoSPA .</li> </ul> </li> <li>• Damage investigated and actioned when reported.</li> <li>• Electricity supply for Christmas lights on south Village Green (originally installed by Norweb) tested annually (certificate of compliance) by a qualified electrician.</li> <li>• Accident book and First-Aid kit placed at White Hart. First Aid kit checked for completeness regularly by volunteer, at least annually.</li> <li>• Health and Safety instructions to be prepared and distributed to village green work parties.</li> <li>• Health and Safety notice to be placed on Green notice-board</li> </ul>
	Adopted phone boxes at Oxen Park and Nibthwaite	<b>M</b>	<ul style="list-style-type: none"> <li>• Risk Assessment carried out every 2 years.</li> <li>• Inspections carried out quarterly</li> <li>• Insurance in place for 3<sup>rd</sup> party liability (employees, members and volunteers)</li> </ul>
<b>Legal Liability</b>	Ensuring that all activities are within legal powers (including legal liability wrt lease on Bouth Village Green)	<b>M</b>	<ul style="list-style-type: none"> <li>• Clerk clarifies legal position on any new proposal.</li> <li>• Legal advice to be sought where necessary.</li> <li>• Minutes accurate and legal - approved at following meeting</li> <li>• Declarations of interest to be documented and minuted and any conflict addressed as appropriate.</li> </ul>
<b>Staff, Members, Contractors and Volunteers</b>	Clerk: loss due to: <ul style="list-style-type: none"> <li>- resignation</li> <li>- sickness</li> </ul>	<b>L</b>	<ul style="list-style-type: none"> <li>• Advertise position</li> <li>• Temporary cover from neighboring parish clerk, or other person, funded from reserves.</li> </ul>
	Contractors	<b>M</b>	<ul style="list-style-type: none"> <li>• Ensure hold their own insurance cover, including 3<sup>rd</sup> party liability cover to the amount specified in contract. Contract signed by contractor to confirm cover in place.</li> </ul>
	Fraud by staff	<b>L</b>	<ul style="list-style-type: none"> <li>• Fidelity guarantee value appropriately set</li> </ul>
	Personal Accident	<b>L</b>	<ul style="list-style-type: none"> <li>• Cover for volunteers as well as employees and Council members, where Council is liable.</li> </ul>