

**Carlton Town Parish Council reviewed and agreed this document at the meeting held on 26<sup>th</sup> January 2017.**

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the Parish Council to identify any and all potential inherent risks. The Parish Council, based on a recorded assessment, will take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible.

This document has been produced to enable Carlton Town Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

## FINANCIAL AND MANAGEMENT

Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Precept	Adequacy of precept in order for the Council to carry out its Statutory duties	L	To determine the precept amount required, the Council regularly receives budget update information. At the precept meeting Council receives a budget report, including actual position and projected position to the end of year and indicative figures or costings obtained by the Clerk. With this information, the Council maps out the required monies for standing costs and projects for the following year and applies specific figures to budget headings, the total of which is resolved to be the precept amount to be requested from Richmondshire District Council. The figure is submitted by the Clerk in writing. The Clerk informs the Council when the monies are received. The council consider a financial reserve of £20,000 prudent to cover eventualities with the water plant.	Existing procedure adequate.
Financial Records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations which sets out the requirements.	Existing procedure adequate Review the Financial regulations when necessary
Bank and banking	Inadequate checks Banks mistakes	L L	The Council has Financial Regulations which set out banking requirements Monthly reconciliation	Existing procedure adequate Existing procedure adequate

# Carlton Town Parish Council Risk Assessment | 2017

Reporting and auditing	Information communication	L	Financial information is a regular agenda item (Finance Report) and discussed/reviewed and approved at each meeting.	Existing procedures adequate.
Grants	Receipt of grant	L	Parish Council does not presently receive any regular grants.	Procedure would be formed, if required
Charges-rents receivable	Payment of rents	L	The Parish Council collects Parish Land rents in March each year. Rent income is reviewed each year and a bidding procedure is in place if needed. All successful bidders are notified in writing of their rental agreement.	Existing procedure adequate
Grants and support payable	Power to pay Authorisation of Council to pay	L	All such expenditure goes through the required Council process of approval, minuted and listed accordingly if a payment is made using S137 powers of expenditure.	Existing procedure adequate.
Best value accountability	Work awarded Incorrectly. Overspend on services.	L M	Normal Parish Council practice would be to seek, if possible, more than one quotation for any substantial work to be undertaken. For major work competitive tenders would be sought. If problems encountered with a contract the Clerk would investigate the situation and report to the Council.	Existing procedure adequate.
Salaries and assoc. costs	Salary paid incorrectly. Unpaid Tax to Inland Revenue.	L L	Salary paid by BACS monthly. BACS request form can only be signed by councillors – employee has now power to sign. PAYE completed using the HMRC RTI system	Existing procedures adequate.
Employees	Fraud by staff  Health and safety	L L	Banking arrangements such as cheque signing or online payments cannot be carried out by the Clerk. All employees to be provided adequate direction and safety equipment needed to undertake their roles	Existing procedures adequate.
VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out the requirements.	Existing procedures adequate

# Carlton Town Parish Council Risk Assessment | 2017

Annual Return	Submit within time limits	L	Annual Return completed and signed by the Council, submitted to internal auditor for completion and signing then checked and sent to External Auditor within time frame.	Existing procedures adequate.
Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved at full Council Meetings, including reference to the power used under the Finance section of agenda and Finance report monthly.	Existing procedures adequate
Minutes/agendas/ Notices Statutory Documents`	Accuracy and legality	L	Minutes and agenda are produced in the prescribed manor by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting.	Existing procedures adequate.
	Business conduct	L	Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair	Members adhere to Code of Conduct
Members interests	Conflict of interests Register of member's interests	L M	Declarations of interest by members at Council meetings. Register of members interests forms reviewed regularly.	Existing procedures adequate. Members take responsibility to update register.
Insurance	Adequacy Cost Compliance	L L L	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity and within policies. Ensure compliance measures are in place.	Existing procedure adequate. Insurance reviewed annually.
Freedom of Information	Policy Provision	L M	The Council adheres to the FOI Act. The Parish Council is aware that if a substantial request came in it could create a number of additional hours work. The Parish Council can request a fee to supplement the administration costs.	Monitor any requests made under FOI

# Carlton Town Parish Council Risk Assessment | 2017

<b>PHYSICAL EQUIPMENT OR AREAS</b>				
Assets	Loss or damage Risk/damage to third party (ies) property	L	An annual review of assets is undertaken for insurance provision	Existing procedures adequate
Maintenance	Poor performance of assets or amenities	L	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for any repair is actioned/authorised in accordance with the correct procedures of the Parish Council. Assets are insured. Specific details regarding the Water Treatment Plant are outlined at the end of this document.	Existing procedures adequate
Notice Board	Risk of damage	L	The Parish Council currently has one notice board. No formal inspection procedures are in place but any reports of damage are faults are reported to the Parish Council and dealt with in accordance of the correct procedures of the Council.	Existing procedures adequate
Meeting locations	Adequacy Health & Safety	L M	The Parish Council meeting is held in a venue considered to have appropriate facilities for the Clerk, members and the general public.	Existing procedures adequate
Council records – paper	Loss through: Theft Fire damage	L M L	The Parish Council records are stored at the home of the Clerk. Records include historical correspondences, minutes, insurance, bank records. The documents are stored in a lockable cabinet and in the attic.	Damage (apart from fire) and theft is unlikely and so provision is adequate.
Council records – electronic	Loss through: Theft, fire damage or corruption of computer	L M	The Parish Council electronic records are stored on a memory stick held with the Clerk at her home. Back ups of electronic data is made at regular intervals	Existing procedures considered adequate

## **Risk Assessment for the Water Treatment Plant, Carlton Town Parish Council**

The Council considers its main risk is the village water supply, which is sourced from a natural spring and the new water borehole. The water supply goes directly into the treatment plant thus avoiding contamination by humans and farm animals. The new water borehole is now supplying the village with a good supply of better quality water. The supply has been tested by an outside third party and certified as satisfactory.

The Council appoints a person whose responsibility is to form a Water Committee and they report directly to the Parish Council at its Parish Meetings and on an ad-hoc basis.

Chlorine is added automatically, on a daily basis, in order to eradicate any bacteria. The water committee team test the water daily for free and total chlorine (the amount of chlorine present in the water) and the results are duly recorded. Any out of the ordinary readings result in immediate action.

The chlorine itself is provided in drums and only authorised personnel can handle the drums of chlorine. These people are provided with appropriate protective clothing and washing facilities. The drums of chlorine and also the water treatment plant are securely locked and only authorised personnel hold a key.

Regenerating the water filters is completed on a weekly basis to reduce iron levels. A weekly check for iron present in the water is also carried out.

All new recruits to the water committee are given an intensive training course and are supervised for the first three months.

Richmondshire District Council tests the water supply at individual's houses on a regular basis and notifies the Parish Council immediately of any problems. The Parish Council then takes responsibility for notifying all residents immediately.

Authorised contractors service the water treatment plant annually.

It is also the responsibility of the Water Committee to investigate any leaks and bring these to the attention of the Parish Council to take appropriate action.