

CYNGOR CYMUNED TROEDYRAUR COMMUNITY COUNCIL

RISK ASSESSMENT SCHEDULE (reviewed September 2018)

Assessment Criteria

Rating:	Potential Consequence Score: 1-5	Classification:	1-5 Low
	Likelihood of Happening Score: 1-5		6-10 Medium
	Severity Level Score – Potential Consequence x Likelihood		11-15 High
			16-25 Very High

Topic	Risk Identified	Potential Consequence	Likelihood	Severity Score	Classification	Measures to be taken to Reduce/ Minimise/ Control Risk
<u>Income</u> Precept	Not submitted	5	1	5	Low	Budget process in place Clerk/RFO to prepare budget annually in January Full Council to consider budget annually in January Full Council to determine precept annually in January Clerk/RFO to notify County Council in January
	Not paid by County Council	5	1	5	Low	Clerk/RFO to monitor and report to Council Paid directly to bank account by BACS and advised
	Inadequacy of Precept	5	1	5	Low	Full Council to review/compare budget to actual/clerk to report inadequate funds of budget. Full Council to authorise any monies from contingency fund.
Loss of Money	Business Interruption	5	2	10	Medium	Insured – Loss
	Private Residence of Member of Employee	5	3	15	High	Insure to maximum level
	Through theft or dishonesty of Staff or Members	5	2	10	Medium	Fidelity guarantee of £20,000. Review annually in May
Reserves – General	Ensure Adequacy	5	1	5	Low	Consider at Budget Setting
Reserves – Earmarked	Ensure Adequacy	5	1	5	Low	Consider at Budget Setting

<u>Expenditure</u>						
Legal Powers	Illegal Payment or Activity	5	2	10	Medium	All statutory powers to undertake work to be recorded in minutes. Ensure compliance with Standing Orders and Financial Regulations. Review of Standing Orders and Financial Regulations during lifetime of Council. All cheques signed by two councillors.
Salaries/Wages	Wrong Salary Paid	5	1	5	Low	External company to administer payroll
	Wrong Rate Applied	5	1	5	Low	
	Not Accounting for correct deductions of NI, Tax and Superannuation	5	1	5	Low	
VAT Payment Recovery of	Improper recording off input/out of VAT	5	2	10	Medium	Analysis sheet provided by local H.M. Custom and Excise in operation. Records recorded separate column of R&P book
Financial Assistance	Legal Power to contribute	5	2	10	Medium	Compliance with section 137 and other legislation
	Compliance with Council Policy	5	1	5	Low	Educate/Remind members of Policy
	Overspend	5	2	10	Medium	Clerk/RFO to monitor
Councillors Allowances	Over/Under payments to Members	4	1	5	Low	Reconcile with minutes of National Agreed Rates
<u>Other Assets</u>	Loss/Damage thereof	5	2	10	Medium	Monthly inspection of seats and bus shelters
	Risk or damage to third party property or individuals	4	2	8	Medium	£5,000,000 Indemnity of Public Liability in place. Review annually
	Asset Register	5	2	10	Medium	Update Asset Register annually
	Maintenance	5	3	15	High	Undertake repair and maintenance – ongoing

Staff	Insufficient to deliver service	5	4	20	Very high	Review Staff Structure
	Loss of key personnel – Clerk, through ill health, retirement, long term sickness or even death	5	3	15	High	Review staff structures, working hours, duties and responsibilities
Consultations	Meeting of deadlines for response	3	4	12	High	Appoint appropriate councillors to consider planning applications and other consultative documents falling in between normal monthly meetings.
Document Security	Appropriateness of existing facilities	5	4	20	Very High	Fire resistant cabinet provided to clerk
Financial Records	Inadequate Records	5	1	5	Low	Financial records updated regularly and kept on pen drive as back up. The use of Receipt and Payments book is still in force
Minutes	Accurate and Legal	5	1	5	Low	Minutes being approved and, signed at following meeting
Health and Safety Risk Assessment	Failure to identify	5	1	5	Low	Staff re footway lighting, public path maintenance, carry their own assessment and hold a certificate
Register of members interest, gifts and hospitality	Identification of interest and recording of gifts and hospitality	3	1	3	Low	Register of Interest file held by Council and implemented. Declaration of Office signed by all members and copies held by Council. Copies sent to the Commissioner for Local Administration in Wales. Interest declared noted and signed. Relevant form to be completed when declaring an interest
Code of Conduct	Adoption of Code of Conduct	5	1	5	Low	Code of Conduct adopted by Council and implemented. Employee code of conduct implemented.
Welsh Language Policy	Preparation of and Implementation of Policy	5	2	10	Medium	Welsh Language Scheme was adopted and approved on 11 December 2006 reviewed annually, confirmation sent to Welsh Language Board annually
<u>Public Information</u> Web Content	Incorrect information uploaded	5	1	5	Low	2 persons to revise any work done in 'draft' form Full council to accept and approve

Data Protection	Breach of data protection	5	1	5	Low	Password protection to IT equipment Data Protection policy in place
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