

LLANGOED & PENMON COMMUNITY COUNCIL - RISK ASSESSMENT SCHEDULE 2021.

Assessment Criteria

Rating: Potential Consequence Score: 1-5
 Likelihood of Happening Score: 1-5
 Severity Level Score – Potential Consequence x Likelihood

Classification: 1-5 Low
 6-10 Medium
 11-15 High
 16-25 Very High

Topic	Risk Identified	Potential Consequence	Likelihood	Severity Score	Classi'tion	Measures to be taken to Reduce/Minimise/Control Risk
Income Precept	Not Submitted	5	1	5	Low	Full Budget process in place. Clerk/RFO to prepare budget annually in December. Finance Committee 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
	Inadequacy of Precept	5	1	5	Low	Clerk RFO to present monthly Reconciled Accounts, All monthly Receipts and Expenditure and Financial Summary to Council meeting Finance Committee to review/compare budget to actual quarterly
Loss of Money	Business Interruption	5	2	10	Medium	Insured – Loss up to £250,000
	In Transit	5	3	15	High	Insured for limit of £250 – Increase to £5,000
	In Premises	5	3	15	High	Insured for £5,000
	In Safe or Strong Room	5	2	10	Medium	Insured for min £250 max £5,000
	Private Residence of Member or Employee	5	3	15	High	Insured to £5,000
	Through theft or dishonesty of Staff or Members	5	2	10	Medium	Fidelity guarantee of £25,000 per member with Personal Accident Cover limited to £500,000 any one person and £2 million any one incident. Review annually if needed.
Borrowing/Lending	Adequacy of finances to repay loan	5	1	5	Low	Provision made in Annual Budget
Income/Policy	Investment Strategy Policy	3	2	6	Medium	Review Annually
Reserves – General	Ensure Adequacy	5	1	5	Low	Consider at Budget Setting
Reserves – Earmarked	Ensure Adequacy	5	1	5	Low	Consider at Budget Setting
	Unidentified /Recording	5	1	5	Low	Identified at Budget Setting and Recorded in Final Accounts
Public Liability	Failure to fulfil agreement	5	3	15	High	Council Insured to £10 million, Libel & Slander £100,000
Expenditure						
Legal Powers	Illegal Payment or Activity	5	2	10	Medium	All statutory powers to undertake work recorded in minutes. Ensure compliance with Standing Orders and Financial Regulations. Review of Standing Orders and Financial Regulations during lifetime of Council

Salaries/Wages	Wrong Salary Paid	5	2	10	Medium	Clerk's salary presented to Council monthly and/or quarterly and Chairman to scrutinise details of claim
	Wrong Rate Applied	5	2	10	Medium	Reconcile with minutes of National Agreed Rates for Clerks
	False Employee	5	2	10	Medium	Finance Committee to undertake examination of PAYE records.
	Not Accounting for correct deductions of NI, Tax and Superannuation	5	2	10	Medium	Independent Professional Payroll Company employed to process manual staff wages, if required.
	Submission of PAYE records Payments	4	1	5	Low	Returns submitted monthly/quarterly and/or annually. Finance committee to verify. Annual Return to be completed electronically
VAT Payment Recovery of	Improper recording of input/output VAT	5	2	10	Medium	Have access to County Council's VAT unit for assistance and guidance
	Inability to meet monthly and/or quarterly submissions to H.M customs	5	1	5	Low	Systems in place to ensure compliance. Finance Committee to agree on compliance with time scales.
	Annual Reconciliation of quarterly returns	5	1	5	Low	
Financial Assistance	Legal Power to contribute	5	2	10	Medium	Compliance with section 137 and other pertinent legislation
	Compliance with Council Policy	5	1	5	Low	Educate/Remind members of Policy
	Overspend	5	2	10	Medium	Clerk/RFO to monitor monthly
	Over/Under payments to Members	4	1	5	Low	Members to complete and verify standard attendance/claim form.
Councillors Allowances	Proper deduction of tax	5	1	5	Low	Audit to verify
	Maintain proper records	3	1	3	Low	Standard claim forms in place.
Training of Councillors						Councillors to be encouraged to attend relevant courses – Council to draft a training plan.
Training of Clerk / Staff						Clerk to be fully qualified by 2023 – via CILCA.
Other						
Assets	Loss/Damage thereof	5	2	10	Medium	Monthly and/or annual Inspection of Community Hall, Cemetery, Playground Equipment, Football Club Premises, Bus Shelters, Wayside Seating, Notice & Information Boards. Insure against all risks. Community Hall and Cemetery insured for replacement value. Review annually.
	Risk or damage to third party property or individuals	4	2	8	Medium	Indemnity of Public Liability in place - Review annually
	Security of Buildings and Equipment	5	3	15	High	Review Annually and Include on Insurance Policy. Tyddyn Paun Playing Field Building & Contents insured and reviewed 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

Staff	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 as a matter of urgency.
Cemetery	Future Demand	5	1	5	Low	Adequate land available for at least 75/100 years in main cemetery
	Capacity of present Garden of Remembrance	5	1	5	Low	Review capacity and need to provide for future demand.
	Memorial Headstones (Safety)	5	5	25	Very High	Undertake immediate action to carry out safety tests on memorial headstones. Create Memorial Headstone erection policy as a matter of urgency. Headstone Safety Testing equipment purchased.
	Stability of Boundary Walls, Trees and Hedges	5	2	10	Medium	Undertake inspection of all boundary fencing, walls and ornamental trees for stability.
	Condition of seats	5	1	5	Low	Undertake inspection of all seats for safety reasons.
Consultations	Meeting of deadlines for response	3	4	12	High	Appoint executive board 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	Purchase fire resistant cabinet or investigate storage by electronic means Deposit historical records with County archives.
Financial Records	Inadequate Records	5	1	5	Low	Financial records updated monthly and kept manually and/or on CD.
Minutes	Accurate and Legal	5	1	5	Low	Reviewed, signed and dated at following meeting.
Health and Safety Risk Assessment	Failure to identify	5	5	25	High	Independent Health and Safety Consultant engaged to advise Council report to hand and implementing recommendations. Ongoing
Disability Discrimination Issues	Failure to identify and implement adaptations	5	5	25	High	Independent Consultants engaged to identify alterations, improvements to comply with legislation. Report to hand and in process of undertaking work. Ongoing
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.
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	Policy in place and accepted by Welsh Language Board. Instantaneous translation facilities available at all Council monthly meetings. Agenda produced bilingually. Press releases and advertising undertaken bilingually. Letters received in Welsh replied in Welsh. Complex documents translated by professional Translators. Bilingual corporate identity. 80% of permanent staff are fully bilingual and 86.66% of members are bilingual. Other policies adopted as and when required.