

CWM CADNANT COMMUNITY COUNCIL - RISK ASSESSMENT SCHEDULE – revised APRIL 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

Risk Identified	Potential Consequence	Likelihood	Severity Score	Classi'tion	Measures to be taken to Reduce/Minimise/Control Risk
Annual Governance & Financial Control	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
Budget Monitoring	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
Public Liability	5	2	10	Medium	Insured – Limit of £10,000,000 reviewed annually
Employment Liability	5	2	10	Medium	Insured – Limit of £10,000,000 reviewed annually
Libel & Slander	5	2	10	Medium	Insured for £100,000
Personal Accident	5	2	10	Medium	Insured for £500,000 any one person and £2,000,000 any one incident – reviewed annually.
Private Residence of Member or Employee	5	3	15	High	Insure to maximum level
Through theft or dishonesty of Staff or Members	5	2	10	Medium	Fidelity guarantee of £25,000 and review annually in January including Legal Expenses cover.
Adequacy of finances to repay loan	5	1	5	Low	Provision made in Annual Budget, if and when required.
Investment Strategy Policy	5	1	5	Low	Review Annually
Unidentified /Recording	5	1	5	Low	Identified at Budget Setting and Recorded in Final Accounts
Failure to fulfil agreement	5	1	5	Low	Clerk to monitor. Diary of work undertaken and when in place
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 at least once during lifetime of Council
Wrong Salary Paid	5	2	10	Medium	Clerk's salary presented to Council monthly and/or quarterly and Chairman of Full Council 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 to advise, if required.
Submission of PAYE records Payments	5	2	10	Medium	Returns submitted monthly electronically. Finance Committee to scrutinise, if required. Annual Return to be completed electronically
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	2	10	Medium	Systems in place to ensure compliance. Finance Committee to agree on compliance with time scales.
Legal Power to contribute	5	2	10	Medium	Compliance with Section 137/LGA1972 and minute reference to other relevant statutory legislation
Compliance with Council Policy	5	1	5	Low	Educate/Remind members of Policy
Overspend	5	2	10	Medium	Clerk/RFO to monitor monthly and inform Full Council
Payments to Members	5	1	5	Low	Noted & Included in the Annual Budget. Members to complete standard claim form annually.
Proper deduction of tax	5	1	5	Low	Internal Audit to advise and confirm at Annual Internal Audit
Maintain proper records	5	1	5	Low	Standard claim forms in place.
Loss/Damage thereof	5	2	10	Medium	Weekly, Monthly and/or Annual Inspection of Community Hall, Playground Equipment, Bus Shelters, Seating, Notice & Information Boards and to Insure against all risks. Community Hall insured for replacement value. Review annually.
Risk or damage to third party property or individuals	5	2	10	Medium	Indemnity of Public Liability in place as above - Review annually
Security of Buildings and Equipment	5	3	15	High	Weekly Inspection & Sanitising of Equipment & Buildings.
Asset Register	5	2	10	Medium	Update Asset Register Annually before presenting to Internal Audit and on the Council's Website.
Maintenance of Equipment	5	3	15	High	Undertake repair and maintenance - Ongoing
Insufficient to deliver service of the Council	5	3	20	High	Review Staff Structure
Loss of key personnel – Clerk through ill health, retirement, long term sickness or even death	5	3	15	High	Review Contract of Employment, Staff structures, working hours, duties and responsibilities as a matter of urgency.
Meeting of deadlines for response	5	3	15	High	Send all planning applications and other consultative documents falling in between normal monthly meetings via electronic mail.
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.
Inadequate Records	5	1	5	Low	Minutes & Financial records updated monthly and kept electronically plus a filed manual back up system.
Accurate and Legal	5	1	5	Low	All Minutes reviewed, signed and dated at following meeting.

Failure to identify	5	3	15	High	Independent Health and Safety Consultant engaged to advise Council report to hand and implementing recommendations. Ongoing
Failure to identify and implement adaptations	5	3	15	High	Independent Consultants engaged to identify alterations, improvements to comply with legislation. Report to hand and in process of undertaking work. Ongoing
Identification of interest and recording of gifts and hospitality	5	1	5	Low	Register of Interest file held by Council and implemented. Declaration of Office signed by all members and copy retained by the Clerk. Declaration of Member Allowances signed annually and copy retained by the Clerk. Copies sent to the Local Authority Standards Committee & Commissioner for Local Administration in Wales upon request. Copies of all documents provided upon request and can also be viewed on the Council's website.
Adoption of Code of Conduct	5	1	5	Low	Code of Conduct adopted by Council and implemented. Employee code of conduct implemented. Local Resolution Protocol and Social Media Policy has been apoted.
Preparation of and Implementation of Welsh & Bi-lingual Policy	5	2	10	Medium	Policy in place and accepted by Welsh Language Board. Agenda produced bilingually. Press releases and advertising undertaken bilingually. Letters received in Welsh replied in Welsh. Bilingual corporate identity. 95% of permanent staff are fully bilingual.