

LLANFIHANGELESCEIFIOG COMMUNITY COUNCIL - RISK ASSESSMENT SCHEDULE

Assessment Criteria

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| 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 |

| Risk Identified | Potential Consequence | Likelihood | Severity Score | Classi'tion | Measures to be taken to Reduce/Minimise/Control Risk |
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| 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. |
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| 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 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 monthly |
| Payments to Members | 5 | 1 | 5 | Low | Members to complete and verify standard claim form annually. |
| Proper deduction of tax | 5 | 1 | 5 | Low | Internal Audit to verify |
| Maintain proper records | 5 | 1 | 5 | Low | Standard claim forms in place. |
| Loss/Damage thereof | 5 | 2 | 10 | Medium | Monthly and/or Annual Inspection of both Playgrounds and its Equipment, Bus Shelters, Seating, Notice & Information Boards, Dog Bins and Insure against all risks. Insurance for replacement value to be 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 | Monthly Inspection of all Playground Equipment & Bus Shelters. |
| Asset Register | 5 | 2 | 10 | Medium | Update Asset Register annually |
| Maintenance | 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 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 | Financial records updated monthly and keep manual back up and/or on CD. |
| Accurate and Legal | 5 | 1 | 5 | Low | 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 |

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| 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 copies held by Council. Copies sent to the Commissioner for Local Administration in Wales upon request. |
| Adoption of Code of Conduct | 5 | 1 | 5 | Low | Code of Conduct adopted by Council and implemented. Employee code of conduct implemented. |
| Preparation of and Implementation of Welsh & Bi-lingual Policy | 5 | 2 | 10 | Medium | Policy in place and accepted by Welsh Language Board. Agenda & Minutes to be approved & produced bilingually in next 12 months.. Press releases and advertising undertaken bilingually. Letters received in Welsh replied in Welsh. Bilingual corporate identity. 100% of permanent staff are fully bilingual. |