

LLANGAIN COMMUNITY COUNCIL RISK ASSESSMENT SCHEDULE

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

Note: It should be noted in this context that The Council is small, with few responsibilities ,choses not to engage in large projects but endeavours to actively serve and promote the local community in terms of local/village amenities and development and to represent the community when dealing with Central and Local Government and other agencies . As such the risks are relatively small and protected by systems in place and regular reporting by residents and Councillors.

Topic	Risk Identified	Potential Consequence	Likelihood	Severity Score	Classi'tion	Measures to be taken to Reduce/Minimise/Control Risk
<u>Income Precept</u>	Not Submitted	5	1	5	Low	Full Budget process in place. Clerk/RFO to report on current budget performance annually in November. Clerk to prepare draft budget prior to January meeting Full Council to determine precept annually in January Clerk/RFO to notify County Council before end of January
	Not paid by County Council	5	1	5	Low	Clerk/RFO to monitor and report to Council Paid directly to income account
	Inadequacy of Precept	5	1	5	Low	All monthly Receipts and Expenditure reported to Council meeting, expenditure reconciled against pre-set budget headings.Viring between budget heads and from reserves to be resolved by Council if necessary. .
Loss of Money	Business Interruption					N/A No money handled
	In Transit					do
	In Premises					do
	In Safe or Strong Room					do

	Private Residence of Member or Employee					do
	Through theft or dishonesty of Staff or Members	5	2	10	Medium	Fidelity guarantee of £7000. as per Auditors recommendation
Borrowing/Lending	Adequacy of finances to repay loan	5	1	5	Low	Not normally applicable but if so, budget provision would be resolved
Investment Strategy Income/Policy	Investment Strategy Policy					N/A 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
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 approved by Council, in accordance with salary level previously resolved.
	Wrong Rate Applied	5	2	10	Medium	Reconcile with minutes of National Agreed Rates for Clerks
	Not Accounting for correct deductions of NI, Tax and Superannuation	5	2	10	Medium	No payroll facilities, but income tax of Clerk declared by himself,to HMRC as agreement with HMRC .No other employees .
	Inaccurate recording of hours	5	2	10	Medium	N/-Clerk paid monthly salary as agreed by both parties
	Submission of PAYE records Payments					N/A-See above
VAT Payment Recovery of	Improper recording of input/ VAT	5	2	10	Medium	
	Inability to meet annual submissions to H.M customs	5	1	5	Low	Clerk submits return by required time and reports to Council
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	Formulation of policy documents available to all members.Clerk to educate and refer to policies if necessary.
	Overspend	5	2	10	Medium	Clerk/RFO to monitor monthly

Councillors Allowances	Over/Under payments to Members	4	1	5	Low	N/A none paid
	Proper deduction of tax	5	1	5	Low	N/A
	Maintain proper records	3	1	3	Low	N/A.
Training of Councillors						As necessary
Training of Clerk / Staff						As necessary
Other						
Assets	Loss/Damage thereof	5	2	10	Medium	Regular inspection of Council assets ,viz benches, bus shelter ,village notice boards, heritage signs and sun dial .Any damage or risk to the public reported to Council for consideration or action.
	Risk or damage to third party property or individuals	4	2	8	Medium	Indemnity of Public Liability in place. Reviewed as par Auditors recommendations
	Security of Buildings and Equipment	5	3	15	High	N/A
	Asset Register	5	2	10	Medium	Review Asset Register annually
	Maintenance	5	3	15	High	Undertake repair and maintenance - Ongoing
Staff	Insufficient to deliver service					N/a
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. Replace as necessary.
	Condition of seats					See assets
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	Records kept in cabinet at Clerk’s residence with minutes and budgetary/financial information kept on computer usb drive. Deposit historical records with County archives periodically.
Financial Records	Inadequate Records	5	1	5	Low3	. Financial records updated monthly , transactions reported monthly and minuted, and kept on by Clerk
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	.As per recommendations of One Voice Wales. Ongoing
Disability Discrimination	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

Issues						work. Ongoing
Register of Members Interest, Gifts and Hospitality	Identification of interest and recording of gifts and hospitality	3	1	3	Low	.No register kept but interest declared by individual councillors when certain issues , e.g. planning , are considered and when applicable they take no part in discussions
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.. Agenda produced bilingually. Annual newsletter bilingual . Letters received in Welsh replied in Welsh . Clerk is fully bilingual