

RISK ASSESSMENT SCHEDULE
Llysfaen Community Council

May 2019

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	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 by deadline.
	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
Cemetery Income	Grave Allocation	5	1	5	Low	Updating of Burial Register – Ongoing
	Collection of proper internment charges	3	2	6	Medium	Audit Committee to Cross Check Receipts with Fees No Burials to take place until Clerk has received signed application form and fees.
	Review of Fees	3	2	6	Medium	Annual Review of Charges in March by Council
	Banking of Fees	5	1	5	Low	Clerk/RFO to bank monies within 1 month of receipt thereof.
Loss of Money	Through theft or dishonesty of Staff or Members	5	2	10	Medium	All expenses to be approved at council meetings. Annual internal review
	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
Expenditure Salaries/Wages	Wrong Salary Paid	5	2	10	Medium	Clerk's salary presented to Council quarterly and Chairman to scrutinise details of claim
	Wrong rate applied	5	2	10	Medium	Clerks salary presented to Council and chairman to scrutinise details.
	False Employee	5	2	10	Medium	Council to undertake examination of PAYE records.
	Proper deduction of tax	5	1	5	Low	Verified accuracy at Audit, Verified accuracy of claim by Clerk and Chair.
	Not Accounting for correct deductions of NI, Tax and Superannuation	5	2	10	Medium	Chair to thoroughly scrutinise the details of the wages

	Inaccurate recording of hours	5	2	10	Medium	Council to approve any changes to regular hours.
	Submission of PAYE records Payments	4	1	5	Low	Returns submitted monthly. Proof provided by Clerk monthly. Annual Return to be completed electronically and printed.
	Identification of Non Business Activities	5	2	10	Medium	Chair to thoroughly scrutinise the details of the wages
Legal Powers	Annual Reconciliation of quarterly returns	5	1	5	Low	To be reviewed at submission of Audit information to internal auditor, by the Chair/other Council members.
	Legal Power to contribute	5	2	10	Medium	Compliance with section 137 and other legislation
Councillors Allowances	Compliance with Council Policy	5	1	5	Low	Educate/Remind members of Policy
	Over/Under payments to Members	4	1	5	Low	Members to complete and verify standard attendance/claim form. Audit to verify
VAT Payment Recovery of	Improper recording of input/output VAT	5	2	10	Medium	Dedicated computer software system in place and analysis sheet provided to local H.M. Customs and Excise in operation Have access to County Council's VAT unit for assistance and guidance
Financial Management	Overspend	5	2	10	Medium	Clerk/RFO to monitor spend against budget quarterly, or more frequently if required.
Assets General	Loss/Damage thereof	5	2	10	Medium	Monthly inspections of the community notice board, and other assets. Insure against all risks. Community Hall and Cemetery stores insured for replacement value. Review annually.
	Risk or damage to third party property or individuals	4	2	8	Medium	£6000, 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
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 regular safety tests on memorial headstones. Headstone Safety Testing equipment requirement to be reviewed.
	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	3	2	6	Medium	Insurance covering public liability. Regular checks for damage/safety.
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.
	Insufficient to deliver service	5	4	20	Very high	Review Staff Structure
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.
	Failure to identify and implement adaptations	5	5	25	Very High	Regular review of NALC and CILCA and OVW sites for updates to legislation.

Document Security / GDPR	Appropriateness of existing facilities	5	4	20	Very High	Fire resistant cabinet or storage by electronic means Deposit historical records with County archives.
	Lack of training	5	2	10	Medium	Attend ongoing training to keep skills up to date.
	Documents retained for too long	5	4	20	High	Document retention policy to be adopted by the Council.
	Lack of process or procedure for protecting Data.	5	4	20	High	Data Protection Policy to be adopted by the Council.
	Failure to follow legal requirements	5	3	15	High	Registration with the Information Commissioners Office, and appointment of Data Protection Officer.
	Failure to follow Policy	5	3	15	High	Chair and Council to review actions against agreed policy, and to ensure implementation. Review requirement for a DPO external to the Council.
Financial records	Inadequate Records	5	1	5	Low	Dedicate software package for Town and Community Council to be reviewed. Financial records updated monthly and backups held.
Minutes	Accurate and Legal	5	1	5	Low	Reviewed, signed and dated at following meeting.
Disability Discrimination Issues	Failure to identify	5	5	25	High	Review requirement for consultation on this matter.
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	Llysfyaen has not opted into this policy at this time, as the costs of translation outweigh the benefits to the number of welsh speaker in the area.

SIGNED

CLERK _____

CHAIR _____

DATE _____

DATE _____

MEETING AGREED AT _____

DATE OF REVIEW _____