

# MINERA COMMUNITY COUNCIL CYNGOR CYMUNED MWYNGLAWDD

## RISK ASSESSMENT SCHEDULE

### 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	Classification	Measures to be taken to Reduce/Minimise/Control Risk
<b><u>Income</u></b>						
Precept	Not Submitted	5	1	5	Low	Full Budget process in place. Clerk to prepare budget annually in Oct/Nov Council to consider budget annually in November Council to determine precept annually in December Clerk/RFO to notify County Council in January
	Not paid by County Borough Council	5	1	5	Low	Clerk 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 Council to review/compare budget to actual quarterly
Loss of Money	Business Interruption	5	2	10	Medium	Insured – Loss
	In Transit	5	1	5	Low	Insured for limit of £500
	In Premises	5	1	5	Low	Insured for £100
	In Safe or Strong Room	5	1	10	Low	Insured for £Nil
	Private Residence of Member or Employee	5	1	5	Low	Insure for limit of £100
	Through theft or dishonesty of Staff or Members	5	2	10	Medium	Fidelity guarantee of £225,000 subject to £100 excess.
Borrowing/Lending	Adequacy of finances to	5	1	5	Low	Provision made in Annual Budget

Topic	Risk Identified	Potential Consequence	Likelihood	Severity Score	Classification	Measures to be taken to Reduce/Minimise/Control Risk
	replay loan					Policy part of Investment Strategy
Investment Strategy	Investment Strategy	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
<b>Expenditure</b>						
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 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	Internal audit to undertake examination of PAYE records.
	Not Accounting for correct deductions of NI, Tax and Superannuation	5	2	10	Medium	Internal audit will identify errors
	Inaccurate recording of hours	5	2	10	Medium	Chairman to monitor clerk's hours
	Submission of PAYE records Payments	4	1	5	Low	Returns submitted monthly. Internal audit will identify errors .
VAT Payment Recovery of	Improper recording of input/output VAT	5	2	10	Medium	Working sheets available to Chairman and internal audit
	Improper Identification of Non Business Activities	5	2	10	Medium	
	Inability to meet annual submissions to H.M.R&C	5	1	5	Low	Systems in place to ensure compliance. Clerk to highlight potential problems in meeting timescales
	Annual Reconciliation	5	1	5	Low	
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	Educate/Remind members of Policy
	Overspend	5	2	10	Medium	Clerk to monitor monthly
Councillors Allowances	Over/Under payments to Members	4	1	5	Low	Members to complete claim in writing for scrutiny
	Proper deduction of tax	5	1	5	Low	Audit to verify
	Maintain proper records	3	1	3	Low	Standard claim forms in place.
<b>Training of</b>						

Topic	Risk Identified	Potential Consequence	Likelihood	Severity Score	Classification	Measures to be taken to Reduce/Minimise/Control Risk
<b>Councillors</b>						
<b>Training of Clerk / Staff</b>						As Necessary
<b>Other</b>						
Assets	Loss/Damage thereof	5	2	10	Medium	Insure against all risks. Review annually.
	Risk or damage to third party property or individuals	4	2	8	Medium	£2,000,000 Indemnity of Public Liability in place. Review annually
	Security of Assets	5	3	15	High	Annual Review
	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
	Loss of key personnel – Clerk through ill health, retirement, long term sickness or even death	5	4	20	High	Review staff structures, working hours, duties and responsibilities as a matter of urgency. Other professional services outsourced as and when required.
Consultations	Meeting of deadlines for response	3	4	12	High	Make arrangements for 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	Held in Fire proof cabinet. Deposit historical records with County archives.
Financial Records	Inadequate Records	5	1	5	Low	Investigate dedicate software package for Council use. Financial records updated monthly and kept 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	Review annually
Disabled Discrimination Act	Failure to identify and implement adaptations	5	5	25	High	Independent Consultants engaged as necessary.
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. Declarations of interest minuted at every meeting. 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 to be implemented.
Welsh Language Policy	Preparation of and Implementation of Policy	5	2	10	Medium	Policy to be reviewed.

