



Revision & Control

Revision	Revised by	Date	Approved by Council	Date
01	IW Donaldson	17/07/13	<i>Poetyn Hood-Williams</i>	18/07/13
02	IW Donaldson	28/10/14	<i>Poetyn Hood-Williams</i>	20/11/14
03	IW Donaldson	19/11/15	<i>Poetyn Hood-Williams</i>	19/11/15
04	IW Donaldson	17/11/16	<i>Poetyn Hood-Williams</i>	17/11/16
05	IW Donaldson	16/11/17	<i>Poetyn Hood-Williams</i>	16/11/17

RISK ASSESSMENT SCHEDULE

Assessment Criteria

Rating: Potential Consequence Score: 1-5	Classification: 1-5 Low
Likelihood of Happening Score: 1-5	6-10 Medium
Security Level Score : Potential Consequence x Likelihood	11-15 High
	16-25 Very High

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Topic	Risk Identified	Potential Consequence	Likelihood	Severity Score	Classification	Measures to be taken to minimise/control risk
Income Precept	Not Submitted	5	1	5	Low	Full Budget Process in place Clerk to prepare budget annually in December Finance Meeting to determine precept annually in January
	Not paid by City Council	5	1	5	Low	Clerk to notify City Council end January Clerk to monitor and report to council Paid directly to Bank Account by BACS
	Inadequacy of Precept	5	1	5	Low	Clerk to present monthly reconciled accounts of receipts and expenditure to Council Meeting. Finance Committee to review budget to actual quarterly
Hall Hire	Collection	3	1	3	Low	Hall Manger to ensure all hirers are provided with a sequential receipt and that these are submitted monthly to the clerk for filing and reconciliation to Bank deposits. Annual review of charges at Finance Meeting
Loss of Money	Business Interruption	5	2	10	Medium	Insured Loss £32,000
	In premises	3	1	3	Low	Insured Loss £5000
	Private Residence of Employee	3	2	6	Medium	Insured Loss £500
	Theft or dishonesty of	5	1	5	Low	Implementation of best practices. All invoices, cheques approved by council in meetings and financial reports

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	employees					reconciled against Bank Statements. On a quarterly basis a non-cheque signatory Councillor will verify the Cash Book versus Bank Statement reconciliations and sign both. £250,000 insured.
Topic	Risk Identified	Potential Consequence	Likelihood	Severity Score	Classification	Measures to be taken to minimise/control risk
Reserves Earmarked	Ensure Adequacy	5	1	5	Low	Consider at Budget setting
Expenditure						
Legal Powers	Illegal Payment/Activity	5	2	10	Medium	All statutory powers to undertake work recorded in minutes. Ensure compliance with Standing Orders and Financial Regulations. Review of these during lifetime of Council.
Salaries	Wrong payment	5	1	5	Low	Clerk and Hall Manager salaries paid by Standing Order requiring 2 signatures to change.
	Wrong PAYE	5	1	5	Low	Clerk to present PAYE return slips monthly for approval in council. Annual return to be completed electronically.
Recovery of VAT Payments	Improper recording of input VAT	5	2	10	Medium	Record VAT into monthly accounts for scrutiny.
	Improper identification of non business items	5	2	10	Medium	Have access to City Council VAT unit, SLCC and OVV for assistance and guidance.
	Inability to meet	5	1	5	Low	Clerk to compile VAT 126 forms monthly for submission

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Topic	Risk Identified	Potential Consequence	Likelihood	Severity Score	Classification	Measures to be taken to minimise/control risk
	quarterly submissions .					to HMRC quarterly.
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
Other						
Assets	Loss/Damage	5	2	10	Medium	Weekly inspection of Hall by Hall Manger. Insure against all risks. Weekly Inspections of Children's Play area including safety surfaces for defects. Report any damage to Clerk immediately.
	Risk or damage to third party property or individuals	5	2	10	Medium	£12,000,000 Indemnity of Public Liability in place. Review annually

Staff	Loss of Key Personnel through ill health, retirement, resignation or death.	5	2	10	Medium	Review salary structures annually. Consider succession planning annually. Monitor training and wellbeing regularly.
Document Security	Loss of files/records	5	2	10	Medium	Clerk to ensure all minutes, accounts, important documents are kept safe and where appropriate on digital media. Weekly backups of all data put onto digital media.

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Minutes	Accurate and Legal	5	1	5	Low	Reviewed, signed and dated at the following meeting.
Topic	Risk Identified	Potential Consequence	Likelihood	Severity Score	Classification	Measures to be taken to minimise/control risk
Register of Members Interests, Gifts, and hospitality	Recording of interests, gifts and hospitality	3	1	3	Low	Declaration of Office and acceptance of Code of Conduct signed by all Councillors and held by the Clerk. Register of interests file held by clerk
Health and Safety Risk Assessments	Failure to identify	5	5	25	Very High	Electrical Safety Checks and PAT Tests carried out and report received and implemented. Fire Safety Risk Assessment done. Fire Inspections undertaken with Alarm/Signs/Extinguisher serviced bi-annually. Health and Safety Accident Reporting System implemented with near miss reporting encouraged.
Disability Discrimination Issues	Failure to identify and implement adaptations.	5	2	10	Medium	Clerk to continually monitor legislation and advise Council accordingly.
Consultations	Meeting of deadlines for response	3	3	9	Medium	Deputy Chair assigned to Planning Applications. Clerk to circulate other consultative documents and set deadline for replies.