Revision & Control

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| --- | --- | --- | --- | --- |
| Revision | Revised by | Date | Approved by Council | Date |
| 01 | IW Donaldson | 17/07/13 | C:\Users\user1\Desktop\PHW.png | 18/07/13 |
| 02 | IW Donaldson | 28/10/14 | C:\Users\user1\Desktop\PHW.png | 20/11/14 |
| 03 | IW Donaldson | 19/11/15 | C:\Users\user1\Desktop\PHW.png | 19/11/15 |
| 04 | IW Donaldson | 17/11/16 | C:\Users\user1\Desktop\PHW.png | 17/11/16 |
| 05 | IW Donaldson | 16/11/17 |  | 16/11/17 |
| 06 | IW Donaldson | 15/11/18 |  | 15/11/18 |
| 07 | IW Donaldson | 16/01/20 |  | 16/01/20 |
| 08 | IW Donaldson | 21/01/21 |  | 21/01/21 |
| 09 | ACJ Rogers | 20/01/22 |  | 20/01/22 |

**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  Not paid by City Council  Inadequacy of Precept | 5  5  5 | 1  1  1 | 5  5  5 | Low  Low  Low | Full Budget Process in place  Clerk to prepare budget annually in December  Finance Meeting to determine precept annually in January  Clerk to notify City Council end January  Clerk to monitor and report to council  Paid directly to Bank Account by BACS  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 January 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 employees | 5 | 1 | 5 | Low | Implementation of best practices. All invoices, cheques approved by council in meetings and financial reports 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 OVW for assistance and guidance. |
|  | Inability to meet quarterly submissions . | 5 | 1 | 5 | Low | Clerk to compile VAT 126 forms monthly for submission to HMRC quarterly. |
| Topic | Risk Identified | Potential  Consequence | Likelihood | Severity Score | Classification | Measures to be taken to minimise/control risk |
| 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 |

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| 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. |
| 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 adaptions. | 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. |

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