

SHIRENEWTON 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

Topic	Risk Identified	Potential Consequence	Likelihood	Severity Score	Classi'tion	Measures to be taken to Reduce/Minimise/Control Risk
<u>Income</u> Precept	Not being submitted	5	1	5	Low	Full Budget process in place. Clerk/RFO to prepare budget annually in November/December. Full Council to consider budget annually in December. Full Council to determine precept annually in December. Clerk/RFO to notify County Council by early January.
	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 quarterly financial report, including all monthly receipts and expenditure and financial summary to Council meeting. Council to review/compare budget to actual quarterly report. Relevant paperwork confirmed at the meeting and signed by Councillor.
Rental of Earlswood field	Annual agreement lapses	5	1	5	Low	Annual agreement signed by tenant and Council from 1 st May. Reviewed annually in February. Three month notice of termination required.
Community Benefit for solar farm	Not paid by ReneSola	3	3	5	Low	Annual payment of £1000 for solar farm made by ReneSola from 2016/17 for 25 years.
Loss of Money	Crossed cheques and other non-negotiable money	5	2	10	Medium	Insured – £250,000, reviewed annually
	In Transit	5	3	15	High	Insured - £2,500, reviewed annually
	In Premises	5	3	15	High	Insured - £2,500, reviewed annually
	Private Residence of Member or Employee	5	3	15	High	Insured - £350, reviewed annually
	Personal accident (assault) of employee or person entrusted with money	5	2	10	Medium	Insured – scale of benefit up to £25,000, reviewed annually
Borrowing/Lending	Adequacy of finances to repay loan	5	1	5	Low	Not relevant at this time.
Investment Strategy Income/Policy	Investment Strategy Policy	3	2	6	Medium	Policy in place Reviewed annually at Annual Meeting
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

Topic	Risk Identified	Potential Consequence	Likelihood	Severity Score	Classi'tion	Measures to be taken to Reduce/Minimise/Control Risk
SLA's	Failure to fulfil agreement	5	2	10	Medium	Clerk to monitor and report to Council.
	Loss of income	5	4	20	Very High	Clerk to monitor and report to Council
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. Annual review of Standing Orders and Financial Regs verified at Annual Mtg.
Salaries/Wages	Wrong Salary Paid	5	2	10	Medium	Clerk's part time salary verified annually at budget setting, signed by Chair. Presented to Council with quarterly financial report and signed off by a Councillor at meeting.
	Wrong Rate Applied	5	2	10	Medium	Reconcile with National Association of Local Council's pay scales.
	False Employee	5	2	10	Medium	Auditors to undertake examination of PAYE records.
	Not Accounting for correct deductions of NI, Tax and Superannuation	5	2	10	Medium	Calculations made by Clerk and verified by HMRC
	Submission of PAYE payments	4	1	5	Low	Electronic PAYE returns submitted monthly to HMRC, plus end of year summary and Form P11D(b). Auditors to verify.
Recovery of VAT Payments	Improper recording of input/output VAT	5	2	10	Medium	Analysis of payments made from expenditure records and annual claim form submitted to HM Customs and Excise by Clerk in December.
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/RFO to monitor. Presented to Council with quarterly financial report for discussion.
Councillors Allowances	Over/Under payments to Members	4	1	5	Low	To date no allowances paid.
Councillor Remuneration	Annual payment of remuneration	3	1	3	Low	To date all Councillors opted out of payment. Allowance made in budget setting for two current vacancies on the Council
Training of Councillors	Training not undertaken	3	1	8	Low	All Councillors to undertake Code of Conduct training. Quarterly training schedules circulated by Clerk, Councillors encouraged to attend.
Complaints against Councillors	Complaints from other members, staff, or the public	5	2	10	Low	Local Resolution Protocol in place for low level complaints, reviewed annually. Serious complaints to be dealt with by Public Services Ombudsman for Wales.
Training of Clerk	Training not undertaken	4	1	10	Low	Training undertaken on finance, responding to Planning applications, encouraged to attend Society of Local Council Clerk's annual conference
Assets	Loss/Damage thereof	5	2	10	Medium	Regular inspection of recreation field, Earlswood field, play area, war memorials and noticeboards. Annual inspection of bus shelters and seats. Insure against all risks. Review annually.
	Risk or damage to third party property or individuals	4	2	8	Medium	Insured - Public Liability limit of indemnity £10,000,000 in place. Reviewed annually
	Security of office	5	3	15	High	Insured - Equipment at Clerk's home address. Computer external hard

	equipment					drive backed up monthly and handed to Chair to keep securely off site.
	Asset Register	5	2	10	Medium	Asset Register in place and updated annually.
	Maintenance of assets	5	3	15	High	Undertake repair and maintenance as required – Ongoing
Topic	Risk Identified	Potential Consequence	Likelihood	Severity Score	Classi'tion	Measures to be taken to Reduce/Minimise/Control Risk
Staff	Insufficient to deliver service	5	4	20	Very high	Review Staff Structure
Staff	Loss of key personnel – Clerk through ill health, retirement, long term sickness or even death	5	3	15	High	Insured - Review staff structures, working hours, duties and responsibilities as a matter of urgency. Contact local Clerks to arrange temporary cover. Advertise post using One Voice Wales/SLCC model Job Description, Contract of Employment, etc.
Consultations	Meeting of deadlines for response	3	4	12	High	Appointed three Councillors 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	Retention of Documents Policy in place, reviewed annually. Deposit historical records with County archives.
Financial Records	Inadequate Records	5	1	5	Low	Financial records updated monthly on spreadsheets and updated external hard drive kept off site by Chair for safe keeping.
Minutes	Accurate and Legal	5	1	5	Low	Reviewed, signed by Chair and dated at following meeting.
Health and Safety Risk Assessment	Failure to identify	5	5	25	High	Health and Safety Policy in place, reviewed annually.
Disability Discrimination Issues	Failure to identify and implement adaptations	5	5	25	High	Equality and Diversity Policy in place, reviewed annually.
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, on website and implemented. Declaration of Office signed by all members and copies held by Council. Council resolved no gifts or hospitality to be accepted.
Code of Conduct	Adoption of Code of Conduct	5	1	5	Low	Code of Conduct adopted by Council and implemented by all members. Employee code of conduct implemented.
Welsh Language Policy	Preparation of and Implementation of Policy	5	2	10	Medium	Due to being a border council, Council resolved not to adopt the policy at Annual Meeting in May 2017.