

PENDOYLAN COMMUNITY COUNCIL



RISK ASSESSMENT

2016

Pendoylan Community Council
Date: April 2015 Reviewed October 2016

Six pages

RISK ASSESSMENT

POTENTIAL CONSEQUENCE				CLASSIFICATION			
Potential consequence score 1-5				1-5 Low			
Likelihood of happening score 1-5				6-10 Medium			
Severity level score potential x likelihood				11-15 High			
				16-25 Very High			
Topic	Risk Identified	Potential consequence	Likelihood	Severity	Classification	Measures taken to control risk	
FINANCE Precept	Precept not submitted	5	1	5	Low	Full budget process in place Clerk to prepare budget annually [December] Council determine precept [January] Clerk notify County Council [February] Reasonable funds held	
	Inadequacy of precept	5	1	5	Low	Clerk to present monthly reconciled accounts Monitoring by Community Council	
	Not paid by Council	5	1	5	Low	Clerk to Monitor Directly paid into bank by BACS	
Loss of money	Business interruption	5	2	10	Medium	Insured	
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Topic	Risk Identified	Potential consequence	Likelihood	Severity	Classification	Measures taken to control risk
FINANCE Money[cont]	In transit	5	3	15	High	Insured
	Private residence or school	5	3	15	High	Own Insurance
	Theft or dishonesty of members/ clerk	5	3	15	High	Insured
Reserves	Adequacy	1	1	1	Low	Adequate reserves are monitored
	Unidentified recording	5	1	5	Low	Identified and recorded in final accounts

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<u>Expenditure</u> Legal Powers	Expenditure incurred not within the legal powers	5	2	10	Medium	Monthly reporting to the council/minutes Internal and external audits Compliance with legislation
VAT requirements	Delay results in loss of VAT reimbursements	1	1	1	Low	Clerk ensures annual VAT claims are complete Access to County Councils VAT dept for advice
	Improper recording	5	2	10	Medium	Analysis sheet for HMC Access to County councils dept[as above]

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<u>Expenditure</u> VAT	Failure to meet annual submissions	5	1	5	Low	Systems in place agreed by audit
Salaries	Incorrect salary paid	5	1	5	Low	
Income tax National insurance	Failure to make payments to HMRC	5	1	5	Low	Monthly report to council Retention of records
Councillors allowances	Incorrect payments	1	1	1	Low	Claim forms verified

Financial assistance	Legal power to contribute	5	2	10	Medium	Compliance with section 137 and other legislation
<u>Assets</u>	Loss/ damage	5	3	15	High	Annual inspection of benches, bins, planters, phone box, signs Monthly inspection of ICT equipment, chain of office, notice boards, lawn mower and strimmer Annual inspection of lights and tree

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	Risk/damage to third party property or individuals	5	2	10	Medium	Public liability insurance Annual review Inspection of equipment and individual risk
	Inadequate maintenance	5	3	15	High	Ongoing repair and maintenance
	Security of equipment	5	2	10	Medium	Review access to equipment annually List of keyholders
	Asset register	5	1	5	Low	Annual review
STAFF	Insufficient Staff or loss of key personnel, including clerk	5	3	15	High	Review of staffing structures to include village representatives Review of working conditions Outsource where necessary

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DATA SECURITY	Inadequate facilities	5	5	25	High	Evaluate security of present facilities Lodge official records in county archives
	Virus attack/hacking	5	5	25	High	Continuously updated
Financial records	Inadequate record keeping	5	3	15	Medium	Financial records updated monthly Electronic storage
Minutes	Following legal guidelines	5	1	5	Low	Issued, reviewed, signed and date at meetings
Register of members interests, gifts and hospitality	Issued and signed by all members for identification	3	1	3	Low	Register held by council and on website Declaration signed and sent to Commissioner for Local Administration

	Adopted by members	5	1	5	Low	Adopted and employed
Welsh language policy	Aware and implementing policy	3	1	3	Low	Policy approved by Welsh Language Board Communications available in Welsh where requested