**Risk Assessment Schedule – Bedwas, Trethomas and Machen Community Council – May 2023**

**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

* 1. Very High

| **Topic** | **Risk Identified** | **Potential Consequence**  **1 – Low**  **5 - High** | **Likelihood**  **1 – Low**  **5 - High** | **Severity Score** | **Classification of Risk** | **Measures to be taken to Reduce/Minimise/Control Risk** |
| --- | --- | --- | --- | --- | --- | --- |
| **Income** |  |  |  |  |  |  |
| Precept | Not Submitted | 5 | 1 | 5 | Low | Full Budget process in place.  Clerk to prepare budget annually in December.  Finance Committee to consider budget annually in January  Full Council to determine precept annually in January  Clerk to notify County Council in February |
| Not paid by County 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 to present quarterly reports. All monthly Receipts and Expenditure and Financial Summary to Council meeting  Finance Committee to review/compare budget to actual quarterly |
| Loss of Money | In Transit | 5 | 1 | 5 | Low | Insured for limit of £250 – Increase to £30,000 |
| In Premises | 5 | 1 | 5 | Low | Low values kept on the premises. Regular banking undertaken |
| Through theft or dishonesty of Staff or Members | 5 | 1 | 3 | Low | Insurance cover in place |
| Investment Strategy Income/Policy | Investment Strategy Policy | 3 | 1 | 3 | Low | Balance kept in reserve account  Regular reports provided to Council 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 |
| Office Rental | Rental not received through non payment | 5 | 1 | 5 | Low | Contracts in place for rental agreements  Long term trusted tenants in place |
| Rental not received due to vacancy | 5 | 2 | 10 | Medium | Contracts in place to give notice on premises vacation  Adverts to be place when notified of the termination of any rental |

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| --- | --- | --- | --- | --- | --- | --- |
| **Expenditure** |  |  |  |  |  |  |
| Legal Powers | Illegal Payment or Activity | 5 | 1 | 5 | Low | 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 | 3 | 1 | 3 | Low | Clerk’s salary presented to Council monthly and Chairman to scrutinise details of claim |
| Wrong Rate Applied | 3 | 1 | 3 | Low | Reconcile with minutes of National Agreed Rates for Clerks |
| False Employee | 5 | 1 | 5 | Low | Budget reports provided to Council |
| Not Accounting for correct deductions of NI, Tax and Superannuation | 5 | 1 | 5 | Low | 3rd Party engaged to calculate payroll and pay staff – Playworks Ltd |
| Inaccurate recording of hours | 3 | 1 | 3 | Low | 1 part time member of staff at BTM office  1 part time member of staff at BWH  Timesheets are completed, submitted and reviewed  Overtime to be confirmed at Full council |
| Submission of PAYE records Payments | 5 | 1 | 5 | Low | Returns submitted by Playworks quarterly  Annual Audit reviews |
| VAT Payment  Recovery of | Improper recording of input/output VAT | 5 | 1 | 5 | Low | Excel spreadsheet used for recording and Vat return completed from this data  Have access to County Council’s VAT unit for assistance and guidance |
| Improper Identification of Non Business Activities | 5 | 1 | 5 | Low |
| Inability to meet submissions to H.M customs | 5 | 1 | 5 | Low | Systems in place to ensure compliance. |
| Financial Assistance to Local Organisations | Legal Power to contribute | 5 | 2 | 10 | Medium | Compliance with section 137 and other legislation |
| Overspend of grant budget | 5 | 1 | 5 | Low | Monthly monitoring – rarely spend on the budget |
| Councillors Allowances | Over/Under payments to Members | 3 | 1 | 3 | Low | Members receive annual amount |
| Maintain proper records | 3 | 1 | 3 | Low | Standard claim forms in place for additional expenses for events over and above annual amount. |
| Training of  Councillors | Councillors do not have the required knowledge to fulfil their roles | 3 | 2 | 6 | Medium | Allocate a budget for training and arrange for Councillors to attend OVW courses and other appropriate courses. |
| Training of Clerk / Staff | Clerk does not have the knowledge and skills required for the role | 3 | 1 | 3 | Low | Clerk registered with SLCC |

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| --- | --- | --- | --- | --- | --- | --- |
| **Other** |  |  |  |  |  |  |
| Assets – Bedwas Workmans Hall & Council Building | Loss/Damage thereof | 5 | 3 | 15 | High | Regular inspection of the Workman’s Hall – Council members on the committee of the Hall.  Insure against all risks - Review annually.  Maintenance and development of the old building required. Will have significant impact on the budget should works arise. |
| Risk or damage to third party property or individuals | 4 | 2 | 8 | Medium | Indemnity of Public Liability in place.  Review annually |
| Security of Buildings and Equipment | 5 | 2 | 10 | Medium | Security systems in place |
| Maintenance | 5 | 4 | 20 | Very High | Maintenance and development of the old building required. Will have significant impact on the budget should works arise. |
| Staff | Insufficient to deliver service | 5 | 3 | 15 | High |  |
| Staff | Loss of key personnel – Clerk through ill health, retirement, long term sickness or even death | 5 | 3 | 15 | High |  |
| Document Security | Appropriateness of existing facilities | 5 | 2 | 10 | Medium | Review of paperwork and storage to be undertaken. |
| Financial Records | Inadequate Records | 5 | 1 | 5 | Low | Excel used for recording transactions |
| Minutes | Accurate and Legal | 5 | 1 | 5 | Low | Reviewed, signed and dated at following meeting. |
| Disability Discrimination Issues | Failure to identify and implement adaptations | 5 | 3 | 15 | High | Access issues at the Workmans Hall. |
| 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. |
| Code of Conduct | Adoption of Code of Conduct | 5 | 1 | 5 | Low | Code of Conduct adopted by Council and implemented.  Employee code of conduct implemented. |

Signed:

Clerk…………………………………………………………………………………… DATE

Chair…………………………………………………………………………………… DATE