

LLANDWROG COMMUNITY COUNCIL

ASESIAD RISG BLYNYDDOL AR GYFER Y FLWYDDYN YN DIWEDDU 31 MAWRTH 2021

INTRODUCTION

INTRODUCTION This risk assessment is part of the financial, administrative, and risk control of the Council and has legal basis in: Public Audit (Wales) Act 2004 o Accounts and Audit (Wales) Regulations issued from time to time under the Act. It must be reviewed and adopted by council annually for any particular financial year and is normally dealt at the Annual Meeting. The aim of the document is to minimise risk and therefore secure the good name of the Council

RISK ASSESSMENT MANAGEMENT

In general, risk can be reduced in two ways

- 1)- Delete Risk
 - 2)-Reducing probability of a risk becoming an incident
 - 3) Reducing the consequences if it does so
- In turn, these can be managed in three ways

- 1) Work with others, to manage probability & impact
- 2) Self managed, to reduce probability & impact
- 3) Taking out adequate insurance. This does not prevent an incident but does help deal with the consequences.

Topic	Risk Identified	Probability	Effect	Risk	Management of Risk	Gweithredu/ Staff/Cynghorwyr / Eraill
		H is High; M is Middle; L is Low	H is High; M is Middle; L is Low	H is High; M is Middle; L is Low		
Cyllid						
Precept Income	Request Not Submitted	L	H	M	Council -resolve & minute prior to deadline	
	Not paid over by Gwynedd Council	L	H	M	Manager - confirm receipt; report to Council	
	Adequacy of precept & budget	L	H	M	Manager / Council - Annual budget setting procedure & reporting of budget, actual to date & anticipated income. Quarterly meeting & monitoring & report to Council	
Other Income	Cash Handling	L	L	L	Manager - Cash handling is avoided, but where necessary use of control documentation ie receipts to payers; separation and labelling until banked, report to Council	
	Inadequate cash & cheque banking	L	L	L	Manager - bank promptly ; check statements; reconcile to control documentation. Members - spot checks & report to Council	
	Other Misc income not received	L	L	L	Rheolwr Bank promptly; check statements; reconcile to control documentation; report to Council. Members - spot checks & report to Council	
VAT Recalim	Analysis not made	L	M	L	Manager - entry in account books	
	Claim not made	L	M	L	Manager - claim at end of financial year, report to Council.	
Grants & Borrowing	Not received on time	L	M	L	Manager - check as required; report to Council	
Income From Investments	Not received on time	L	L	L	Manager - check as required; report to Council	
	Poor investments	L	H	M	Council - review & resolve & minute Annual Investment Strategy for the following year.	
Income From Charities/Organisations	No separation of income in cash book	L	L	L	Manager - identify by separation in the Income & Expenditure Account	
Salaries, Deductions (du t HMRC) aliadau i HMRC – (NI & Income Tax)	Unpaid salaries/Incorrect rates of pay	L	M	L	Manager - report monthly to Council. Council - to resolve & minute payment; check national rates to contract; report to Council	
Pension	Pension not paid over to provider (NEST)	L	M	L	Manager - to report to the Council monthly	
	Pension contribution incorrect	L	M	L	Council - to confirm & to minute the contribution annually	

Staff Allowance/es	Incorrect allowance paid	L	L	L	Council - to confirm the allowances annually	
Members Allowances	Incorrect Payments	L	L	L	Council - to confirm the allowances annually and to comply within HMRC guidelines	
	Has not complied with HMRC guidelines	L	M	L	Council - to abide by Internal Auditors advice	
Direct Costs & Overheads	Goods not received by the Council	L	M	L	Manager - to follow up all orders	
	Incorrect amount stated by the supplier	L	C	L	Manager - check the arithmetic on invoices & reconcile to bank statements	
	Incorrect payment by the Council	L	U	C	Manager - signatory initials stub on chequebook	
Grants & Borrowing	No power to Act within the Act, nt minuted/authorised	L	U	L	Manager/ Members - resolve & minute payment	
	Conditions not met	L	M	L	Manager/Members - agree & minute all grants terms & conditions	
Bank Accounts	Closure of account by the Bank	L	H	H	Manager - complete all questionnaires & report to Council	
	Payment mad to the incorret supllier vai on-line payment	L	M	L	Manager- to processall payments after Council approval. Report to Council of any problems.	
Election Costs	No provision in the budget	L	M	L	Manager - to consider such costs when setting next years budget	
Reseves & Balances	Lack of liquidity	L	H	M	Manager - to consider such costs when setting next years budget	
Insurance	Inadequate insurance cover & employers & public liability for accidents/damages	L	H	M	Manager/Finance Committee/Council - review insurance policy annually	
Financial Regulations	Inadequacy of financial regulations	M	H	M	Manager/Council - review annually	
Staff	Fraud or loss of cash through theft or dishonesty by staff	L	H	I	Manager Finance Committee/Council - check level of "Fidelity Insurance" annually	
Cash Flow	Insufficient funds to cover liabilities	L	H	L	Manager - to consider when setting the budget.	
Audit	Failure to meet deadline	L	H	M	Manager Ensure Annual Statement is completed & minuted within timescale. Council to appoint Internal Auditor annually	
	Poor or Damning report	L	H	M	Council - to act upon all recommendations	
Asedau						
Assets - Playing Fiels	Loss and damage	L	H	M	Inspector - visual checks; annual safety inspection & remedial work Manager - review insurance & Assets Register	
	Risk or damage to property 3rd party property or individual	M	M	M	Manager - review adequacy of Public Liability insurance. Maintenance to safe & proper standards	
	Complaints - standards not met	L	M	L	Council - adequate funding	
Bus Shelters	Loss and damage	L	H	M	Members / Manager - periodic visual checks. Annual inspection	
	Risk or damage to property 3rd party property or individual	M	M	M	Manager - review adequacy of Public Liability insurance. Maintenance to safe & proper standards	
	Complaints - standards not met	M	M	M	Council - adequate funding	
Cemeteries	Colled a difrod	L	H	M	Members / Manager - periodic visual checks. Annual inspection	
	Risg ne ddifrod i eiddo 3ydd parti neu unigolion	M	M	M	Manager - review adequacy of Public Liability insurance. Maintenance to safe & proper standards, Costant review on headstones eisk assesment	
	Complaints - standards not met	M	M	M	Council - adequate funding	
	Computer - loss or damage	L	M	M	Manager - to keep secure at all times	

Equipment held by Manager	Computer - icrosoft licences not current	L	M	M	Manager - keep a list of all licences and dates due. Council - adequate funding	
	Printer - loss or damage	L	L	L	Manager - secure location	
	Cabinet - locked & fireproof	L	L	L	Manager - secure location & keep locked	
Records & Other Documentation held	Loss or damage to hard copies	L	H	M	Manager - secure location & keep locked	
	Computer files	L	H	M	Manager - ensure back-up on a weekly basis. Ensure use of "Cloud"	
Insurances	Inadequate insurance cover for Council assets	L	H	M	Council via Finance Committee - annual review	
Cyfreithiol, Gweinyddol a Cadw Cofnodion						
Legal Powers	Illegal activity or payment	L	H	M	Members/Manager - training for Councillors & Manager as to their legal powers	
	Administrative arrangements in accordance with statute	L	H	M	Manager - Training for Councillors & Manager as to the legal powers	
	Decision Making without authority - make decisions ultra vires	L	H	M	Manager - Training for Councillors & Manager as to the legal powers & procedure. Scheme of Delegation in place	
Members Interests & Code of Conduct	Conflict of Interest	L	H	M	Members - sign up to the Code of Conduct; declarations of interest to be documented/minuted & any conflict addressed as appropriate; training when required. Manager - ensure Councillors are supported with documentation	
Standing Orders	Inadequacy of standing orders	L	H	M	Cyngor - review at AGM	
Records & Files	Theft or loss from intrusion or fire	L	H	M	Council - adequate furniture for filing & insurance	
	Non-compliance with legal requirements for public access to records	L	H	M	Council / Manager - adequate funding to maintain the website. Update website annually (not contents). Ensure funding Training as required	
Minutes of Meetings	Accurate & legal	L	H	M	Council - confirm minutes in following meeting	
Minutes & Financial Control	Inadequate processes and documents control	L	H	M	Council - provide training as required	
Computer Records/ Website & Social Media	Loss, corruption or hacking of electronic records through technology failure	L	H	M	Manager - keep back up. Adequate funding to update software as required	
	Theft, loss or corruption through internet intrusion	L	H	M	Manager - ensure adequate "anti virus" software. Adequate funding to update software.	
Record Management	Inadequate processes & documents control	L	U	M	Manager - copy of external correspondence to Chairman & any member who has an interest. Complete all forms etc soon after the Council meeting, or keep as pending until matter is resolved	
Consultation Processes & records	Inadequate process for dealing with consultation by other bodies.	L	M	L	Manager - all consultations to be brought to the Council's attention	
Protection of Third Parties	Damage to 3rd Party individuals or property or breach of data protection, as consequences of Council actions, negligence, ownership, service or amenities	L	H	M	Council/Manager - Public liability Insurance cover of a substantial nature, reviewed annually at renewal. Arrangements for regular visual checks by qualified RoSPA Inspector on playground inspections followed by remedial works	
	Data Protection not meeting GDPR and DPA legal requirements	L	H	M	Council/Manager - all receive training & implement robust Data Protection Policies.	
	Data Protection breach	L	H	M	Council/Members/Staff - all receive training & follow approved policy	
Records - Data Protection	Data Protection not meeting GDPR and DPA 2018 legal requirements	M	U	M	Council/Manager - all receive training & implement robust Data Protection Policies	
	Data Protection breach	M	H	M	Council/Members/Staff - all receive training & follow approved policy	

Paying Contractors	Yswiriant Atebolrwydd	L	H	H	Rheolwr - cadarnhau fod gan contractwyr yswiriant atebolrwydd dilys. Gyda cytundebau dros flwyddyn (ee cynnal tir) gofyn l'r	
Iechyd a Diogelwch						
Protecting Staff, Councillors, Volunteers or Thir Parties	Damage, loss. Injury or fatality to persons	L	H	M	Council / Manager - Employers & Public Liability insurance cover of a substantial nature, reviewed annually at renewal. Members / Staff - derbyn hyffordiant. Council - review & approve Health & Safety Policy	
	Insufficient expertise	M	H	H	Commission professional H&S service	
Staffing & Volunteers						
Business Resilience & continuity	Los of key personnel	L	H	M	Members/ Manager - Hours, health, stress,training, long term sick, early departure are all monitored & managed as appropriate; Manager is provided with support & modern contractual & employment conditions. Manager - recommend appropriate staffing capacity & capability	Council to adopt a Service Continuity Plan (to include a creditor payment arrangements) in the event of the manager being absent from work
Welfare	Los of key personnel	L	H	M	Members/ Manager - Hours, health, stress,training, long term sick, early departure are all monitored & managed as appropriate; Manager is provided with support & modern contractual & employment conditions.	

RESOLUTION & ADOPTION	
The risk management procedures as documented aboce were revieed, approved & adopted by resolution by Council on 27 July 2020	
Signed _____ Chairman	Signed _____ Manager