**Ceiriog Uchaf Community Council**

**Risk Assessment**

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| ***Management*** |  |  |  |  |  |
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| ***Subject*** | ***Risks*** | ***H/M/L*** | ***Management/Control*** | ***Review/Assess*** | ***Action*** |
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| Business Continuity | Council not being able to continue its business owing to an unexpected or tragic circumstance. | L | No management is presently in place for loss or long term incapacity of the Clerk, loss or theft of records from Clerk’s home.  Clerk should have access to training, reference books, assistance & legal advice. | Procedures inadequate. Plan necessary  Membership of One Voice Wales is in place. | Chair/Clerk |
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| Meeting Location | Adequacy  Health & Safety | L  L | Meetings currently held in Community Hall. Fully adequate. Alternative venues are available in the village. | Adequate. |  |
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| Council Paper Records | Loss through fire, theft or damage. | L | Papers currently held at home of Clerk. | Loss unlikely but copying & separate storage of significant documents such as leases should be considered. | Chair/Clerk |
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| Council Electronic Records | Loss through damage, fire or disk corruption. | M | Electronic records (including emails) are stored on the Clerk’s computer. Back up regime unknown. | Back up system needed. | Clerk |
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| Minutes/Agendas/Notices | Accuracy & legality.  Business conduct. | L  L | Minutes & agendas are produced in the prescribed manner by the Clerk & meet legal requirements. Minutes are approved and signed at the next Council meeting. Minutes & agendas are available according to the legal requirements.  Council meetings are managed by the Chair. | Procedures adequate. |  |
| ***Subject*** | ***Risks*** | ***H/M/L*** | ***Management/Control*** | ***Review/Assess*** | ***Action*** |
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| Members’ Interests | Conflict of interest. | L | Declaration of interest is regular & obvious. Recorded by Clerk. | Procedure adequate. |  |
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| Freedom of Information Act | Lack of policy. | L | Model publication scheme is in place. | Procedure adequate. |  |
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| Data Protection | Registration | M | Requirement for registration uncertain. | Pursue requirement. | Clerk |
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| Councillors | Personal Accident  Assault On or By  Libel / Slander | L  L  L | Insurance in place.  Insurance in place.  Insurance in place. | Procedures adequate. |  |
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| ***Finance*** |  |  |  |  |  |
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| ***Subject*** | ***Risks*** | ***H/M/L*** | ***Management/Control*** | ***Review/Assess*** | ***Action*** |
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| Financial Controls & Records | Inadequate checks.  Inadequate records.  Irregularities. | L  L  L | As set out below the Council has adequate financial controls & procedures in place and appropriate financial records. However there is no formal documentation of financial procedures | Procedures adequate but formal summary of Financial Regulations is required. | Chair/Clerk |
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| Precept | Adequacy.  Submission of precept.  Monies not received. | L | Clerk provides monthly budget information. When on the agenda the precept decision is informed by financial detail & indicative costs. The Clerk submits the precept in writing to the WCBC. The Clerk informs the Council when monies are received. | Procedure adequate. |  |
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| Banking | Inadequate checks.  Bank mistakes.  Losses.  Charges.  Loss through fraud. | L  L  L  L  L | The Council has two bank accounts, current & deposit. Cheques require two signatures – all Councillors are mandated. Clerk reconciles accounts monthly.  Fidelity Guarantee. | Procedure adequate. |  |
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| Cash | Loss | L | The Council does not undertake any cash transactions. | Procedure adequate. |  |
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| Audit | Compliance | L | Annual return is made to the auditor by the Clerk & reported to the Council. | Procedure adequate. |  |
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| Payments In & Out | Unpaid invoices.  Goods/services not supplied.  Payments not received. | L  L  L | Clerk requests approval for all payments at Council meetings. Clerk monitors receipt of precept & payments for Llanarmon WC maintenance. Clerk’s honorarium and expenses are approved by Council in her absence. Honorarium is reviewed every three years. | Procedure adequate. |  |

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| ***Subject*** | ***Risks*** | ***H/M/L*** | ***Management/Control*** | ***Review/Assess*** | ***Action*** |
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| Councillor Allowances | Over payment.  Income Tax. | L  L | Travel set at 40p per mile. | Procedure adequate. |  |
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| Election Costs | Cost payment. | L | Clerk obtains estimated costs from WCBC. No measures can be adopted to minimise the risk of a contested election as this is a democratic process. The Council has a contingency amount to meet the requirement. | Procedure adequate. |  |
| VAT | Reclaiming | L | Clerk completes the requirements. | Procedure adequate. |  |
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| Salaries | Incorrectly paid.  Unpaid tax / NI. | L  M | There are no salaries. |  |  |
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| Best Value | Overspend | L | Council seeks competitive tenders for all work to be carried out. | Procedure adequate. |  |
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| Insurance | Adequacy.  Cost.  Compliance.  Public Liability.  Legal Liability.  Employer Liability.  Insolvency of insurance company. | L  L  L  L  L  L  L | Insurance is in place and an annual review is conducted. Statutory requirements are met. Clerk seeks legal advice as necessary.  One of two main companies chosen – Allianz. | Procedure adequate. |  |
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| Tregeiriog Playfield | Damage / Maintenance  Third Party Liability | L  L | Regular checks made by police & Councillors. Prompt repairs.  Insurance in place. | Procedure adequate.  Notices needed for site. | Chair/Clerk |

This Risk Management Policy and Risk Assessment were first adopted at the Council Meeting of 9 June 2009.

A review will be undertaken annually.