CYNGOR CYMUNED CORRIS COMMUNITY COUNCIL

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Clerk: Sarah Mumford

RISK ASSESSMENT SCHEDULE 2022

Assessment Criteria

Rating:	**a.**	**Potential Consequence Score**	**1 - 5**
	b.	**Likelihood of Happening Score**	**1 - 5**
	c.	**Severity Level Score**	**a x b**

Classification of Risk (as per 'c'):	**1-5**	**Low**
	6-10	**Medium**
	11-15	**High**
	16-25	**Very High**

Risk	PRECEPT	Rating	a.	b.	c.	Class
	Claim not being submitted		5	1	5	low
	Not paid by Gwynedd		5	1	5	low
	Amount inadequate		5	1	5	low

Measures

Budget prepared, showing the Precept required to cover forecast net expenditure, to be circulated, discussed and final version accepted by Council at either the December or January Meeting and notified to Gwynedd by the date set by them.

Payment to be received from Gwynedd in April and September and will be reported to the Council as part of the regular Financial Report so that non receipt will be immediately apparent, and Gwynedd notified.

Financial Reports to be presented every quarter and Bank Balances prepared for remaining Council Meetings to allow ongoing review of expenditure/income and adjustments to be made to expenditure plans if necessary.

All unbudgeted expenditure to be undertaken only after reviewing whether adequate finance is available.
A small sum for contingencies to form part of Budget to enable small items of unforeseen expenditure to be met.

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Risk	CEMETERY	Rating	a.	b.	c.	Class
	Misallocation of Grave/burial in wrong plot		5	1	5	low
	Burial not in accordance with deceased's wishes		5	2	10	med
	Collection of appropriate fees		3	2	6	med
	Health & Safety		5	2	10	med
	Future demand		5	1	5	low

Measures

Person with specific responsibility for updating Burial Register and allocating plots in place.

Updating of Burial Register immediately upon allocation of a plot.

Undertakers responsible for all burial arrangements.

Council to agree fees each year upon notification of fees recommended by Gwynedd.

No burial/interment to take place until the fee has been agreed.

Cemetery receipts and payments to be analysed separately in the cashbook.

Annual inspection of headstones (taping off any which are suspect), stability of boundary walls, hedges, etc.

Monthly inspection of cemetery by an appointed Councillor.

Council contractor not to move headstones.

Adequate land available for 50+ years.

Risk	LOSS OF MONEY	Rating	a.	b.	c.	Class
	In possession of Employee		5	1	1	low
	Through Theft or Dishonesty		5	2	10	med

Measures

All Receipts to be by cheque made payable to the Council or direct to the Council's Bank Account.

Fidelity Insurance in place and cover reviewed annually.

All payments to be made by cheque, which should have two signatures, counterfoils initialed and minute number recorded or dual authorised bank transfer.

Except in an emergency, all payments to be approved in advance by the Council. Council Books and Bank Statements to be available for inspection at every Council Meeting.

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Risk	BORROWING	Rating	a.	b.	c.	Class
	Inability to service or repay		5	1	5	low
Measures	Loans to be agreed by Full Council.					
	Repayment/interest to form part of Budget.					
	Repayments by Standing Order					

Risk	RESERVES (general/earmarked)	Rating	a.	b.	c.	Class
	Ensuring Adequacy		5	1	5	low
	Ensuring earmarked Reserves applied towards correct purpose		5	1	5	low
	Ensuring funds do not accumulate unnecessarily		5	2	10	med
	Loss of interest		5	1	5	low
Measures	Level of Reserves to be reviewed annually at Budget.					
	Purpose of Reserves to be reviewed annually.					
	Earmarked reserves to be kept in separate bank accounts, where possible. Intention of use clearly minuted.					

Risk	INVESTMENTS	Rating	a.	b.	c.	Class
	Loss of Capital		5	1	5	low
Measures	Monies to be only invested in 'high street' banks or building society interest bearing accounts					

Risk	LEGAL POWERS	Rating	a.	b.	c.	Class
	Illegal Payment or activity		5	1	5	low
Measures	Clerk to advise if any proposed expenditure is not legal.					
	Standing Orders to be reviewed annually.					
	Advice from One Voice Wales to be sought where there is any doubt.					
	Section 137 Expenditure to be specifically Minuted.					
	Councillors/Clerk to attend courses run by One Voice Wales or Gwynedd and/or appropriate, up to date legal advice books to be purchased by Council.					

Risk	CONTRACTS	Rating	a.	b.	c.	Class
	Best value not obtained		3	2	6	Med
	Poor quality of work		3	2	6	Med
	Claims against Council re public liability		3	2	6	Med
	Work not being completed		3	2	6	Med

Measures Wherever possible at least 2 estimates should be put before the Council for every job over £2000. 2 References to be required from contractors (to be taken up). Unless work has been previously undertaken.

All contractors to be responsible for their own Health & Safety and Third Party Insurance

Full specification/tender documents for all jobs over £2000 which set out standards, requirement for contractor to be responsible for own Health & Safety policy, risk assessment and hold Third Party Insurance for at least £500,000.

Where possible there will be a retention of 10% on all jobs over £2000 until final inspection upon completion. Final payment made after approval of works.

Regular Contractors (i.e. grass cutting and cemetery work):

Where specialist work is involved, or there are difficulties in sourcing local contractors, the contracts may on formal Resolution of the Council, be let for up to five years

Occasional inspections of quality of work each year.

Risk	SALARIES/WAGES	Rating	a.	b.	c.	Class
	Wrong salary/wage paid		1	2	2	low
	Wrong accounting for NI/PAYE		1	2	2	low

Measures Council to approve all salary/wage payments.

External Payroll service employed to calculate the tax and NIC as well as submitting any returns to HMRC, NI/PAYE payments (where applicable) to come before Council for approval before payment.

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Risk	VAT	Rating	a.	b.	c.	Class
	Improper recording		5	2	10	med
	Non submission of repayment claims		5	2	10	med

Measures Separate column in Council Account Books for VAT

Claim for repayment (when applicable) to be made annually and reported to Council as part of the Financial Report

Risk	ASSETS	Rating	a.	b.	c.	Class
	Loss or damage		5	2	10	med
	Risk or damage to third parties		4	2	8	med
	Security		5	3	15	high
	Outdated Asset Register		5	2	10	med
	Maintenance		5	3	15	high
	Underinsured		5	3	15	high

Measures Compile photographic record of all assets and update where necessary each year.

Monthly inspection of all play equipment by an appointed Councillor.

Annual safety inspection of play areas/equipment by properly qualified body/organisation.

Annual inspections of all other assets by appointed Councillor(s).

Public Liability Insurance in place at level advised by Insurer.

Where Management Committee runs building on behalf of Council, then the Committee be made responsible for insurance, safety and security.
Appointed Councillor on Management Committee to report to every council Meeting.

Asset Register reviewed annually.

Where asset is let, rent should be charged (nominal if the Council considers this is in the public interest) and the tenant should be responsible for all maintenance, Health & Safety and Insurance matters unless otherwise agreed.

Insurance cover relating to loss/damage reviewed annually.

Maintenance/repair on "as-required-basis" prompted by casual reports or regular inspection, on authority of Council Meeting.

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Risk	MAINTENANCE	Rating	a.	b.	c.	Class
	Failure to carry out clearing/maintenance		5	2	10	med
	Work not up to required standard		5	2	10	med
	Failure to claim full grant/reimbursement		5	2	10	med
	H&S Risks		5	2	10	med

Measures Councillors to Supervise Contractor.

Claim and receipt of grant/reimbursement reported to the Council.

Independent Contractors to have own H&S/Risk Assessment

Council to ensure H&S/Risk Assessment is in place for all paid tasks.

Risk	STAFF	Rating	a.	b.	c.	Class
	Unplanned loss of Clerk (Temporary or permanent)		5	2	10	med
	Legal claim by staff		5	3	15	high

Measures Councillors to be aware of where key records are kept.

Chairman and Vice Chairman to be familiar with basic legal requirements (i.e., giving of Notice for Meetings, etc.) to enable business to continue to be conducted until Clerk returns, temporary assistance put in place or successor is appointed .

Chairman and Vice Chairman to be authorised to take legal advice on employment matters when they consider it necessary.

Risk	CONSULTATION	Rating	a.	b.	c.	Class
	Meeting of deadlines for Response		3	4	12	high

Measures Clerk delegated power to make representations on Planning Applications and License Applications in consultation with at least three Councillors (one of whom should where possible be the Chair and/or Vice Chair).

Chairman to call additional Meeting(s) if it is considered vital for Council to respond but the deadline(s) do not fit in with Calendar of Meetings.

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Risk	COUNCIL RECORDS	Rating	a.	b.	c.	Class
	Loss through insecure storage		5	4	20	v.h.
	Inappropriate disposal of old records		4	1	4	low
	Inadequate Financial Records		5	1	5	low
	Minutes inaccurate/not meeting legal requirements		5	1	5	low

Measures Records to be stored in fireproof cabinet in the Institute.

Deposit historical records with Archive Office.

All records are kept for the advised time periods as set out in chapter 11 of 'Arnold-Baker on Local Council Administration' (Tenth Edition). Old confidential documents will be shredded or disposed of at a confidential waste facility site.

Financial Records to show VAT, Receipts and Payments to be updated at least monthly and presented for inspection Quarterly.

Minutes to be circulated prior to every Meeting to enable them to be carefully considered by each Councillor prior to a Resolution to Approve them.

All Minutes to be reviewed, signed and dated at following Meeting. In the case of virtual meetings, minutes will be digitally signed and emailed to clerk.

Risk	HEALTH & SAFETY	Rating	a.	b.	c.	Class
	Failure to identify risks and produce policy		5	2	10	med

Measures All Management Committees and Contractors to be responsible for own Health & Safety Policies

Insurance to cover Third Party/Public Liability risks and to be reviewed Annually.

Gwynedd's Health & Safety Policy to be considered for adoption regarding Play Areas and Playing Fields and for such other risks as the Council consider appropriate.

Consider production of H&S Policy covering any other Council activities as it becomes relevant.

Risk	RISK ASSESSMENT	Rating	a.	b.	c.	Class
	Failure to identify risks and produce policy		5	5	25	v.h.

Measures Prepare new risk assessment as soon as a new or changed risk is identified. Review Risk Assessment Schedule annually.

Risk	DISCRIMINATION ISSUES	Rating	a.	b.	c.	Class
	Failure to identify and remedy		5	2	10	med

Measures Produce mission statement regarding discrimination issues.

Ensure that Council complies with current legislation.

Urge any bodies (including Trustees) where the Council has an involvement, and Contractors to implement current legislation and adopt mission statement.

Ensure as far as possible that the Council identifies potential alterations, and improvements to comply with legislation regarding the disabled.

Wherever possible to hold Council Meetings at premises accessible to the disabled.

Risk	CONDUCT	Rating	a.	b.	c.	Class
	Identification of Interests		3	1	3	low
	Recording of gifts and hospitality		3	1	3	low
	Not following Code of Conduct		5	1	5	low

Measures Item on Agenda prompting those with interests to register them.

Declaration of Interests Minuted.

Register of Interests kept.
Declaration of Acceptance of Office signed by all Councillors on election and also, on election to office of Chair and Vice Chair

Code of Conduct for Councillors adopted by Council and reviewed annually.

Consideration of adoption of Employee Code of Conduct.

Risk	WELSH LANGUAGE	Rating	a.	b.	c.	Class
	Preparation and Implementation of Policy		5	1	5	low

Measures Gwynedd Policy implemented as far as practical.

Bilingual Agendas and Notices wherever possible.

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Risk	EMERGENCIES	Rating	a.	b.	c.	Class
	Delay in responding to an emergency		5	2	10	med

Measures Clerk to be delegated power to take 'holding action' in consultation with at least two Councillors (one of whom should where possible be the Chair and/or Vice Chair) including minor expenditure. Actions to be ratified at next scheduled Council Meeting or at an Extraordinary Council Meeting if the Council is not due to meet for two or more weeks.

Risk	BUSINESS VENTURES (profit or not for profit - directly run by Council) AND PURCHASING OF ASSETS	Rating	a.	b.	c.	Class
	Inappropriate Decisions		5	2	10	med
	Insufficient Knowledge		5	2	10	med
	Financial requirements and risks not identified		5	2	10	med

Measures Professional advice sought at early planning stage.

Full business plan prepared and costed before final decision is made.

Management structure with appropriate expertise to be put in place where appropriate.

Full Council to approve the undertaking.

Risk	TRUSTS	Rating	a.	b.	c.	Class
	Inappropriate Decisions		5	2	10	med
	Insufficient Knowledge		5	2	10	med
	Financial requirements and risks not identified		5	2	10	med

Measures: All Trustees to have a copy of the Trust Deed/Documents.

Business Plan/costings to be approved by the Council for major projects.

Financial Report to be delivered quarterly to the Council and copy of Trust/s certified Accounts to be reviewed annually.

Borrowing against Trust Property (including as 'value' for grants which may need repaying if not used, etc.) is not permitted.

Signed: **Date 06/10/2022**

Chairman's initials 06/10/2022