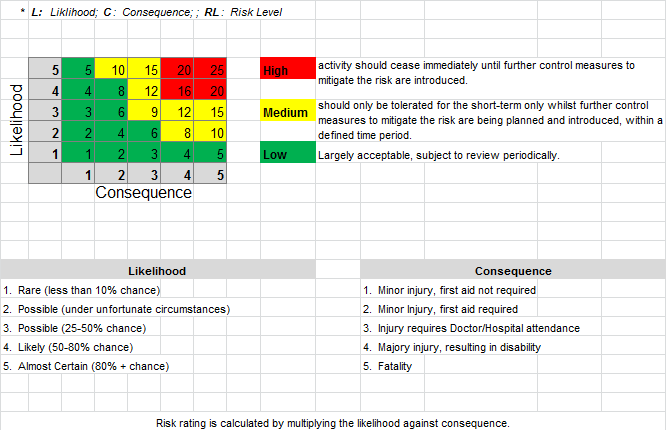
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| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | Reviewed and approved at Council AGM in May each year | AGM  MAY 2024 |  | | | **TAWE UCHAF COMMUNITY COUNCIL**  **RISK ASSESSMENT**  **2024-2025** |  | | | DOCUMENT REVIEWED AND UPDATED BY CLERK - APRIL 2024 |  |  |
| Task/Activity | Main Hazards | Who might be harmed | Pre-control risk level \* | | | Current control measures | Risk after corrective action \* | | | Further action required to reduce risk | Action by / Owner | Action Date |
| L | C | **RL** | L | C | **RL** |
| Income  Precept | Failure to submit;  Not paid by County Council;  Inadequate precept | Council  Electors | 5 | 5 | **25** | Full Budget process in place;  Clerk/Council to prepare annual budget in Q3 October to December;  Full Council to approve budget in January;  Full Council to approve precept in January  Clerk to notify County Council of precept request by January deadline; | 1 | 5 | **5** | Set up robust inspection and review process of budgeting  Ensure insurance cover adequate  Ensure precept request is submitted on time;  Precept can be scanned to County Council; | Council | Monthly |
| Financial Loss | Business interruption;  Loss in transit  Loss from Member or employee residence;  Theft;  Dishonesty of staff/Members | Council  Electors | 5 | 5 | **25** | Robust monthly review of Inc/Exp and Budget reports reviewed monthly  Ensure adequate insurance in place; | 1 | 5 | **5** | Robust monthly review of Inc/Exp and budget reports are undertaken;  Maintain robust review of annual insurance renewal;  Ensure adequate insurance cover in place | Clerk/Council | Monthly |
| Reserves | Ensure Adequate reserves set | Council | 3 | 5 | **15** | Consider at budget setting in Q3  October to December; | 1 | 4 | **4** | Set up regular review of objectives; Set reserves | Clerk/Council | Annually |
| Expenditure  Legal Powers | Incorrect Invoices  Salaries  Illegal payments;  Fraud;  Members payments | Clerk/Council | 4 | 5 | **20** | Invoices checked arithmetically  Invoices presented to Council on payment register monthly for approval.  Clerk’s salary presented monthly for approval before payment;  Payment of incorrect salary;  Failure to make deductions  Failure to make payments to HMRC | 1 | 5 | **5** | Robust review of payments to Clerk and deductions (monthly)  Regular reviews of HMRC payment by Council; (Monthly)  Robust review of Council’s Financial Regulations;(Annually)  Monthly reviews of Inc/Exp reports and budget (Monthly)  Ensure adequate Insurance cover in place | Clerk/Council | Monthly |
| Salaries | Payment of Clerk’s salary;  Incorrect payment  Failure to report to HMRC | Clerk/Council | 3 | 5 | **15** | Clerk’s salary authorised at monthly meeting  Clerk’s salary recorded in Council monthly payment register  Salary paid by PAYE | 1 | 4 | **4** | Robust review of monthly salary payment to Clerk in place;  Payments recorded in monthly payment register; Inc/Exp and budget reports;  Salary paid by PAYE provider with real time information  Ensure adequate insurance cover in place; |  |  |
| Payments | Processing Incorrect Payments  Payment to incorrect supplier | Clerk/Council | 3 | 5 | **15** | Payments made by Bacs (May 2020)  Payments checked before processing  Second level of scrutiny and security in place | 1 | 5 | **5** | Robust monthly review of all payments  Robust system in place to check arithmetic accuracy before payments made;  Review payment security regularly | Clerk/  Councillors on Bank Mandate | Monthly |
| VAT Payment and Recovery | Failure to record VAT;  Annual reclaim of VAT | Clerk/Council | 2 | 5 | **10** | Vat recorded accurately;  VAT reclaimed quarterly on line | 1 | 4 | **4** | Robust review of accuracy of all invoices and payments;  Clerk maintains monthly VAT register;  VAT reclaim to be reviewed and submitted quarterly;  Maintain accurate records;  Reclaim income reported in Inc/Exp | Clerk | Quarterly |
| Financial Assistance | Legal powers to contribute | Clerk/Council | 2 | 5 | **10** | Compliance with section 137 and other legislation;  Remind members of Policy | 1 | 4 | **4** | Continuous review of legislation  Continuous review of Policy  Council policy in place | Council | Annually |
| Councillors Allowance | Over/under payment to Councillors | Clerk/Council | 3 | 5 | **15** | Members to complete and verify standard attendance/claim forms;  Members provide written authority to receive annual payment; | 1 | 4 | **4** | Regular review of IRPW Councillor allowances and payments;  Maintain accurate records of payments  Report payments to IRPW and  HMRC if requird | Council | Annually |
| Councillor Training | Failure to train Councillors | Council | 2 | 5 | **10** | Organise training courses for Councillors;  Training course available via One Voice Wales;  Councillors undertaking training | 1 | 4 | **4** | Council has received Code of Conduct training Council meeting and Employment  Continually review training needs and arrange training as required; | Council | Annually |
| Clerk’s Training | Failure to train Clerk | Council | 1 | 5 | **5** | Ensure Clerk is aware of legislation and rules impacting on the working of the Council | 1 | 4 | **4** | Clerk receives updates from SLCC and OVW and attends Clerk meetings | Clerk/Council | On-going |
| Miscellaneous |  |  |  |  |  |  |  |  |  |  |  |  |
| Assets | Loss or theft of assets;  Risk or damage to 3rd party property; | Council | 2 | 5 | **10** | Asset register updated regularly  Playgrounds added in 2017;  Regular safety inspections undertaken  Quarterly inspections of public benches and litter bins;  Ensure adequate insurance cover is in place;  Repair and maintenance programme  All Assets recorded on Council asset register  Defibrillators added in 2019 | 1 | 5 | **5** | Asset register reviewed annually;  Robust regular inspections of assets on a ward basis;  Update asset register and review on annual basis;  Review Public liability cover annually  Inspect defibrillators regularly | Clerk/Council | On-going |
| Staff | Loss of Clerk to ill health, long term sickness, retirement, death | Council | 5 | 5 | **25** | Set up regular review with Clerk  Clerk workload increasing due to legislation and devolution of services; | 2 | 5 | **10** | Consider Sub-Committee to undertake regular review of;  Clerk’s workload;  Review hours worked by Clerk  Provide support equipment if appropriate;  Council owns laptop and printer to improve security of recovering data;  Ensure adequate insurance cover in place for locum if required; | Council | Annually |
| Consultations | Unable to meet deadlines | Council | 3 | 5 | **15** | Consider appointing Sub-Committee to discuss Planning applications when deadlines fall between regular meetings;  Convene special meeting of the Council | 1 | 5 | **5** | Clerk to maintain regular contact with Planning authorities to determine accurate response date;  Clerk to review consultation responses with OVW | Clerk/Council | On-going |
| IT Systems  Cyber Security | Failure of IT Equipment | Council | 4 | 5 | **20** | Review existing equipment;  Council owns Laptop and Printer  Clerk responsible for storing equipment  Clerk will report problems as required  Recorded on Council asset register  Clerk uses home broadband for Council work;  Anti-virus not up to date.  Councillors use personal e mail for Council business; threat of virus  Threats of hacking, phishing | 2 | 5 | **10** | Agendas, Minutes, Finance and Audit information stored on website, Laptop folders; External hard drive, and paper copy;  Media stored on external hard drive;  Minutes and agendas stored to website;  Council to check equipment with Clerk;  Council to purchase own IT equipment;  Ensure adequate insurance in place;  Ensure anti-virus up to date;  Consider setting up webmail system for Councillors | Council | On-going |
| Financial Records | Failure to maintain accurate records | Council | 4 | 5 | **20** | Inc/Exp and budgets reported to Council monthly and reviewed; | 1 | 5 | **5** | Council reviews and approves finance reports monthly;  Financial records transferred to external hard drive and website and laptop folders.and hard copies filed | Clerk/Council | Monthly |
| Minutes | Failure to maintain accurate records and minutes | Council | 4 | 5 | **20** | Minutes reviewed, signed and dated at monthly meeting: | 1 | 5 | **5** | Minutes are approved and signed at monthly meeting;  Minutes stored to external hard drive and uploaded to website within 7 days of meeting;  Folder stored on laptop and hard copy in file; | Clerk/Council | Monthly |
| Health & Safety Risk Assessments | Failure to identify risk | Council | 4 | 5 | **20** | Council employs sub-contractors;  Council does not use casual labour;  Council playgrounds inspected regularly by Clerk | 1 | 5 | **5** | Council engages only sub-contractor’s with adequate public liability cover and appropriate licences and approvals by highway authority  Contractor to provide risk assessment and method sheet annually to Council;  Council avoids using casual labour due to H&S and insurance conditions | Clerk/Council | Quarterly |
| Disability Discrimination | Failure to implement DDA requirements | Council | 2 | 5 | **10** | No issues identified; Council does not own property; Meeting venues hired by Council or sustained via annual grant  Meeting venue is DDA compliant  Council website update in 2020 for DDA compliance | 1 | 4 | **4** | DDA requirements under regular review;  Any change of circumstances will require DDA review  Website DDA updated 2020 | Council | On-going |
| Declaration of Interest | Identification of interest | Council | 2 | 5 | **10** | Register of interests reviewed regularly;  Register displayed on Council website; | 1 | 5 | **5** | Robust review of members interest;  Declaration of acceptance of office signed;  Register held on website | Council | On-going |
| Code of Conduct | Failure to adopt code of conduct | Council | 2 | 5 | **10** | Code of Conduct reviewed and adopted annually at Council AGM | 1 | 5 | **5** | Council has received formal training;  Code of conduct observed at all meetings;  Councillors trained on Code of Conduct | Council | On-going |
| Welsh Language | Failure to comply | Council | 2 | 5 | **10** | Review of requirements on-going  Council publishes legal notices in bi-lingual format for Elections etc | 1 | 5 | **5** | Regular review of Policy updates;  Advice sought from OVW;  Council has bi-lingual identity;  Clerk is bi-lingual and is welsh speaking; | Clerk/Council | On-going |
| Loss of Meeting Venue | Loss of venue  Lack of community facilities | Council | 3 | 5 | **15** | Keep under regular review  Community has one suitable location  Remote meeting software available  Not accessible by all Councillors  Explore use of hybrid meetings | 1 | 5E | **5** | Maintain on-going regular review of facilities;  Council holds Hybrid meetings  Identify back up facilities if meeting facilities lost;  Meetings held over ZOOM if venue unavailable;  Provide meeting dates to venue  Remote meeting software set-up and used during Coronavirus | Clerk/Council | On-going |
| Public Health Emergency Pandemics | Government instructs Public Lockdown | Clerk/Council  Public | 5 | 5 | **25** | Public lockdowns ordered by Government  Failure to convene Council meetings  Failure to meet Council commercial obligations on payments to suppliers and salaries;  Introduce change to On-line payments  Failure to meet consultation deadlines  Clerk/Councillors in at risk category, advised to follow health guidelines;  All communication issued electronically no items posted to avoid personal contact;  Remote meetings adopted using ZOOM | 4 | 5 | **20** | Council will follow Government advice and guidelines;  Council to agree delegation of functions to Clerk/Chairman;  Reference Council Finance Regulations on payments;  Agree protocols to authorise on-line payments to suppliers and salaries to staff;  Monthly payment register for approval by Council;  Payment uploaded by Clerk;  Payments approved for release by one signatory from bank mandate;  Standardise one payment date per month to make payments;  Payment approval and records to be printed and filed for signing by authorised signatory at meeting to observe Governance issues;  Amend/update Financial Regulations and Standing Orders where appropriate. | Clerk/Council | On-gong |

**Reviewed and updated by Clerk 26TH April 2024**

**Approved by Council AGM on 16th May 2024**

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