



Bridgend Town Council Risk Assessment Schedule Assessment Criteria

Version No 04

Approved By Full Council: Monday 20th May 2019

Review Date: Monday 15th March 2021

Town Clerk – Leanne Edwards

Deputy Town Clerk/RFO – Debra Jones

Signed: _____ Mayor

Signed: _____ Town Clerk

Signed: _____ Deputy Clerk/RFO

Rating
 Potential Consequence Score 1 - 5
 Likelihood of Happening Score 1 - 5
 Severity Level Score Potential Consequences X

ASSESSMENT CRITERIA

Classification
 1 - 5 Low
 6 - 10 Medium
 11 - 15 High
 16 - 25 Very High

Type	Topic	Risk Identified	Potential Consequences	Likelihood	Severity	Classification Score	Measures to be taken to Reduce/Minimise/Control Risk
Expenditure	Financial Assistance	Compliance with Council Policy	5	1	5	Low	Educate/Remind member of Policy
		Legal Power to Contribute	5	2	10	Medium	Compliance with section 137 and other legislation
		Overspend	5	2	10	Medium	Clerk/RFO to monitor monthly
	Legal Powers	Illegal Payment or Activity	5	2	10	Medium	All statutory powers to undertaken work recorded in minutes. Ensure compliance with Standing Orders and Financial Regulations. Review of Standing Orders and Financial Regulations during lifetime of Council
	Administration	Payment arrangements for online banking	5	2	10	Medium	Continue with requirement to report all payments to Council. Continue with requirement for 2 signatories for cheques. Payments to be made through internet banking require two staff members to authorise payments, in accordance with the Council's Internal Financial Procedures.
	Salaries/Wages	False Employee	5	2	10	Medium	Finance Committee to undertake examination of PAYE Records
Not accounting for correct deductions of NI TAX and Superannuation		5	2	10	Medium	Finance Committee to undertake	
		Wrong Rate Applied	5	2	10	Medium	Finance Committee to scrutinise

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		Wrong Salary Paid	5	2	10	Medium	Finance Committee to scrutinise	
	VAT Payment	Annual Reconciliation of half yearly returns	5	1	5	Low	Systems in place to ensure compliance. Finance Committee to agree on compliance with time scales	
Expenditure contd		Improper Identification of Non Business Activities	5	2	10	Medium	Have access to County Council's VAT unit for Assistance and guidance	
		Improper recording of Input/Output VAT	5	2	10	Medium	Analysis sheet provided to local HM Customs and Excise in operation	
		Inability to meet half yearly submissions to HM	5	1	5	Low	Systems in place to ensure compliance. Finance Committee to agree on compliance with time scales	
	Councillors Allowances		Maintain proper records	3	1	3	Low	Standard claim forms in place
			Over/Under payments to Members	4	1	4	Low	Members to complete and verify standard attendance claim form
			Proper deduction of tax	5	1	5	Low	Audit to verify
	Income	Borrowing/Lending	Adequacy of finances to repay loan	5	1	5	Low	Provision made in Annual Budget Policy part of Investigation Strategy

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	Income	Not Submitted	5	1	5	Low	Full Budget process in place Clerk/RFO to prepare budget annually in November Finance Committee to consider budget quarterly. Full Council to determine precept annually in November; Clerk/RFO to notify County Borough Council thereafter.
Income Contd	Investment Strategy Income Policy	Investment Strategy Policy	3	2	6	Medium	Policy in Place Review Annually in March
	Loss of Money	Business Interruption	5	2	10	Medium	Insured - Loss
		In Premises	5	3	15	High	Insured for £2,000
		In Safe or Strong Room	5	2	10	Medium	Insured for £2,000
		In Transit	5	3	15	High	Insured for limit of £1,000
		Private Residence of Member of Employee	5	3	15	High	Insure for £500
		Through theft or dishonesty of Staff or Members	5	2	10	Medium	Fidelity guarantee of £500,000 reviewed annually in May
	Precept	Inadequacy of Precept	5	1	5	Low	Clerk/RFO to present Balance of Accounts, all Monthly Receipts and Expenditure and Financial Summary to Council meeting Finance Committee to review/compare budget half yearly

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		Not paid by County Council	5	1	5	Low	Clerk/RFO to monitor and report to Council Paid directly into bank account by BACS
	Reserves - Earmarked	Ensure Adequacy	5	1	5	Low	Consider at Budget Setting
Income Contd		Unidentified/ Recording	5	1	5	Low	Identified at Budget Setting and Recorded in Final Accounts
	Reserves - General	Ensure Adequacy	5	1	5	Low	Consider at Budget Setting
	SLA's	Failure to fulfil Agreement	5	2	10	Medium	Clerk to monitor. Diary of work undertaken and when in place
	Stock	Theft/Dishonesty of Staff	5	2	10	Medium	Independent stock take every quarter
Other	Assets	Asset Register	5	2	10	Medium	Update Asset Register annually
		Loss / Damage thereof	5	2	10	Medium	6 monthly inspection of Hanging Baskets Posts. Monthly inspection of Bus Shelters, Wayside Seats Insure against all risks
		Maintenance	5	3	15	High	Undertake repair and maintenance - on-going
		Risk or damage to third party property or individuals	4	2	8	Medium	£15,000,000 Indemnity of Public Liability in place Review Annually

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		Security of Equipment	5	3	15	High	CCTV installed throughout the premises and additional security alarm will be installed for first floor rear door
	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
Other contd	Consultations	Meeting of deadlines for response	3	4	12	High	The appropriate committee or full Council meeting will be called to consider planning applications and other consultative documents falling in between normal monthly meetings.
	Disability Discrimination issues	Failure to identify and implement adaptations	5	5	25	Very High	Independent Consultants engaged to identify alterations, improvements to comply with legislation.
	Document Security	Appropriateness of existing facilities	5	4	20	Very High	Purchase fire resistant cabinet or investigate storage by electronic means Deposit historical records with County archives
	Financial Records	Inadequate Records	5	1	5	Low	Financial records updated monthly and kept in locked cupboard and secure network drive which is backed up overnight by the Local Authority.
	Health and Safety Risk Assessment	Failure to identify	5	5	25	Very High	Independent Health and Safety Consultation engaged to advise Council report to hand and implementing recommendations. On-going
	Minutes	Accurate and Legal	5	1	5	Low	Reviewed, signed and dated at following meeting
	Other	(blank)	(blank)	(blank)	(blank)	(blank)	(blank)

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	Register of Members Interests, Gifts and Hospitality	Identification of interests and recording of gifts and hospitality	3	1	3	Low	Register of Interest file held by Council and implements. Declaration of Office signed by all members and copies held be Council. Copies sent to the Commissioner for Local Administration in Wales
	Staff	Insufficient to deliver service	5	2	10	Medium	New Staff Structure has been implemented
Other contd		Loss of key personnel - through ill health, retirement, long term sickness or even death	5	3	15	High	Loss of personnel is a risk however policies and processes are in place to minimise impact
	Welsh Language Policy	Preparation of and implementations of policy	5	2	10	Medium	Town Council will consider translation of documents upon request.
Training of Clerk / Staff	Training of Clerk / Staff	Staff not able to perform their duties due to lack of training.	5	2	10	Medium	Town Clerk and Deputy Clerk/RFO have undertaken ILCA training in 2017 and are undertaking the CILCA qualification in 2021/22 .
Training of Councillors	Training of Councillors	Councillors may not be able to perform their roles effectively and within the relevant laws without appropriate training.	5	2	10	Medium	New Councillors offered Induction Training at the beginning of their term of office and advised of regular training opportunities throughout the year. Budget for training allocated annually.