



Draethen, Waterloo and Rudry (DWR)
Community Council
Rudry Parish Hall
Rudry
Caerphilly
CF83 3DF

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Risk Management

Review Date: Annually

Version Control:

| | Version Number | Date | Minute |
|---------|-----------------------|-------------|-------------------|
| Version | 1 | May 2026 | AGM Minute Ref. 6 |

Assessment Criteria

Rating: Potential Consequence Score: 1-5
 Likelihood of Happening Score: 1-5
 Severity Level Score = Potential Consequence x Likelihood

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

| Topic | Risk Identified | Potential Consequence | Likelihood | Severity Score | Classification | Measures to be taken to Reduce/Minimise/Control Risk |
|--------------------------|----------------------------|-----------------------|------------|----------------|----------------|---|
| <u>Income</u> Precept | Not Submitted | 5 | 1 | 5 | Low | Full Budget process in place. Clerk/RFO to review budget quarterly. Full Council to consider budget annually in January. Full Council to determine precept annually in January. Clerk/RFO to notify County Council in February. |
| | Not paid by County Council | 5 | 1 | 5 | Low | Clerk/RFO to monitor and report to Council Paid directly to bank account by BACS |
| | Inadequacy of Precept | 5 | 1 | 5 | Low | Clerk RFO to present monthly Reconciled Accounts, All monthly Receipts and Expenditure and Financial Summary to Council meeting. Full Council to review/compare budget to actual quarterly. |

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| Loss of Money | Business Interruption | 5 | 2 | 10 | Medium | Insured – Loss |
| | Through theft or dishonesty of Staff or Members | 5 | 2 | 10 | Medium | Fidelity guarantee of £150,000. |
| Reserves – General | Ensure Adequacy | 5 | 1 | 5 | Low | Consider at Budget Setting |
| Reserves – Earmarked | Ensure Adequacy | 5 | 1 | 5 | Low | Consider at Budget Setting |
| | Unidentified /Recording | 5 | 1 | 5 | Low | Identified at Budget Setting and Recorded in Final Accounts |
| Expenditure | | | | | | |
| Legal Powers | Illegal Payment or Activity | 5 | 2 | 10 | Medium | All statutory powers to undertake work recorded in minutes Ensure compliance with Standing Orders and Financial Regulations Review of Standing Orders and Financial Regulations during lifetime of Council |
| Salaries/Wages | Wrong Salary Paid | 5 | 2 | 10 | Medium | Clerk's salary presented to Council quarterly and Chairman to scrutinise details of claim |
| | Wrong Rate Applied | 5 | 2 | 10 | Medium | Reconcile with minutes of National Agreed Rates for Clerks |
| | False Employee | 5 | 2 | 10 | Medium | PAYE is administered by an external payroll provider, ensuring independent verification. |

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|----------------------------------|---|---|---|----|--------|---|
| | Not Accounting for correct deductions of NI, Tax and Superannuation | 5 | 2 | 10 | Medium | PAYE is administered by an external payroll provider, ensuring independent verification. |
| | Submission of PAYE records Payments | 4 | 1 | 5 | Low | PAYE is submitted and paid monthly. Full council to verify payments on bank statement. |
| Financial Assistance | Legal Power to contribute | 5 | 2 | 10 | Medium | Compliance with section 137 and other legislation |
| | Compliance with Council Policy | 5 | 1 | 5 | Low | Educate/Remind members of Policy |
| | Overspend | 5 | 2 | 10 | Medium | Clerk/RFO to monitor monthly |
| Councillors Allowances | Over/Under payments to Members | 5 | 1 | 5 | Low | Members to complete and verify standard attendance/claim form. |
| | Proper deduction of tax | 5 | 1 | 5 | Low | Audit to verify |
| | Maintain proper records | 3 | 1 | 3 | Low | Standard claim forms in place. |
| Training of Cllrs | Governance delivered | 3 | 1 | 3 | Low | Members undertake minimum of Code of Conduct Training and any other training appropriate to their executive committee needs |
| Training of Clerk / Staff | Appropriate delivery of service | 3 | 1 | 3 | Low | Lead body training minimum. |

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| Other | | | | | | |
| Assets | Loss/Damage thereof | 5 | 2 | 10 | Medium | Regular inspection of defibrillators. |
| | Risk or damage to third party property or individuals | 4 | 2 | 8 | Medium | £10,000,000 Indemnity of Public Liability in place. Review annually |
| | Asset Register | 5 | 2 | 10 | Medium | Update Asset Register annually |
| Staff | Loss of Clerk through ill health, retirement, long term sickness or even death | 5 | 3 | 15 | High | Review staff structures, working hours, duties and responsibilities |
| Document Security | Appropriateness of existing facilities | 5 | 4 | 20 | Very High | Documents held electronically with a back-up via Microsoft OneDrive. |
| Financial Records | Inadequate Records | 5 | 1 | 5 | Low | Financial records updated monthly and stored via Microsoft OneDrive |
| Minutes | Accurate and Legal | 5 | 1 | 5 | Low | Reviewed, signed and dated at following meeting and retained for Audit |
| Register of Members Interest, Gifts and Hospitality | Identification of interest and recording of gifts and hospitality | 3 | 1 | 3 | Low | Register of Interest file held by Council and implemented. Declaration of Office signed by all members and copies held by Council. |
| Code of Conduct | Adoption of Code of Conduct | 5 | 1 | 5 | Low | Code of Conduct adopted by Council and implemented. |

