

RISK REGISTER

RISK RATING

To calculate the scale of risk, multiply the 'severity rating' relevant to the risk by the 'likelihood rating'

- i.e.: Severity (S) x Likelihood (P) = Risk Rating (RR)



Severity Rating (S)	Likelihood Rating (L)				
	1. Rare	2. Unlikely	3. Possible	4. Likely	5. Almost certain
5. Disastrous	5	10	15	20	25
4. Huge	4	8	12	16	20
3. Moderate	3	6	9	12	15
2. Low	2	4	6	8	10
1. Negligible	1	2	3	4	5

1 - 3	Low Risk - Action only when cost is low; simple solution; reassess when process/procedure, guidance or legislation changes; continue to review.
4 - 6	Moderate Risk - Action to reduce risk which is cost-effective and planned and completed within an appropriate timescale.
8 - 12	High Risk - Urgent action to eliminate or minimise the risk.
15 - 25	Extreme Risk - Action without delay to eliminate or minimise risk to a reasonable level. Consider suspending the work or process until the risk level has been reduced.

*Other Assurance Sources = Internal Audit Results, External Audit Results, 3rd party Audits, Any other assurance activity

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Subject	There is a risk that....	Initial Risk Rating			Control Measures	Other Sources of Assurance*	Residual Risk Rating			S	L	RR
		S	L	RR			S	L	RR			
FINANCIAL RISKS	Precept is insufficient to secure revenue funding for the year	4	4	16	<ul style="list-style-type: none"> Financial Officer prepares cashflow forecast for Finance Committee Finance Committee prepares Business Plan in November, securing revenue and capital funding for the coming year Full council discuss and endorse those recommendations The Financial Officer ensures that our request for funding to the County Council is submitted promptly and on time Payments by the Council are made via BACS. 	Internal Audit 2024-25 External Audit 2024-25 Business Plan 2025-26	4	1	4			
	No capital funding available to complete projects	3	3	12	<ul style="list-style-type: none"> Business Plan in place Accounts submitted regularly to the Finance Committee and monitored on a monthly basis Reports made to full Council. 	Internal Audit 2024-25 External Audit 2024-25 Business Plan 2025-26	3	1	3			
	Money is lost / not reconciled (including financial fraud)	4	4	16	<ul style="list-style-type: none"> Payments submitted to full Council via Finance committee for approval All cheques require two signatures Finance Committee receives a copy of the Bank Statement at each monthly meeting Financial Regulations in place. 	Internal Audit 2024-25 External Audit 2024-25 Review of Financial Regulations	4	3	8			

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FINANCIAL	Clerk's salary incorrect / does not match salary agreed / salary not paid on time	3	3	9	<ul style="list-style-type: none"> Salary scale point 24 which is £17.79 an hour for 12 hours reviewed annually to ensure statutory increases are implemented Accountant responsible for ensuring PAYE etc. Finance Committee ensures salaries are paid on time each month Cheque payments contain the signatures of two members of the Finance committee Register of authorised signatories in place Two councillors sign these cheques All payments approved by Full Council and recorded in the minutes. 	Internal Audit 2024-25 External Audit 2024-25	3	1	3			
	Unclaimed VAT / refund request incorrect						4	3	12	<ul style="list-style-type: none"> Clerk keeps a thorough record in the financial records book Invoices and receipts available for all financial transactions VAT checked by an accountant before the request is sent to HMRC Payment made directly into the bank account. 	Internal Audit 2024-25 External Audit 2024-25	4

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	Financial support allocated unfairly or not at all	4	3	12	<ul style="list-style-type: none"> • Compliance with section 137, 145 and other legislation • Secure a suitable budget at the start of the financial year • Recommendations at Finance Committee approved by the full Council at all times • The amount allocated will be reviewed annually by the Finance Committee and any changes to the policy approved by the full Council. 	Internal Audit 2024-25 External Audit 2024-25	4	1	4			
ASSETS	Assets are not managed appropriately e.g. asset register kept, maintenance etc	4	4	16	<ul style="list-style-type: none"> • Assets register (buildings/equipment etc) in place indicating the type, location and value of the asset • the register is reviewed regularly and subject to audit by the auditors • Maintenance programme in place and regularly reviewed by the Finance and Risk Management Committee. 	Internal Audit 2024-25 External Audit 2024-25 Assets Register	4	1	4			
	Assets are damaged or lost	4	3	12	<ul style="list-style-type: none"> • Insurance in place suitable for protection against any insurance claim following damage • Register is regularly reviewed to ensure that there are no losses • Seasonal inspections of Bus Stops, Seating, flower boxes etc. 	Insurance Documentation Audit of Assets Assets Register	4	1	4			

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ASSETS	Cemeteries are not managed well e.g. financially and in terms of legislative requirements	3	4	16	<ul style="list-style-type: none"> Burial costs are reviewed annually to ensure fair prices for the community Plot plans are in place to ensure that burials take place in accordance with the plan The clerk keeps very detailed records of the burials and owners of vacant plots in the old cemetery The clerk is responsible for opening and closing for funerals and keeping an eye on waste Waste monitored and separated as appropriate for recycling Burial contractors commit to taking all waste from the cemetery following burial, including surplus soil Each burial contractor to provide evidence of their PLI insurance and health and safety records occasionally and as required. 	Minutes of the Finance and Risk Management Committee Records of burials Plans in place Cemetery regulations published on website	3	1	3			
	Canolfan Glasinfrynn is not managed properly to ensure compliance with relevant legislation				<ul style="list-style-type: none"> Formal agreements in place between the Community Council and centre Annual reports submitted to the council on the performance and management of the centre Responsibilities as landlord?? 		4	3	12	Finance and Risk Management Committee	4	3

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ASSETS	The Canolfan Penrhosgarnedd lease lacks regular scrutiny to ensure compliance with covenants	4	3	12	<ul style="list-style-type: none"> Adequate public liability insurance in place (covenant 6) Property only assigned to certain trustees to use and manage the property as a Social Centre only (covenants 3 and 5) The property will not be assigned or sub-let for any other purpose (covenant 3) The property is kept in a good and substantial state of repair (covenant 4) Cyngor Pentir representative to be nominated to sit on the Centre Management Committee and to act as trustee of the charity Arrangement in place to take out a mortgage for the purposes of repair, extension or improvement of the property (clause 2(10) – second part of the second schedule) New lease agreed for new centre 	Public liability insurance Cllr James representing the council	4	3	12
ASSETS	the council has no control over the condition of its assets	3	4	12	<ul style="list-style-type: none"> Full register in place and regularly reviewed by the Finance and Risk Management Committee All assets insured Audits recorded of condition of assets Maintenance plan in place to ensure assets are clean and secure 	Dopler inspections at the cemetery ROSPA Inspections Legal advice and action as necessary	3	2	6

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				Orange	<ul style="list-style-type: none"> Upgrade works to the Glasinfryn Centre sewerage system completed 							Green	
HEALTH AND SAFETY	the legal responsibility towards staff, contractors and users of the council's assets has not been considered and risk assessed.	4	4	16	<ul style="list-style-type: none"> Dopler checks carried out in the cemetery to identify dangerous grave stones Annual ROSPA inspections carried out on the playing field in Caerhun Risk assessments in place for the small chapel, Glasinfryn centre and Canolfan Penrhos Risk assessments in place for council equipment and activities e.g. the defibrillators, Christmas tree etc. Contractors' health and safety obligations checked prior to letting work/contracts Current health and safety policy in place 	Dopler inspections at the cemetery ROSPA Inspections		4	2	8			Orange
HEALTH AND SAFETY	Members of the community especially primary school children through the unofficial use of Canolfan Penrhosgarnedd car park, particularly at peak school hours may come to harm due to contact with moving vehicles	5	3	15	<ul style="list-style-type: none"> Risk assessment completed for the site Gwynedd Council and the Centre Committee have been informed of the concerns that exist Gwynedd Council has corresponded with the school to ask teachers not to park there A sign erected warning that the site is for users only 	Risk Assessment. Legal advice. Public Liability Insurance		5	2	10			Yellow

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					<ul style="list-style-type: none"> The gate has been replaced to give the council the ability to close it if that is the only option to eliminate the risk Public liability insurance for the site in place by Cyngor Pentir Permit now in place transferring the responsibility for the car park to Cyngor Gwynedd during school's peak hours Legal advice and action taken to confirm Cyngor Pentir's responsibilities 							
HEALTH AND WELL-BEING - COVID 19	There is little or no organisation in place to minimise the risk of spreading Covid-19	4	4	16	<ul style="list-style-type: none"> No longer in a pandemic Meetings have resumed face-to-face Centres have re-opened and restrictions are in line with Welsh Government requirements Hand sanitiser available at our centres Hand washing equipment available for sanitising 					4	1	4
GDPR	a Data Protection Officer and Data Controller have not been appointed	3	3	9	<ul style="list-style-type: none"> XXX appointed Data Protection Officer XXX appointed Data Controller 					3	3	9

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GDPR	The council are not managing their obligations under the relevant data protection legislation including lack of policy and records/document management	3	3	9	<ul style="list-style-type: none"> GDPR Policy – Public Privacy Notice in place GDPR Policy – Privacy Notice for staff and advisers in place Documentation Management Policy in place 		3	2	6
GDPR	Data is not protected	3	3	9	<ul style="list-style-type: none"> Council laptop 'encrypted' Records stored and locked securely Councillors not keeping records containing personal data Documentation Management Policy in place. 		3	2	6
Welsh Language Provision	There is no steer to ensure Welsh language provision	3	3	9	<ul style="list-style-type: none"> Welsh Language Policy in place 		3	2	6
Ensuring equality	Staff, councillors and members of the community are not treated fairly and consistent, in accordance with the Equality Act	3	3	9	<ul style="list-style-type: none"> Equality Policy in place Equality impact assessments completed Adaptations in place in our centres System in place to respond to the needs of staff, councillors and members of the community. 	Simultaneous translator available where required. Public documentation is bilingual and available on the website.	3	1	3

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Code of conduct	Councillors behave unprofessionally and contrary to the code of conduct.	3	3	9	<ul style="list-style-type: none"> • Code of Conduct in place • Councillors declare any interests at the beginning of each meeting • List of interests completed annually or following change of personal situation • Councillors to attend training as required. 	Code of Conduct Minutes of meetings List of interests Training programme	3	2	6			
Staffing	The council will not be able to function due to unexpected or unplanned absence/resignation of the Clerk	3	3	9	<ul style="list-style-type: none"> • Contract of employment in place • Notice period agreed – 3 months • Flexibility in meetings timetable • Councillors will deputise in clerk's absence, in an emergency situation e.g. sickness • Recruitment process in place • Appointments Committee in place 		3	2	6			
Christmas Decorations	Council owned Christmas decorations causing harms to contractors or members of the public <ul style="list-style-type: none"> • Electrical shock • Manual handling • Working at height • Impact with moving vehicles whilst 	3	3	9	<ul style="list-style-type: none"> • Christmas trees erected by competent Cyngor Gwynedd staff in accordance with their specific risk assessments • Christmas tree lights tested annually by competent electrician • Street Christmas lighting installed by competent Cyngor Gwynedd staff in accordance with electrical regulations and risk assessments for manual handling and working at height. • Cyngor Gwynedd staff undertake regular StreetWorks training in accordance with requirements – 		3	2	6			

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	working on roadside			Orange	training around working alongside busy traffic routes.				Green