CILYBEBYLL COMMUNITY COUNCIL – Risk Assessment Schedule

May 2023

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 Conseq-uence	Likeliho-od	Severity Score	Classifi-cation	Account-ability	Measures to be taken to Reduce/Minimise/Control Risk
Income							
Precept	Not Submitted	5	1	5	Low	Clerk	Full Budget process in place. Prepare budget annually in November/ December. Finance and Development Committee to consider budget annually in November/ December Council to determine precept annually in December/January
	Not paid by County Borough Council	5	1	5	Low	Clerk	Clerk/RFO to monitor and report to Council Paid directly to bank account by BACS
	Inadequacy of Precept	5	1	5	Low	Clerk	Report monthly receipts and payments to Council and monitor balances accordingly Finance and Development Committee to review/compare budget to actual

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Charges – Community Centres	Hire Charges/ Collection	5	2	10	Medium	Caretakers Clerk	Community Centre Caretakers to ensure that lettings diaries are updated Community Centre Caretakers to ensure that hire charges are collected from hirers Community Centre Caretakers to transfer income to Clerk/RFO Clerk/RFO to bank income received
	Hire Charges – Review	2	2	4	Low	Clerk	Annual Review of charges by Finance and Development Committee in November/ December and reported to Council
Loss of Money	Business Interruption	5	2	10	Medium	Clerk	Not Insured – Loss of income offset by reduction in activities
	In Transit	3	2	6	Medium	Caretakers Clerk	Insured for limit of £250
	In Premises	3	1	3	Low	Clerk	Insured for £1,000
	Private Residence of Employee	3	2	6	Medium	Caretakers Clerk	Insured for £1,000
	Through theft or dishonesty of Staff or Members	3	2	6	Medium	Clerk	Fidelity guarantee of £100,000
Borrowing/ Lending	Adequacy of finances to repay loan	5	1	5	Low	Clerk	Council “policy” is NOT to borrow or lend money Policy part of Investment Strategy would cover Provision made in Annual Budget if repayments necessary

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Investment Strategy Income/ Policy	Investment Strategy Policy	5	1	5	Low	Clerk	Council "policy" is NOT to invest its money other than through normal banking Review annually at Annual Meeting
Reserves – General	Ensure Adequacy	5	3	15	High	Clerk	Consider at Budget Setting
Reserves – Earmarked	Ensure Adequacy	5	1	5	Low	Clerk	Consider at Budget Setting
SLA – PRoW Maintenance	Failure to fulfil agreement	3	2	6	Medium	Parks/ Footpaths Officer Clerk	Clerk to manage in consultation with relevant officer. Liaison with NPT CBC re SLA
	Loss of income	5	1	5	Low	Clerk	Ensure that annual grant bid is made in April, and claim is submitted in March. Payments made by NPT CBC directly to bank account by BACS
Expenditure							
Legal Powers	Illegal Payment or Activity	5	2	10	Medium	Clerk	Monitor all decisions and activities of Council to ensure compliance with statutory powers. Seek advice from OVW if necessary. Ensure compliance with Standing Orders and Financial Regulations. Review of Standing Orders and Financial Regulations during lifetime of Council.
Salaries/ Wages	Incorrect salary/wages paid	5	2	10	Medium	Clerk	Record of all calculations retained. Staff salaries/wages presented to Council monthly.
	Incorrect salary/wage rates applied	5	2	10	Medium	Clerk	Record of all calculations retained. Reconcile with Council decision following consideration of annual salary review and receipt of recommendations from One Voice Wales and Society of Local Council Clerks.

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Salaries/ Wages (cont'd)	Failure to account for correct deductions of NI, Tax and Superannuation	5	2	10	Medium	Clerk	Record of all calculations retained. Maintain effective liaison with HM Revenue and Customs and with City and County of Swansea LGPS administrators.
	Inaccurate recording of hours	5	2	10	Medium	Staff Clerk	Staff to ensure forms are properly completed. Clerk to review in preparing wages.
	Incorrect submission of PAYE/NI payments	4	1	4	Low	Clerk	Returns submitted monthly and amounts reported to Council. Annual Return to be completed electronically by due date.
VAT - Recovery of payments made	Improper recording of input/output VAT	5	1	5	Low	Clerk	Record of all payments made to include separate entry for VAT through Receipts and Payments and voucher systems.
	Payments not made by H.M Customs & Excise	5	1	5	Low	Clerk	Spreadsheet and claim submitted to H.M. Customs and Excise.
Financial Assistance	Legal Power to contribute	5	2	10	Medium	Clerk	Compliance with section 137 and other legislation
	Compliance with Council Policy	4	1	4	Low	Clerk	Review annually at Annual Meeting. Remind Members of Policy during consideration of applications. Consider applications and monitor budget spend.
Councillors Allowances	Incorrect payments to Members	4	1	4	Low	Members Clerk	Clerk to apply nationally agreed rates as per statutory entitlement.

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Property							
Assets	Loss/Damage thereof	5	2	10	Medium	Staff Clerk	Clerk to update Asset Register. Staff to undertake weekly inspection of Community Centres, Pavilion, Parks and Playgrounds. Property insured against all risks. Buildings, contents and equipment all insured for specified sums for replacement purposes, as appropriate. Clerk to review insurance provision annually.
	Risk or damage to third party property or individuals	5	2	10	Medium	Clerk	£10 million indemnity of Public Liability in place. Review annually.
	Lack of adequate maintenance	5	3	15	High	Clerk	Commission expert advice re buildings, playgrounds, parks and playing fields, including fences, trees, furniture and equipment. Prepare improvement and maintenance schedules for all sites and premises. Include capital sums in Annual Budget to undertake repairs and improvements as per specified programme. Undertake repair and maintenance work on an ongoing, timely and cost-effective basis.
Personnel							
Staff availability	Insufficient staff to deliver services	4	2	8	Medium	Clerk/Chair person	Review staff resources on continuous basis. Allocate appropriate cover on temporary basis. Consider external contingency plans.

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Staff availability (cont'd)	Loss of key personnel, through ill health, retirement, long term sickness or even death	5	3	15	High	Clerk/Chair person	Review staff structures, working hours, duties and responsibilities. Allocate appropriate cover on temporary basis. Consider external contingency plans. Seek temporary appointment for Clerk to maintain business continuity.
Staff Performance	Staff fail to deliver service or perform duties adequately.	5	1	5	Low	Clerk/Chair person	Interview staff, review workloads, identify any external factors. Reallocate responsibilities and/or priorities. Consider external contingency plans.
Admin Legislation							
Minutes and Financial Records, Deeds	Inappropriate methods used for storage of records	5	3	15	High	Clerk	Retain records electronically and Clerk with hard copy backup. Update regularly on separate hard drive. Deposit historical records with County archives. Deposit all deeds etc with Council's solicitors - Messrs. D R James.
Code of Conduct	Members do not adhere to the Code of Conduct.	3	1	3	Low	Members Clerk	Code of Conduct adopted by Council and implemented with copies provided on election or co-option to all Members. Members advised by the Clerk and/or the Monitoring Officer on request.

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Register of Members Interest, Gifts and Hospitality	Member interests and recording of gifts and hospitality not rigorously acknowl-edged and recorded.	3	1	3	Low	Members Clerk	Members to declare interest in any item on the agenda at the beginning of Council meetings. Declarations noted by Clerk. Declaration of Office signed by all Members and copies held by Council.
Risk Assessments	Relevant risks relating to health and safety, administrative and financial processes not addressed.	5	4	20	High	Clerk	Undertake and keep under review a risk assessment relating to all Council's sites and premises, along with its administrative and financial processes. Seek professional advice for Council, particularly regarding Health and Safety.
Consultation Responses	Deadlines for response not met.	3	2	6	Medium	Clerk	Agenda consultations as priority items. Convene special meeting if necessary. Ensure system for Clerk to respond with Chairperson's agreement if essential to meet deadline.
Disability Discriminatio n Issues	Legislative requirements not met at Council premises.	5	3	15	High	Clerk	Commission expert advice to identify alterations/improvements/adaptations and implement as per programmes of repairs and improvements.

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Welsh Language Policy	Statutory requirements in relation to Welsh Language not addressed.	5	1	5	Low	Clerk	Policy has been put in place.
Pandemic	Community Centre/ Playground Closures	5	1	5	Low	Clerk	Having experienced a pandemic in the past, risk assessments regarding hygiene and closure of facilities in place.