CYNGOR CYMUNED YSTALYFERA COMMUNITY COUNCIL – Risk Assessment

May 2024

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 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 payments to Council and monitor balances accordingly. Finance Committee to review/compare budget to actual.

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Charges – Community Centres	Hire Charges/ Collection	4	1	4	Low	Caretaker Clerk	Community Centre Caretaker to ensure that lettings are updated, and hirers are aware of how much is owed each month. All hirers encouraged to pay via BACS. Community Centre Caretaker to ensure that any cheque/cash hire charges are collected from hirers. Community Centre Caretakers to transfer cheque/cash income to Clerk/RFO. Clerk/RFO to bank cheque/cash income received.
	Hire Charges – Review	2	2	4	Low	Clerk	Annual Review of charges by Finance Committee in November/ December and reported to Council.
Loss of Money	Business Interruption	3	2	6	Medium	Clerk	Not Insured – Loss of income offset by reduction in activities.
	In Transit	3	1	3	Low	Caretaker Clerk	Insured for limit of £250. Most hirers now pay via BACS.
	In Premises	3	1	3	Low	Clerk	Insured for £1,000.
	Private Residence of Employee	3	1	3	Low	Caretakers Clerk	Insured for £1,000. Most hirers now pay via BACS. Very little cash or cheques held in residences of employees.
	Through theft or dishonesty of Staff or Members	3	1	3	Low	Clerk	Fidelity guarantee of £100,000. Majority of hirers now paying via BACS.
Borrowing/ Lending	Adequacy of finances to repay loan	5	1	5	Low	Clerk	Council DOES NOT borrow or lend money. Provision made in Annual Budget.

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Investment Strategy Income/ Policy	Investment Strategy Policy	5	1	5	Low	Clerk	Council DOES NOT invest its money other than through normal banking.
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.
Expenditure							
Legal Powers	Illegal Payment or Activity	5	1	5	Low	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.
	Incorrect submission of PAYE/NI payments	4	1	4	Low	Clerk	Returns submitted monthly and amounts reported to Council. Annual Return to be completed 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. Scribe accounts used for accuracy and online submission.
	Payments not made by HMRC	5	1	5	Low	Clerk	Claim submitted to HMRC quarterly via Scribe accounts software.
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 policy annually. Remind Members of Policy during consideration of applications. Consider applications and monitor budget spend.
Councillors Allowances	Incorrect payments to Members	4	1	5	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 monthly inspection of Community Centre, 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. 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	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	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	2	10	Medium	Clerk/Chair	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	2	10	Medium	Clerk	Retain records electronically. Update regularly on separate hard drive & cloud. Deposit historical records with County archives. Deeds kept in fireproof safe.
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 to all Members and on website. 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	Declaration of interests recorded in all meetings. 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	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	3	Low	Clerk	Policy has been put in place.