**CYNGOR CYMUNED LLANSANTFFRAID GLYN CEIRIOG COMMUNITY COUNCIL**

**RISK ASSESSMENT 2020/21**

**Definition of Risk Management:** Risk is the threat than an event or action will adversely affect and organisation’s ability to achieve its objectives and successfully execute its strategies. Risk Management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus; structures and processes, standards of conduct and service delivery arrangements.

This document has been produces to enable the Community Council to assess the risk that it faces and satisfy itself that it has taken adequate steps to minimise them.

The approach taken for risk management is as follows: -

* Identify the area to be reviewed
* Identify what the risks may be and the level of risk (low, medium and high)
* Evaluate the management and control of risk and record findings

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| Subject | Risk Identified | L/M/H | Measures undertaken/Management/control of risk |
| **I**  Precept | Failure to submit details to WCBC | Low | Full budget process in place.  Clerk/RFO to prepare budget every six months.  Update on budgets to be provided at each Council meeting  Full Council to consider future expenditure when deciding on precept figure  Clerk to inform WCBC before the 31st December each year |
| Precept | Not paid by WCBC | Low | Clerk/RFO to monitor and report to Council  Paid directly to bank account by BACS paid April. August and December each year |
| Precept | Inadequacy of Precept | Low | Clerk/RFO to present all Financial account details with report to full council at month immediately following.  However, procedures are in place to ensure this does not occur e.g. bank statements presented at each council meeting and close monitoring of expenditure.  Funds/reserves are in place to cover an extraordinary or unexpected expenditure |
| Borrowing | Adequacy of finances to repay loan | Low | 2 x 6 monthly payments to PWLB paid currently and statement received from PWLB annually. Loan repayments taken into consideration when precept figure is set |
| Insurance | Adequacy of cover  Cost  Compliance  Changes/additions | Low  Low  Low  Low | Annual review of policy undertaken prior to review.  Employer and Employee liability  Ensure compliance process in place  Any changes/additions are discussed with the insurance provide to ensure that cover is adequate |
| Loss of Money | Insurance cover | Low | Fidelity cover includes in council insurance policy |
| Banking | Bank Account discrepancies | Low | Existing procedure is adequate e.g. close monitoring/regular submission of income and expenditure statement |
| Expenditure | Illegal payment or activity | Low | All cheques and internet payments are sanctioned at the monthly meeting and recorded in the minutes. All cheques signed by 2 x councillors and Clerk.  Internet Banking: all IB payments are authorised by Council in advance. This method of payment is used to cut cost and convenience. Limit of £500 per day – regular payments such as Community Agent salary paid via IB |
| Community Agent | Funding no longer available from WCBC/Welsh Government | Medium | Currently this project is being funded by the Welsh Government via WCBC. Should this funding cease then future funding will depend on WCBC’s other priorities. Adequate warning should be given to the Council to enable consideration to be given to the cost of maintaining the CA project to be factored in to the precept amount. |
| Recovery of VAT | Improper recording of output of VAT | Low | VAT Claim submitted to HMRC annually |
| Financial Assistance | Overspend of Section 136 legislation | Low | A figure per head of the population is provided by the Welsh Audit Office and adhered to |
| Councillor/staff  Allowances | Over/under payments to members | Low | Seldom claimed but when an allowance is claimed this is in accordance with OVW recommendations  All members in receipt of allowance payments are responsible for paying taxes on any expenses.  Employee allowances (CA) recorded in line with HMRC guidelines |
| Annual Return | Not submitted within the time limit | Low | Annual return completed, submitted to the internal auditor for completion. Internal auditor is independent of the Council. Checked and sent to the external auditor |
| Assets | Loss/damage thereof  Risk or damage to third party individuals  Asset Register  Maintenance | Medium  Medium  Low  Low | Council does not own any land. Assets include playing field equipment – which is reviewed annually by ROSPA - all medium and high risk areas identified dealt with immediately.  Public liability insurance covers against risks to park users  All equipment recorded on Asset Register. Review of asset register annually  Any repairs maintenance undertaken as and when deemed necessary |
| Cemetery | Future demand sufficient  Memorial stones  Stability of Boundary hedged | Low  Low  Low | Site visit undertaken and current site deemed sufficient for next 35 years  Headstones inspected annually – all monumental masons have to comply with statutory regulations – namely to provide assurance that safety anchors are in place  Hedges, shrubs and grassed area cut regularly by experienced landscape gardened |
| Public toilet block | Insufficient funds to cover rising costs  CC taking responsibility for toilet block | High  High | Currently toilet building owned by WCBC but managed by CC who pays a caretaker to open/close/clean and undertake minor repairs. However unclear for how long this can be maintained – currently cost covered by precept. May need to consider when contract out to tender if opening 365 days is feasible i.e. only open April to October.  CC has now taken over the least of the toilets from WCBC. CC now responsible for maintaining building and upgrading facilities. Any upgrading is the CC’s responsibility and would need to be considered in future precept increase/reserves and/or explore grant funding grant funding. |
| Consultations | Deadline or response adhered to | Low | All deadlines adhered to. Observations on Planning applications forwarded to WCBC following council meeting |
| Document security/minutes etc. | Loss through theft, fire or damage | Low | Documents are archived securely in the Clerk’s home address. Electronic copies of minutes and other relevant documents also kept |
| Financial records | Inadequate checks | Low | Regular bank reconciliations/ discussion at monthly meetings |
| Health and safety risk assessment | Failure to identify | Low | Given the nature of the Council’s current responsibilities – none identified at the moment |
| Code of Conduct | Adoption of Code of conduct | Low | All councillors sign acceptance of Code of Conduct and Acceptance of Office forms when elected/co-opted |
| Welsh Language Policy | Implementation of Policy | Low | Minutes prepared in both Welsh and English. Advertising and announcements are in both languages. |
| Freedom of Information Act | Responding to requests | Low | Any requests will be dealt with on a case by case basis |
| Data Protection Act | Recording of data appropriately | Low | Council does not keep data. However CA would have access to Data which is kept in accordance with the Data Protection Act |
| Youth Provision | Number of young people accessing provision offered low | Low | Allowance made in precept figure to cover youth provision (£5000) i.e. employing youth workers (via WCBC). SLA will for 12 months – WCBC responsible for staff (including TUPE) – therefore if take up is low will be able to withdraw from the SLA. |
| Emergency Planning | Unable to undertake its duties due to national/local emergency e.g. Pandemic |  | CC follows guidance given by W, LA and OVW with regard to how meetings are held; quorum; voting; etc.  Should Council be unable to meet due to restrictions then efforts made for the council’s meetings to be held virtually/remotely  Those Councillors unable to partake in such meetings to be kept up to date by minutes/telephone calls by the Clerk |