

**Penyrheol Trecenydd Energlyn Community Council
Risk Management 2021/22**

Description of risk	Score 1	Score 2	Score 3	Score 4	Score 5	Action to keep risk at a minimum/ managing risk
Physical Assets <ul style="list-style-type: none"> • Asset register is not up to date • Fixed assets not covered by insurance • Festive lights not covered by insurance 	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>					Reviewed annually Reviewed annually Reviewed annually
Information Systems / Office Equipment <ul style="list-style-type: none"> • Photocopier not covered by insurance 	<input checked="" type="checkbox"/>					Photocopier is insured. Reviewed annually
Financial Control <ul style="list-style-type: none"> • Financial Regulations not adhered to • Financial position of the Council not reported quarterly to the meeting. • Internal audit not carried out • Cheque security not adequate • Reserves 	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>					Financial Regulations reviewed annually. Quarterly financial statement/balance of funds to be produced Internal Auditor to be appointed annually and all financial checks made Two members and Clerk to sign every cheque Reserves to be earmarked and monitored
Governance <ul style="list-style-type: none"> Ensure compliant with all policies & legislation: <ul style="list-style-type: none"> • Standing Orders & Financial Regulations not reviewed 	<input checked="" type="checkbox"/>					For the Council to implement and adhere to good governance and lawful practices, the Clerk attends training. The Clerk is also a member of the Society of Local Council Clerks and has access to advice. Members and staff receive Code of Conduct training. Annual appraisal to be undertaken or 6 and 3 monthly if Members feel staff are under

<ul style="list-style-type: none"> VAT not reclaimed P.A.Y.E. not paid 	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/>					<p>performing.</p> <p>VAT to be reclaimed annually and checked by internal auditor</p> <p>Wages managed by Playworks and internal auditor to check PAYE has been paid</p>
<p>Service Provision</p> <ul style="list-style-type: none"> Council undertaking projects with principal authority, other organisations and stand-alone projects. 	<input checked="" type="checkbox"/>					<p>Council to adhere to the Financial Regulations to ensure best value at all times for the delivery of goods and services and good working practices.</p>

<p>CLCC Business Continuity</p> <p>Clerk/RFO is the only permanent employee of the Council</p> <p>If the Clerk were to be absent from work for a significant period there would be difficulties with council business continuity.</p>	<input checked="" type="checkbox"/>					<p>It would be advisable to contact One Voice Wales or SLCC for a locum to be temporarily appointed to post in the event of long-term absence, in the interim, to undertake administrative work and to undertake accounting. In the meantime, informal agreement between PTE Community Council and Aber Valley Community Council for each clerk to assist in an emergency.</p>
<p>Reputational damage</p> <p>Due to conduct of Council, Councillors or staff; or mismanagement of Council affairs</p>		<input checked="" type="checkbox"/>				<p>Code of Conduct adopted and copies provided to Councillors and staff. Members advised by Clerk or Monitoring Officer. Control procedures met to avoid mismanagement or unlawful activities.</p>
<p>Communication</p>	<input checked="" type="checkbox"/>					<p>Up-to-date information maintained on Council website Nominated spokesperson to respond to media enquiries or provide media statements</p>
<p>Availability/security of documents</p>	<input checked="" type="checkbox"/>					<p>All documents (unless agreed as confidential) to be available for public inspection for transparency. All documents on computer to be backed up. Computer to be password-protected. Hard copies of calling notices/minutes stored in locked area. Council owns no land or buildings and has no leases.</p>

Lack of knowledge due to lack of Councillor/staff training	<input checked="" type="checkbox"/>					Suitable training to be arranged where necessary.
Conflict of Interest	<input checked="" type="checkbox"/>					Register of Members' Interests to be maintained. Members' interests recorded in minutes. When interest declared, members take no part in discussions or decision-making.
Failure to set the correct budget	<input checked="" type="checkbox"/>					Procedure in place to ensure annual budget-setting. Precept is determined annually. Budget to be reviewed throughout the year.
Legal action by employees	<input checked="" type="checkbox"/>					Employees have contracts of employment. CCBC HR policies followed.
Unlawful activities leading to audit investigation	<input checked="" type="checkbox"/>					Community Council's Financial regulations are followed. Local Government legislation is followed. Community Council's Standing Orders are followed.

Complaint from electors that Council has failed to comply with law or breached its Standing Orders/Financial Regulations leading to public interest report	<input checked="" type="checkbox"/>					Ensure all activities are lawful and within Community Council's scope Comply with Standing Orders and Financial Regulations. Annual review of Standing Orders, Financial Regulations and Risk Management register.
Failure to submit annual return	<input checked="" type="checkbox"/>					Procedures in place for completing annual return and followed by Clerk/Community Council.
Failure to set precept and agree budget	<input checked="" type="checkbox"/>					Budget approval process in place. Budget and precept prepared for Council meeting in January of each year.
Expenditure not in accordance with budget	<input checked="" type="checkbox"/>					Quarterly financial statements presented to Community Council and budget tracked.
Loss of cash	<input checked="" type="checkbox"/>					Community Council does not deal with petty cash.

Adequacy of Reserves	<input checked="" type="checkbox"/>					Community Council approves and monitors reserves.
Poor financial management	<input checked="" type="checkbox"/>					Quarterly financial statements. Monthly reporting of payments. Reconciliation of bank accounts to cash book.
Incorrect salary/PAYE deductions	<input checked="" type="checkbox"/>					Salaries managed by Playworks. Annual increments within approved pay scale (not applicable to current Clerk as on top of pay scale). Annual salary review in accordance with Local Government pay award.
Incorrect payment of allowances/expenses	<input checked="" type="checkbox"/>					Chair's allowance agreed annually at AGM. Community Councillor allowances to be agreed annually.
Incorrect payment of financial assistance grants	<input checked="" type="checkbox"/>					Awards given in accordance with S.137 and other legislation. Internal guidelines for grant amounts set.

Failure to assess risks	<input checked="" type="checkbox"/>					Up-to-date risk assessment and evidence of regular review, as risks may change over time and new risks may be identified.
Inequality	<input checked="" type="checkbox"/>					Council will conduct business in a manner to ensure no discrimination arises to any individual with protected characteristics under the Equalities legislation.
Welsh Language	<input checked="" type="checkbox"/>					Policy to be adopted when advised by Welsh Government.
Cyber Security				<input checked="" type="checkbox"/>		Clerk to spot suspect emails, bogus invoices, scam letters and compromised email accounts to be closed. Dedicated Community Council email addresses to be used by Councillors. Take prompt action when internet fraud detected. Report to bank, insurer, Action Fraud, Police as appropriate.

Probability	Score
Unlikely to occur	1
Lower than average chance of occurrence in most circumstances	2
Even chance of occurrence	3
Higher than average chance of occurrence in most circumstances	4
Expected to occur in most circumstances	5