

Abertillery and Llanhilleth Community Council (ALCC) - Risk Register

Presented to Finance and Grants Committee on

Presented to Council on

Risks: financial and administrative	Initial Risk H/M/L	Possible Outcomes	Response/mitigations	Residual Risk	Action	Comments
1.1 Insufficient funding to enable the Council to meet its objectives	H	Unable to deliver or fully deliver the Council's planned services, activities and events	<ul style="list-style-type: none"> • Prepare an annual budget and precept • Ensure adequate reserves (at least 25% of annual budget) • Collect income due (e.g. from allotments) • Monitor actual spend against budget to ensure funds available before spending takes place 	L	Review annually	The Council has approved a budget and precept for the current financial year. Charges are collected. Reserves are monitored, with funds earmarked to meet known or anticipated pressures. Spend is monitored against budget on a regular basis.
1.2 Losses due to fraud, error, theft or inadequate systems of internal financial control	H	Reputational costs, inconvenience and motivational costs, additional stress and strain	<ul style="list-style-type: none"> • Ensure sound financial instructions and procedures are in place • Ensure financial regulations and standing orders are in place • Ensure sound systems of internal and audit check, controls and balances are in place including security such as door access code and safe code • Ensure financial records are accurately maintained 	L	Review annually	The Council has sound financial instructions and procedures in place, which are subject to audit. Insurances are in place and are subject to review. Standing Orders & Financial Regulations are in place and have been reviewed in 2019 and 2020. Accounts are prepared in accordance with legal framework. Members are actively involved in these processes at several points to provide an assurance of the adequacy of the council's internal control environment. Debts are actively pursued.

			<ul style="list-style-type: none"> • Ensure invoices are checked before payment • Ensure monthly bank statements are checked for accuracy • Prepare annual accounts in line with regulatory framework • Ensure an independent internal audit takes place annually • Provide appropriate insurance cover to mitigate against losses caused by these “threats” e.g. fidelity guarantee, money, theft, all Risks cover 			
1.3 Security of monies, reserves and resources	H	Physical Loss and expense to the Council	<ul style="list-style-type: none"> • Ensure sound systems are in place for the recording, administration and banking of cash and cheques (and electronic transfer of funds to and from the Council’s accounts) • Undertake a quarterly bank reconciliation • Ensure monies received are banked promptly • Provide an office safe • Ensure office is safe, with door access code and fobs limited to key personnel only 	M	Review annually	Appropriate systems are in place and are subject to audit. <u>Quarterly budget updates including bank reconciliations are reported to members.</u> Money received is banked promptly. An office safe is provided. The office is secure. The Council has recently asked Blaenau Gwent County Borough Council (BGCBC) to provide precept payments on a quarterly (rather than annual) basis, to reduce the total sum in the Council’s bank account at any point in time and reduce losses in the case of bank collapse.
1.4 Staffing inadequacies/ inefficiencies	M	Reputational loss and cost. Impact on business continuity.	<ul style="list-style-type: none"> • Provide appropriate staff development and training • Professional courses 	L	Provide training as necessary	New staff were last appointed in 2016 and 2017. Senior Members took part in the recruitment process. The Clerk was appointed by the full Council. Staff training needs are kept under review.

			<ul style="list-style-type: none"> • Encourage membership of appropriate supporting organisations (SLCC etc.) • Provide appropriate insurance cover for negligence etc • Reserves are in place for unforeseen expenditure • Provide appropriate "line management" including annual appraisal. 			Staff have received training and both have completed ILCA and are members of the SLCC. Insurance is in place. Money is held in reserves to cater for unforeseen items. Contracts are in place, as are appraisals and day to day line management arrangements.
1.5 Sudden or long-term absence of the Clerk or Deputy Clerk.	H	Impact on business continuity.	<ul style="list-style-type: none"> • Staff development and training • Professional courses • Encourage membership of appropriate supporting organisations (SLCC etc.) • Provide appropriate insurance cover for negligence etc. • Budget Provision for unforeseen items • Provide appropriate "line management" including annual appraisal • Enable remote working (provide appropriate IT). 	M	Provide training as necessary	Flexible use of staff resources helps provide cover and ensure that staff are capable of covering key activities during any long term absence. Remote working options need to be improved (IT).
Risks: assets	Initial Risk H/M/L	Possible Outcomes	Response/mitigations	Residual Risk	Action	Comments
2.1 Fire, Act(s) of God, damage, vandalism, theft, IT viruses	H	Loss of assets or loss of use of assets, inability to deliver services, inefficiencies	<ul style="list-style-type: none"> • Provide appropriate insurance cover • Ensure appropriate alarm systems and equipment are installed 	M	Annual Review	Insurance cover is in place. The Council's health & safety documentation and procedures are subject to review and inspection to ensure that they continue to meet the council's business needs and statutory obligations. Assets are recorded

		and disruption or delay	<ul style="list-style-type: none"> • Ensure staff are trained and undertake regular fire drills and inspections, ensuring staff are fully aware of and conversant with procedures for evacuation of building and safe use of equipment • Ensure that all data is regularly backed up • Use fire-proof storage wherever possible • Undertake planned periodic building condition checks and take any remedial action as soon as possible, prioritising work schedule • Ensure compliance with various health & safety requirements, including Risk assessments, safety (PAT and other tests/inspections) • Use appropriate anti-virus programmes and undertake periodic checks to ensure systems are still adequate. 			<p>in the Asset Register. Regular inspections are made by BGCBC (the building owner) and external agencies of fire, evacuation, water, gas and other equipment. Members who access the building when staff are not present (e.g. for working group meetings) have had fire evacuation training.</p> <p>A robust Fire Safety Risk Assessment has been undertaken by BGCBC.</p> <p>The Council's Caretaker/Cleaner has a role in relation to Fire Safety. Staff have undergone fire extinguisher training.</p> <p>The Council's files are backed up regularly and staff have access to them remotely.</p>
Risks: legal	Initial Risk H/M/L	Possible Outcomes	Response/mitigations	Residual Risk	Action	Comments
3.1 Ultra Vires decisions	H	Possible surcharge on elected members, disqualification from office, reputational loss	<ul style="list-style-type: none"> • Ensure the Council keeps up to date with all necessary legislation • Take up and/or maintain membership of appropriate bodies such as One Voice Wales 	M	Review Annually	The Council's membership of bodies such as One Voice Wales helps ensure that it keeps up with legislation. This helps ensure that the Council continues to act within its powers and complies with appropriate requirements. Members are offered training. Training on the Code of Conduct is mandatory (albeit not all

			<ul style="list-style-type: none"> Members need to comply with the Code of Conduct and access relevant training. 			<p><u>members had taken up this training</u>). Member training is monitored. Matters relating to the Code of Conduct are referred to the Public Services Ombudsman for Wales.</p>
<p>3.2 Non-compliance</p> <p>e.g., PAYE, VAT, Inland Revenue, Data Protection, Health & Safety, Human Rights, Employment Law, Accounts & Audit Regulations, Race Relations, Equal Opportunities, Disability, FOI Act, Welsh Language Scheme, GDPR, Environment (Wales) Act 2016, Independent Remuneration Panel (IRP) for Wales, Well-being of Future Generations (Wales) Act 2015 etc</p>	H	<p>Possibility of fines for failure to meet obligations, court action, tribunal etc. Legal challenge. Reputational damage.</p>	<ul style="list-style-type: none"> Ensure the Council keeps up to date with all necessary legislation and guidance Use or buy expertise if the necessary expertise is not available in-house Undertake appropriate staff training Take up and/or maintain membership of appropriate bodies such as One Voice Wales Keep abreast of 'good practice' guidelines. Dialogue with regulators (e.g. ICO, Audit Wales) Annual ICO registration 	M	Review Continually	<p>The Council's membership of bodies such as One Voice Wales helps ensure that it keeps up with legislation. This helps ensure the Council continues to act within its powers and complies with appropriate requirements. The Council has sought external legal advice and HR advice. Staff are also able to call on the SLCC for advice and support. Health & Safety and HR advice have been obtained from the County Borough Council. The Council's Governance is kept under review, which will further improve risk management. The Council has reviewed financial regulations and standing orders in 2018/2019/2020. The Council has outsourced payroll services (payment of salaries, HMRC and pension contributions) to Blaenau Gwent CBC. The Council has taken steps to meet its new obligations under GDPR, the Environment (Wales) Act 2016 (the biodiversity duty) and those of the IRP. The Council has established a Well-being Working Group to consider its duties going forward.</p>
Risks: operational	Initial Risk	Possible Outcomes	Response/mitigations	Residual Risk	Action	Comments
	H/M/L					

4.1 Accidents (public) & liabilities. Negligence	H	Possibility of fines for failure to meet obligations, court action etc., Compensation payments, damages etc.	<ul style="list-style-type: none"> • Ensure public liability cover is in place and that the level of cover is adequate • Ensure that duty of care is uppermost when planning and/or providing a service or activity (Risk assessments) • Regularly inspect premises and equipment 	M	Review Continually	Appropriate insurance is in place. Key activities are Risk Assessed. The Council's health & safety documentation and procedures are subject to review and inspection to ensure that they continue to meet the council's business needs and statutory obligations. Health and safety, fire, fire equipment, water, gas and PAT testing is provided by external agencies under contract to BGCBC (the owner of the building).
4.2 Accidents (elected members and staff). Negligence	H	Costs of staff time, replacement, possible compensation claims, court action etc.	<ul style="list-style-type: none"> • Ensure public liability cover is in place and that the level of cover is adequate • Ensure that duty of care is uppermost when planning and/or providing a service or activity (Risk assessments) • Regularly inspect premises and equipment 	M	Review Continually	Appropriate insurance is in place. Key activities are Risk Assessed. The Council's health & safety documentation and procedures are subject to review and inspection to ensure that they continue to meet the council's business needs and statutory obligations. Health and safety, fire, fire equipment, water, gas and PAT testing is provided by external agencies under contract to BGCBC (the owner of the building).
4.3 Inadequate communication	H	Loss of reputation and goodwill. Legal challenges to decision making	<ul style="list-style-type: none"> • High standards of recording minutes and council decisions • Periodic press releases • Use of Community Council website, social media, noticeboards etc. • Timely responses to all correspondence, consultations etc. • Respecting electors' rights by allowing attendance at meetings and other appropriate occasions 	M	Review Annually	Minutes/agendas available are of a high standard and are available online. Press releases are issued when required. The website, social media and noticeboards are used as appropriate and kept up to date. Meetings are open to the public, held in accordance with standing orders and public questions are allowed. Social media presence established and developed. The website has been reviewed and refreshed. All members have been provided with an alcc email account and this is managed closely when new members are elected/co-opted and when members resign. Electors are

			<p>including inspection of accounts</p> <ul style="list-style-type: none"> • Provide opportunity for public questions at meetings • Good conduct and adherence to Member Code of Conduct at all times • Properly conducted meetings, complying with standing orders • Members provided with alcc email accounts. • Public surveys conducted. 			<p>encouraged to attend meetings and their statutory rights are complied with. Code of Conduct issues are referred to the PSO for Wales. Public surveys have been carried out in relation to car parking and public service desires.</p>
Risks: political / reputational	Initial Risk H/M/L	Possible Outcomes	Response/mitigations	Residual Risk	Action	Comments
5.1 Goodwill and adverse publicity	H	Loss of reputation and goodwill	<ul style="list-style-type: none"> • Respecting electors' rights by allowing attendance at meetings and other appropriate occasions • Good conduct and adherence to Member Code of Conduct • Properly conducted meetings, complying with standing orders • Proper recording of members interests and gifts etc. • Applying sound principles when dealing with representational matters, particularly in local planning and licensing issues • Town & Community Councils are represented on the Standards Committee of Blaenau Gwent CBC. 	M	Review annually	<p>Public attendance at meetings and other appropriate occasions is encouraged. Members adhere to the Council's Code of Conduct and issues have been referred to the PSO for Wales. All bar two of the existing members have been on Code of Conduct training. Meetings are held in accordance with Standing Orders and include public question time. Interests are declared and recorded. All planning applications and licensing applications in the ALCC area are notified to members, with an opportunity to meet to consider any objections. The Council responds to relevant consultations when requested (e.g. proposed asset transfers and audit regime changes). Members are offered regular training. T&CCs are represented on the CBC Standards Committee. Any</p>

Risks: special events, services and activities	Initial Risk H/M/L	Possible Outcomes	Response/mitigations	Residual Risk	Action	Comments
			<ul style="list-style-type: none"> • Vacancies are dealt with quickly and appropriately. 			vacancies are advertised and filled as quickly as possible.
6.1 Party in the Park	H	Inability to deliver, resulting in expense, loss of reputation and goodwill	<ul style="list-style-type: none"> • Ensure appropriate budget is in place • Ensure staff are available to provide necessary support • Ensure proper orders and/or contracts with venue and contractors are in place to minimise risk and embarrassment • Undertake appropriate risk assessments to reduce or remove accident risks • Ensure procurement processes enable successful delivery of event • Ensure regular liaison with County Borough Council (re safety, licensing, site booking, bins etc). • Ensure report back with "lessons learnt" to Council after each event 	M	Review risks annually, before and after each event	Budgets, staff and relationships with venues, suppliers etc. are in place. Risk Assessments are undertaken. Members (the Leisure and Tourism Working Group) have oversight of the event/activities. Publicity for event has improved, with posters and social media. Leaflets are issued to local residents about the event, parking and park and ride bus service. Park and ride bus service provided to reduce cars on and around site and improve access for people without cars. Deputy Clerk (DC) is identified as project manager for Party in the Park. DC attends meetings of Safety Advisory Group (SAG) and liaises closely with BGCBC key personnel. A report is submitted to Council, with lessons learnt, after each event. Planning the event has started earlier each year, with delegations given to staff to procure activities, equipment, services etc.
6.2 Remembrance Sunday event	H	Inability to deliver, resulting in expense, loss of reputation and goodwill	<ul style="list-style-type: none"> • Ensure appropriate budget is in place • Ensure staff are available to provide necessary support • Ensure proper orders and/or arrangements in place to minimise risk and embarrassment 	H	Review risks annually, before and after each event	Small budget in place for wreaths, poppies etc. <u>Needs to be increased</u> . Key elements of the event have previously been delivered by staff of BGCBC (e.g. flags, programmes, sound system, road closures, health and safety), with support from the Police (traffic and crowd management) and Royal British Legion (RBL) (who does what on the day plus

			<ul style="list-style-type: none"> • Undertake appropriate risk assessments to reduce or remove accident risks • Ensure procurement processes enable successful delivery of event • Ensure regular liaison with County Borough Council (re safety, licensing, site booking, bins etc). 			traffic and crowd management). BGCBC, the Police and RBL have all indicated that they are withdrawing their services from 2019 onwards. A great deal more work will therefore be needed from ALCC staff and members, to make this event happen successfully in 2020 and beyond.
6.3 Christmas Charity concert		Inability to deliver, resulting in expense, loss of reputation and goodwill	<ul style="list-style-type: none"> • Ensure appropriate staff in place to support Chair, produce and print programmes, set up planning meetings with stakeholders • ?????? budget ?????? • ?????? 	L	Review risks annually, before and after each event	Staff are in place and setting up meetings with stakeholders, communicating plans, producing and printing programmes are dealt with as part of normal workload. The church is responsible for health and safety at the event.
6.4 St David's Day Concert		Inability to deliver, resulting in expense, loss of reputation and goodwill	<ul style="list-style-type: none"> • Ensure appropriate staff in place to support Chair, produce and print programmes, set up planning meetings with stakeholders • ?????? budget ?????? • ?????? 	L	Review risks annually, before and after each event	Staff are in place and setting up meetings with stakeholders, communicating plans, producing and printing programmes are dealt with as part of normal workload. The church is responsible for health and safety at the event.
6.5 Grants to Voluntary Organisations (ward grants, council grants and solar farm grants)	H	Inability to provide funds to grant applicants. Loss of solar farm grants if company chooses to withdraw annual grant stream	<ul style="list-style-type: none"> • Ensure appropriate budget is in place • Ensure sufficient staff are available to provide necessary support • Ensure monitoring in place to track grants given and outcomes • Ensure criteria in place to improve consistency of decisions and guidance for potential applicants 	M	Review annually	Budgets, staff and good relations with all other stakeholders including the solar farm company are in place. Monitoring has been improved in the last year, especially regarding solar farm grants, grant letters and receipts, and ward grants log. Members have oversight of grants through Council, the Finance and Grants Committee and Solar Farm Grant Working Group. Criteria have been put in place for all grants and publicised. These criteria are discussed and reviewed on a regular basis.

			<ul style="list-style-type: none"> • Ensure grant recipients are informed of Council expectations (e.g. compliance and publicity) • Ensure close liaison and good relations are in place with solar farm company, to reduce risk of loss of grant 			
6.6 Youth services	H	Inability to continue delivering the funding agreed in 2019 to employ 6 extra detached youth workers through BGCBC Youth Services and food through the Space Café	<ul style="list-style-type: none"> • Ensure appropriate budget is in place • Ensure Council decisions at the right time to continue this initiative • Ensure close liaison with relevant stakeholders through the Youth Engagement Working Group • Ensure close monitoring and reporting back to Council on use of funds and outcomes 	M	Review annually	Budgets, member working group and relationships with others are in place. Members report back to Council on progress and outcomes.
6.7 Defibrillators	H	Defibs may not be in place at the right time and place if not managed properly	<ul style="list-style-type: none"> • Ensure defibrillators are working, inspected regularly and missing parts replaced • Ensure defibs are registered with Welsh Hearts, Ambulance Service and any other relevant organisations • Ensure people know what and where defibs are • Ensure people know how to use defibs in emergencies • Ensure all parts used are replaced quickly 			
6.7 Consultation & Representation	M	Poor two-way consultation, resulting in loss of reputation,	<ul style="list-style-type: none"> • Ensure all relevant consultations from other organisations, bodies, agencies and individuals are 	L	Review annually	Appropriate consultation exercises are reported to members to facilitate responses by due dates. This may be by email (where a whole Council response is

Key to abbreviations:	ALCC	Abertillery and Llanhilleth Community Council
	BGCBC	Blaenau Gwent County Borough Council
	SLCC	Society of Local Council Clerks
	ILCA	Introduction to Local Council Administration
	LCPC	Local Councils Partnership Committee
	OVW	One Voice Wales
	HR	Human Resources
	IRP	Independent Remuneration Panel for Wales
	ICO	Information Commissioner's Office
	PSO	Public Services Ombudsman for Wales
	GDPR	General Data Protection Regulation

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