

Cwmbran Community Council

BUSINESS RISKS REGISTER 2021/2022

This Register was approved by the Council at a meeting held on 27 October 2021 and amended 15 December 2021.

1. Financial & Administrative Risks

Risk	Initial Risk H/M/L	Outcomes	Response	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 • Undertake an annual review of charges • Implement longer term financial planning • Monitor actual spend against budget 	L	Review annually	The Council has approved a budget and precept for the current financial year. Charges are kept under regular review. Longer term financial commitments are kept under review. Reserves are carefully monitored, with funds earmarked to meet known or anticipated pressures. Spend is monitored against budget.
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 standing orders are in place • Ensure sound systems of internal and audit check, controls and balances are in place • Ensure financial records are accurately maintained on a high priority basis • Prepare annual accounts in accordance with the latest regulatory framework • Ensure an annual independent internal audit takes place • Provide appropriate insurance cover to mitigate against losses caused by these "threats" e.g. fidelity guarantee, money, theft, all Risks cover 	L	Review annually	<p>The Council has sound financial instructions and procedures in place and which are subject to audit. Insurances are in place and are subject to review. Standing Orders & Financial Regulations are in place. Accounts are prepared in accordance with appropriate frameworks. Members are actively involved in these processes at several points to provide an assurance of the adequacy of the council's internal control environment.</p> <p>Debts are actively pursued.</p>

<p>1.3 Security on monies, reserves and resources</p>	<p>H</p>	<p>Physical Loss and expense to the Council</p>	<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 monthly bank reconciliation • Ensure monies are banked promptly • Provide an office safe 	<p>M</p>	<p>Review annually</p>	<p>Appropriate systems are in place and are subject to audit. Monthly bank reconciliations are reported to members. Money is banked promptly. An office safe is provided.</p>
<p>1.4 Staffing inadequacies/ inefficiencies</p>	<p>M</p>	<p>Reputational loss and cost. Impact on business continuity.</p>	<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 non-recurring costs or other "unforeseen" expenditure. 	<p>L</p>	<p>Put training into place. as necessary</p>	<p>New staff have been appointed in recent years. They have made an important contribution to the work of the Council. Senior Members took part in the recruitment process.</p> <p>Staff training needs are kept under review. Staff have taken up several different training opportunities. The clerk is a member of the SLCC. The Admin Officer has successfully completed the SLCC's "Working With Your Council Course" and the AAT Diploma in Accounting.</p> <p>Sickness is managed and monitored, supported by processes such as Return to Work Interviews. Team Briefing and regular 1:1 dialogue provide opportunities for staff appraisal and help ensure that key projects are delivered. The Council has approved an Appraisal Framework.</p> <p>Insurance is in place. Money is held in reserves to cater for unforeseen items. Earmarked reserves are also held in relation to known, long-term priorities.</p> <p>External support has been utilised in relation to the preparation of accounts.</p>

1.5 Sudden or long-term absence of the Clerk or senior staff.	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. 	L	Put training into place. as necessary	Flexible use of resources helps provide cover and ensure that staff can cover key activities during any long-term absence. Facilities for remote working are in place.
1.6 Disruption of internal control environment due to retirement of Internal Auditor	H	Impact on control environment.	Recruitment process will commence to appoint replacement	L	Process in place	The internal control environment will benefit from the appointment of an effective, independent auditor.

2. Council Assets Threats

Risk	Initial Risk H/M/L	Outcomes	Response	Residual Risk	Action	Comments
2.1 Fire, Act(s) of God, damage, vandalism and theft, IT viruses	H	Loss of assets or loss of use of assets, inability to deliver services, inefficiencies and disruption or delay	<ul style="list-style-type: none"> • Provide appropriate insurance cover • Ensure appropriate alarm systems and equipment are installed • 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 buildings 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 	M	Annual Review	<p>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. A robust approach to recording of the Council's assets is taken. Matters relating to maintenance of the Council House are kept under review by members. Current challenges include measures to preserve and improve the fabric of the Council House.</p> <p>A robust Fire Safety Risk Assessment has been undertaken.</p> <p>The Council's Caretaker/Cleaner has stepped down from the role. A replacement will be appointed.</p>
2.2 Caretaker/Cleaner	M	Insufficient arrangements to protect the hygiene and structure of the Council's premises arising from the resignation of the Cleaner/Caretaker.	Recruitment has commenced to appoint a replacement	L	Continue Recruitment process	

3. Legal Threats

Risk	Initial Risk H/M/L	Outcomes	Response	Residual Risk	Action	Comments
3.1 Ultra Vires	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, T.C.A.L.C 	M	Review Annually	The Council's membership of bodies such as One Voice Wales and TCALC 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. Matters relating to the Code of Conduct are discussed with the Monitoring Officer.
3.2 Non-compliance 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	H	Possibility of fines for failure to meet obligations, court action, tribunal etc. Legal challenge.	<ul style="list-style-type: none"> • Ensure the Council keeps up to date with all necessary legislation • 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, T.C.A.L.C., Zurich • Engagement of Employment Law and Health and Safety Consultants (Peninsula) • Keep abreast of 'good practice' guidelines. • Dialogue with regulators (eg ICO) 	M	Review Continually	<p>The Council's membership of bodies such as One Voice Wales and TCALC 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. The Clerk is also able to call on the SLCC and Torfaen County Borough Council for advice and support. Health & Safety and HR advice is obtained from Peninsula.</p> <p>The Council's Governance Framework is kept under review, which will further improve risk management. The Council has reviewed progress in dealing with new pressures, such as Making Tax Digital, the requirements of the Environment (Wales) Act 2016 and other guidance.</p> <p>External support has been utilised in relation to the preparation of accounts.</p> <p>The Council has taken steps to meet its obligations under GDPR and the findings of the Local government Independent Remuneration Panel.</p>

<p>3.3 Well-being of Future Generations (Wales) Act 2015</p>	<p>H</p>	<p>Reputational loss. Breach of statutory obligations</p>	<ul style="list-style-type: none"> • Ensure the Council keeps up to date with all necessary legislation • 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, T.C.A.L.C., Zurich • Keep abreast of 'good practice' guidelines. 	<p>M</p>	<p>Review Continually</p>	<p>The Council has made good progress in identifying its responsibilities under the Act.</p> <p>It has established the WB Goals at the heart of its business planning arrangements. Regular dialogue with the PSB ensures that this progress is maintained.</p> <p>The Council has been recognised as an example of Best Practice. Town & Community Councils are represented on the Torfaen Public Services Board.</p>
<p>3.4 Local Government and Elections (Wales) Act 2021</p>	<p>H</p>	<p>Reputational loss. Breach of statutory obligations</p>	<ul style="list-style-type: none"> • Ensure the Council keeps up to date with all necessary legislation • 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, T.C.A.L.C., Zurich • Keep abreast of 'good practice' guidelines. 	<p>M</p>	<p>Review Continually</p>	<p>The Council has made good progress in identifying its responsibilities under the Act and is complying with the legislation.</p>

4. Operational Threats

Risk	Initial Risk H/M/L	Outcomes	Response	Residual Risk	Action	Comments
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. Matters relating to maintenance of the Council are kept under review by members.
4.2 Accidents (elected members and staff) Negligence	H	Costs of staff time, replacement, possible compensation claims 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. Matters relating to maintenance of the Council House are kept under review by members.
4.3 Inadequate communication	H	Loss of reputation and goodwill	<ul style="list-style-type: none"> • High standards of recording minutes and other council business decisions • Periodic press releases • Use of Community Council newsletter, 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 online. Pro-active press releases issued. Notice Boards etc. used. Meetings open to the public. Meetings held in accordance with standing orders. Team Briefing introduced to facilitate internal communication. Social Media presence has been established and developed. Our Web Site is being rebuilt and streamlined. Annual Reports are published together with Residents

			<ul style="list-style-type: none"> • Good conduct and adherence to National Code of Conduct. • Properly conducted meetings, complying with standing orders • New IT arrangements to support hybrid meetings. • Improved website • Twitter “Blue Tick” to boost public confidence 			<p>Handbooks. The Council has opened a Twitter Account to improve digital communications.</p> <p>The Clerk has undertaken training to improve the Council’s use of Social-Media. Learning was shared with staff.</p> <p>Formal and informal meetings have been held remotely and by “hybrid” means in view of the Coronavirus outbreak in compliance with statutory requirements. Committee meetings have not been held but the Council aims to recommence these as soon as possible.</p>
4.4	H	Loss of business continuity in the light of withdrawal of IT & Telephony services by SRS (2020)	New partnership arrangements have been put in place with new providers, including support for the Council’s website.	M	Progress is kept under review and reported to Members	The new arrangements are closely monitored to ensure that the Council’s business needs and statutory obligations continue to be met.
4.5	H	<p>i. Health & Safety Risks to the Council’s Members, Staff & Customers</p> <p>ii. Operational Risks to Council services.</p>	<p>Risk Assessments in place. Staff/Member surveys re fitness/health Rigorous cleaning & inspection regime PPE Equipment purchased Staff Training</p> <p>Staff working from Home with full access to Council records. Meetings held remotely in accordance with WG Regulations</p> <p>Support provided to meet associated community needs.</p>	M	<p>Regular Review at Management/Member level.</p> <p>Some Events Cancelled, Some Events held virtually via social media</p>	<p>The Clerk keeps abreast of legislative changes, Best Practice and other guidance to ensure that the Risk is managed. Regular dialogue takes place with the Council’s HR/Health & Safety consultants.</p> <p>The impact on income & expenditure arising from the pandemic monitored by Members.</p>

5. Political/Reputational

Risk	Initial Risk	Outcomes	Response	Residual Risk	Action	Comments
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	H/M/L					
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 National 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 & Ethics Committee of Torfaen County Borough Council. 	M	Review annually	<p>Public attendance at meetings and other appropriate occasions is encouraged. Members adhere to the Council's Code of Conduct. Meetings are held in accordance with Standing Orders. Interests are declared. Members received regular training. Council meetings include provision public Question Time.</p> <p>Most existing members have been elected. Others have been co-opted.</p> <p>An Annual Report has been published to illustrate the way in which the Council meets key goals. This has been recognised as an innovative example of Best Practice.</p> <p>New arrangements have been put in place to allow the public to attend meetings remotely as a result of the Coronavirus outbreak.</p>
5.2 Strategic Way Forward	H	Lack of co-ordination and direction	<p>The Council has approved a series of initiatives to improve business planning and effectiveness within the Council. The initiatives build upon existing Best Practice within the Council and are linked to the Council's corporate objectives and ways of working set out in the Annual Report.</p> <p>Other measures include the introduction of a new template for reporting to Members, improved arrangements relating to meetings of outside bodies, a performance appraisal framework and ways to encourage and improve public involvement</p>	L	Measures are being implemented as part of a strategic way forward.	
5.3 The Council is unable to assure itself it is making an impact that is commensurate	M	Council's reputation is damaged	Council monitors reserves and has a reserves policy	L	Establish a working group in association	

<p>with the resources entrusted to it.</p>		<p>Citizens unwilling to pay required level of precept.</p> <p>Reserves policy could be seen as insufficiently specific.</p> <p>Levels of reserves could be seen as overly high given current levels of need.</p>			<p>with OVW to benchmark activity, performance and level of reserves against comparable councils.</p> <p>To participate in the development of a self-evaluation toolkit for community and town councils in Wales.</p> <p>(Completing the self-evaluation toolkit will also be helpful to the council in completing its annual governance statement and return.)</p>	
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6. Special Events, Services & Activities

(Note: Committee meetings have not been held during the coronavirus outbreak. Events, Services and Activities have been overseen by Full Council. The work of the committees will apply when meetings resume.)

Risk	Initial Risk H/M/L	Outcomes	Response	Residual Risk	Action	Comments
6.1 Events Committee (Festivals & Events)	H	Inability to deliver service, resulting in expense, loss of reputation and goodwill	<ul style="list-style-type: none"> • Ensure appropriate budget is in place • Ensure sufficient 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 accidents Risks • Ensure that procurement processes enable successful delivery of events. 	M	Review annually	<p>Budgets, staff and relationships with venues etc. are in place. Risk Assessments are undertaken. Members have oversight of special events, services and activities.</p> <p>Publicity for events has been increased in recent years.</p> <p>In 2019 the Council took on responsibility for the Cwmbran Big Event from Torfaen County Borough Council. A review of the success of the event was undertaken by Members.</p> <p>The Council's approach to engagement with the public, through its events programme, has been recognised as Best Practice.</p> <p>NOTE: COVID-19</p> <p>The impact of the Coronavirus outbreak impacted on most Council events during 2020. This continued into 2021. The Council is keeping all events under review during the current outbreak. The 2021 Big Event took place virtually. The Council aspires to recommence events as soon as possible, subject to appropriate safeguards.</p>
6.2 Events Committee (Play Provision)	H	Inability to deliver service, resulting in expense, loss of reputation and goodwill	<ul style="list-style-type: none"> • The Council provides financial support to Torfaen County Borough Council for the delivery of Play Provision. 	M	Review annually	Members receive reports, visit sites and keep the success/future of the Plays Provision under review.

						<p>NOTE: COVID-19</p> <p>The impact of the Coronavirus outbreak has impacted on most Council events during 2020. This continued into 2021. The Council is keeping all events and services under review during the current outbreak.</p> <p>Play provision was delivered in a different format during 2021 to manage this risk.</p>
<p>6.3 Environmental Awareness & Planning Committee</p> <p>Primary Schools Eco Quiz.</p>	H	Inability to deliver service, resulting in expense, loss of reputation and goodwill	<ul style="list-style-type: none"> • Ensure appropriate budget is in place • Ensure sufficient 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 risk of accidents 	M	Review annually	<p>Budgets, staff and relationships with venues etc. are in place. Risk Assessments are undertaken. Members have oversight of special events, services and activities.</p> <p>NOTE: COVID-19</p> <p>The impact of the Coronavirus outbreak has impacted on most Council events during 2020. This continued into 2021. The Council is keeping all events under review during the current outbreak. The Council aspires to recommence events as soon as possible, subject to appropriate safeguards.</p>
<p>6.4 Environmental Awareness & Planning Committee</p> <p>Community Task Force</p>	H	Inability to deliver service, resulting in expense, loss of reputation and goodwill	<ul style="list-style-type: none"> • Ensure appropriate budget is in place • Ensure sufficient 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 Risk of accidents 	M	Review annually	<p>Budgets and staff are in place and Risk Assessments are undertaken. A Mission Statement has been approved. The committee has been given oversight of the Task Force and details of activity and income are regularly reported.</p> <p>Charges and salaries have been reviewed to maintain the sustainability of the service. New equipment has been obtained to improve the service.</p>

						<p>NOTE: COVID-19</p> <p>The impact of the Coronavirus outbreak has impacted on the work and income of the Task Force during 2020. This continued into 2021. The Council is keeping all services under review during the current outbreak. The Council aspires to recommence services as soon as possible, subject to appropriate safeguards.</p>
6.5 Grants to Voluntary Organisations Committee	H	<p>Inability to provide funds to grant applicants.</p> <p>Inability to deliver a proper Grants to Voluntary Organisations Presentation Evening (subject to coronavirus restrictions)</p>	<ul style="list-style-type: none"> • Ensure appropriate budget is in place • Ensure sufficient staff are available to provide necessary support • Undertake appropriate Risk assessments to reduce or remove Risk of accidents 	M	Review annually	<p>Budgets, staff and relationships with others are in place. Members have oversight of special events, services and activities.</p> <p>The Council will again review its criteria for awarding Grants. Earmarked reserves have been identified.</p>
6.6 Policy & Finance Committee	H	Inability to deliver the services and opportunities to the community	<ul style="list-style-type: none"> • Ensure appropriate budget is in place • Ensure sufficient staff are available to provide necessary support • Undertake appropriate Risk assessments to reduce or remove Risk of accidents • Partnership opportunities. 	M	Review annually	<p>Budgets, staff and relationships with others are in place. Risk Assessments are undertaken. Members have oversight of special events, services and activities. Services and events kept under review during coronavirus outbreak. The Council aspires to recommence events as soon as possible, subject to appropriate safeguards.</p> <p>The Council is represented on the management committees of certain organisations which it cores funds. Members are required to report back from these meetings.</p> <p>Risk Assessments have been carried out to manage the impact of the Coronavirus outbreak.</p>
6.7	H		<ul style="list-style-type: none"> • Ensure annual budget is in place 	M		Budgets are in place.

Cwmbran Centre for Young People		Inability to support CCYP with resultant loss of service and opportunities for young people in Cwmbran	<ul style="list-style-type: none"> • Ensure Council's representatives are in place and conversant with the CCYP policies operational principles • Be satisfied that the CCYP Management Committee reports on a regular basis to full Council 		Review annually	The Council is represented on the management committees of CCYP.
6.8 Consultation & Representation	M	Poor 2-way consultation, resulting in loss of reputation, goodwill, understanding etc.	<ul style="list-style-type: none"> • Ensure all consultation from other organisations, bodies, agencies and individuals is properly scheduled for consideration and due dates are met • Ensure all consultations made by Cwmbran Community Council is objective and cover all affected or interested parties • Ensure Code of Conduct is strictly adhered to, taking all opportunities for training courses provided by Torfaen CBC, One Voice Wales etc. 	L	Review annually	<p>Appropriate consultation exercises are reported to members to allow responses by due dates.</p> <p>Regular dialogue with One Voice Wales helps ensure that the Council is aware of and informs responses on behalf of the sector.</p> <p>Views of the public invited by a range of communication tools, e.g. Residents Handbooks.</p> <p>The Charter between Torfaen County Borough Council and local councils will be kept under review.</p>