

PENTYRCH COMMUNITY COUNCIL: RISK MANAGEMENT SCHEDULE

REVIEW DATE: May 2017

AREA	RISK	LEVEL	CONTROLS (Bold indicates areas where attention is required)
Assets	Protection of Physical Assets	M	<p>PCC office at 1 Penuel Road, Pentyrch and the Pavilion, Creigiau Recreation Ground are both covered by Buildings Insured. Value increased annually by RPI. The Insurance cover is scrutinised annually to ensure it remains relevant. Current policy with Aviva via Came & Co runs from 1.10.16 to 30.9.17 with a long term agreement running until 30.9.18 Professional valuation for insurance purposes to be done every ten years starting from 2017.</p>
	Security of Buildings, equipment etc	H	<p>There is an alarm on 1 Penuel Road including the Garage that is maintained by ADT annually. All external doors have mortise locks. The Toyota is alarmed and disabled when unattended. It is parked overnight in front of the trailer. The trailer is insured separately and has a physical barrier preventing it being taken when not used. The Kubota ride-on lawn mower is kept in a locked shed, behind where the trailer is kept. A padlocked steel gate has been fitted between the garage and the north-eastern corner of the house to prevent access to the rear garden.</p>
	Maintenance of Buildings, equipment etc	M	<p>The Buildings & Estates Committee meet when necessary to assess what work needs to be carried out and to set an adequate budget. The exterior of the offices at 1 Penuel Road, Pentyrch, was repainted in September 2007 and the black margins (soffits, window cills, base bricks, etc.) were repainted in 2015. The office was repainted in March 2016. The boiler was replaced in June 2008 and thermostatic valves were added to existing radiators. Solar Panels were fitted to the roof in December 2011. The roof was repaired in December 2012 with a replacement downpipe, loose tiles replaced, loose ridge tiles re-cemented and a plastic gable end cover fitted. Repairs to 1 Penuel Road caused by damp scheduled for May 2017.</p>

			All equipment is checked upon use and recorded on the weekly sheets. Any failures or essential maintenance is reported to the Clerk and all equipment is serviced annually.
--	--	--	--

AREA	RISK	LEVEL	CONTROLS (Bold indicates areas where attention is required)
Finance	Banking	M	Bank transactions are undertaken by cheque and electronic transfer and recorded on the SAGE accounting package. Sage updated at the start of 2017-18 to an online version with payroll that interacts with the bank and will maintain the latest software version automatically. Council will explore a pre-paid debit card with a printable statement.
	Risk of consequential loss of income or data	M	The SAGE package is backed up every time it is updated onto a memory stick, which is kept in the possession of the RFO. The memory stick contains the last three occasions that SAGE was updated.
	Loss of cash through theft or dishonesty	M	Petty Cash up to £250 is insured. The Imprest is £150. The petty cash is kept in a locked cash box in a locked cabinet within a locked, when unattended, office. Only the RFO and the Administrative Assistant on duty has access to the Petty Cash. Petty Cash is updated and physically checked at least once a month.
	Financial controls and records	M	Bank Statements are checked and reconciled against the SAGE accounting package every month. All cheques require two signatories. Electronic payments are authorised by two signatories on the invoice. Online authorisation will be set up with new bank mandate for new council after May 2017. The accounts are audited annually both internally and externally.
	Comply with HMRC regulations	L	VAT Claims are made quarterly as calculated by the SAGE accounting package and then checked by the RFO. Copies of all claims with supporting documentation retained are incorporated into annual audits. PCC complies with HMRC's RTI regulations and reports of tax and NI due are made monthly via the Sage Payroll system.
	Sound budgeting to underline the annual precept	L	A written report on the financial situation is prepared for the Council quarterly at the April, July, October and January meetings.

			Forward planning for the next quarter is considered at the same time. A draft budget is considered at the November and December meetings. The January meeting sets the budget for the following financial year alongside the setting of the precept to achieve the budget set.
	Compliance with borrowing restrictions	L	No borrowing likely at present

AREA	RISK	LEVEL	CONTROLS (Bold indicates areas where attention is required)
Liability	Risk to third party, property or individuals	M	Insurance in place and renewed at the September meeting. Recreation grounds inspected monthly and defects rectified. Trees subject to five-yearly maintenance report and action taken. Trees in high risk locations, eg highway, footpaths, inspected annually. Risk assessments considered on all aspects where the PCC owns or controls a potential hazard. Annual fire hydrant check undertaken at Council offices.
	Legal liability as consequence of asset ownership	M	Insurances in place for building and contents insurance, public liability insurance, specified property, vehicle and trailer insurance. Specific training and safety equipment provided for potentially hazardous work involving use of power tools, chain saws, mowers, tractors, strimmers and hedge cutters. First Aid training for CMOs updated March 2017. Senior CMO chain saw ticket updated March 2017. Staff training generally to be reviewed in 2017. All maintenance equipment serviced annually. Vehicles and maintenance equipment used is checked either daily or when used and any defects are reported to the Clerk for rectification.
Employer Liability	Compliance with employment law	L	All staff have contracts of employment. All staff joined the LGPS in 2016-17. The PCC is a member of One Voice Wales. The Clerk is a member of SLCC and ALCC Staffing issues are reviewed yearly to ensure on-going compliance and any changes needed are reported to the Staffing Committee or full Council.
	Comply with Inland Revenue requirement	L	HMRC Basic Tools RTI software replaced with Sage One Payroll for 2017-18 for

			the calculation of salaries, PAYE, NHI, pension and annual returns. Annual checks made by internal and external auditor.
	Safety of Staff and visitors	M	Risk assessments carried out and reviewed.

AREA	RISK	LEVEL	CONTROLS (Bold indicates areas where attention is required)
Legal Liability	Ensuring activities are within legal powers	L	Clerk clarifies legal position on any proposal. Legal advice sought where necessary from OVW or council solicitors.
	Proper and timely reporting via the minutes.	L	The Council meets once a month with the exception of August. Minutes are normally prepared within two to three days of the meeting and checked by the Chairman. They are then circulated to all Councillors for further comments. Any alterations requested are then confirmed by the Chairman and the draft minutes are circulated to all outlets in the PCC area and on the web-site (www.pentyrch.cc). The minutes are then formally considered at the subsequent meeting and agreed. The minutes of Committee meetings are prepared for the subsequent full Council meeting where they are agreed. They are also circulated on the web-site. PCC complies with the Welsh Government 2015 Statutory Guidance on Access to Information
	Proper document control	M	Original Documents stored in document box or with Solicitor as necessary. Minutes are bound and retained in the office. Weekly back-up made to external hard drive to ensure retention of documents..
Councillors Propriety	Register of interests and gifts and hospitality in place	L	Gifts and hospitality register is available at each Council meeting in the possession of the Clerk. List of Councillors declarations of interest kept on the website.