

RISK ASSESSMENT SCHEDULE

Assessment Criteria

Rating: Potential Consequence Score: 1-5
 Likelihood of Happening Score: 1-5
 Severity Level Score – Potential Consequence x Likelihood

Classification: 1-5 Low
 6-10 Medium
 11-15 High
 16-25 Very High

Topic	Risk Identified	Potential Consequence	Likelihood	Severity Score	Classi'tion	Measures to be taken to Reduce/Minimise/Control Risk
<u>Income Precept</u>	Not Submitted	5	1	5	Low	Full Budget process in place. Clerk/RFO to draft budget annually in November and December. Finance Committee to consider budget in November and December Full Council to set budget and determine precept annually in January Clerk/RFO to notify County Council before January 31.
	Not paid by Cardiff	5	1	5	Low	Clerk/RFO to monitor and report to Council Paid directly to bank account by BACS
	Inadequacy of Precept	5	1	5	Low	Clerk RFO to present monthly Reconciled Accounts, All monthly Receipts and Expenditure and Financial Summary to Finance Committee Finance Committee to review/compare budget to actual monthly
Charges - Cemetery	Grave Allocation	5	1	5	Low	Updating of Burial Register - Ongoing
	Collection of proper internment charges	3	2	6	Medium	PCC follows fees set by the Church in Wales No Burials to take place until Clerk has received signed request and fees.
	Review of Fees	3	2	6	Medium	Charges change in line with Church in Wales
	Banking of Fees	5	1	5	Low	Clerk/RFO to bank monies within 2 working days of receipt thereof.
Loss of Money	Business Interruption	5	2	10	Medium	1 Penuel Road, Pentyrch and Pavilion, Creigiau Rec: £10,000 loss of income; £10,000 additional increased costs of working
	In Transit	5	3	15	High	Insured for limit of £1,000
	In Premises	5	3	15	High	Insured for £1,000
	In Safe or Strong Room	5	2	10	Medium	Insured for £1,000
	Private Residence of Member or Employee	5	3	15	High	Insured to £1,000
	Through theft or dishonesty of Staff or Members	5	2	10	Medium	Fidelity guarantee of £150,000
Borrowing/Lending	Adequacy of finances to repay loan	5	1	5	Low	Provision made in Annual Budget Policy part of Investment Strategy
Investment Strategy Income/Policy	Investment Strategy Policy	3	2	6	Medium	Policy to be updated Review Annually
Reserves – General	Ensure Adequacy	5	1	5	Low	Consider at Budget Setting
Reserves – Earmarked	Ensure Adequacy	5	1	5	Low	Consider at Budget Setting
	Unidentified /Recording	5	1	5	Low	Identified at Budget Setting and Recorded in Final Accounts

SLA's	Failure to fulfil agreement	5	2	10	Medium	Clerk to monitor. Diary of work undertaken and when in place
	Loss of income	5	4	20	Very High	PCC currently only has one contract for grass cutting for Creigiau Scouts to start in the growing season 2019. The total annual income is estimated at c£480.
Expenditure						
Legal Powers	Illegal Payment or Activity	5	2	10	Medium	All statutory powers to undertake work recorded in minutes Ensure compliance with Standing Orders and Financial Regulations Review of Standing Orders and Financial Regulations during lifetime of Council.
Salaries/Wages	Wrong Salary Paid	5	2	10	Medium	Staff salaries, NI and pension paid monthly
	Wrong Rate Applied	5	2	10	Medium	Reconcile with minutes of National Agreed Rates as per budget and Staffing Committee
	False Employee	5	2	10	Medium	Finance Committee to undertake examination of PAYE records.
	Not Accounting for correct deductions of NI, Tax and LGPS contributions	5	2	10	Medium	Sage Payroll employed to process all staff wages
	Inaccurate recording of hours	5	2	10	Medium	All staff 'clock in/out' in office diary. Part-time staff have individual time sheets.
	Submission of PAYE records Payments	4	1	5	Low	All returns submitted monthly automatically by Sage via HMRC RTI .
VAT Payment Recovery of	Improper recording of input/output VAT	5	2	10	Medium	VAT paid and claimed recorded in Sage 50 Accounts package
	Improper Identification of Non Business Activities	5	2	10	Medium	
	Inability to meet quarterly submissions to H.M customs	5	1	5	Low	Sage 50 Accounts package produces list of VAT to be claimed. VAT moving to online claim in 2018
	Annual Reconciliation of quarterly returns	5	1	5	Low	
Financial Assistance	Legal Power to contribute	5	2	10	Medium	Compliance with section 137 and other legislation
	Compliance with Council Policy	5	1	5	Low	Educate/Remind members of Policy
	Overspend	5	2	10	Medium	Clerk/RFO to monitor monthly
Councillors Allowances	Over/Under payments to Members	4	1	5	Low	Members to complete any expense claim form. Members to notify Clerk in writing if they do not want to receive the mandatory £150 allowance. Care Allowance paid on receipt of invoices up to IRPW
	Proper deduction of tax	5	1	5	Low	Audit to verify
	Maintain proper records	3	1	3	Low	Standard claim forms in place.
Training						
Councillors	Misunderstanding of PCC's, Members' and staff roles and responsibilities	5	3	15	High	Budget for Member training and encourage attendance.
Clerk	Misunderstanding of PCC's, Members' and	5	5	25	Very high	Budget for Clerk training with CiLCA as a minimum qualification

	staff roles and responsibilities					
Other staff: Admin Assistant	Misunderstanding of PCC's and own roles and responsibilities	3	4	12	High	Budget for training. Ensure good understanding of social media role.
CMOs	H&S risks of working outside with dangerous equipment	5	5	5	Very high	Budget for training. Comply with recommendations of H&S consultants
Other						
Assets	Loss/Damage thereof	5	2	10	Medium	Inspection routine to be established by H&S consultants to include land, buildings, parks, play area, recreation field, woodland and other land, Christmas trees, hanging baskets, benches, notice boards, graveyards Insure against all risks. Review annually.
	Risk or damage to third party property or individuals	4	2	8	Medium	£10,000,000 Indemnity of Public Liability in place. Review annually
	Security of Buildings and Equipment	5	3	15	High	Ensure adequate locks. Alarm system in place for 1 Penuel Road and garage
	Asset Register	5	2	10	Medium	Update Asset Register annually
	Maintenance	5	3	15	High	Undertake repair and maintenance - Ongoing
Staff	Insufficient to deliver service	5	4	20	Very high	Review Staff Structure annually
Staff	Loss of key personnel – Clerk through ill health, retirement, long term sickness or even death	5	3	15	High	Review staff structures, working hours, duties and responsibilities.
Cemetery	Future Demand	5	1	5	Low	Adequate land available for c 6 graves at Bronllwyn.
	Memorial Headstones (Safety)	5	5	25	Very High	Regularly check safety of memorial headstones at both Bronllwyn and Penuel road graveyards.
	Stability of Boundary Walls, Trees and Hedges	5	2	10	Medium	Undertake regular inspection of all boundary fencing, walls and ornamental trees for stability.
	Condition of seats	5	1	5	Low	Undertake regular inspection of all seats for safety reasons.
Vehicles	Roadworthiness	5	2	10	Medium	Van serviced, tested for MOT annually, taxed and insured annually.
	Failure to deliver services whilst van is off the road					Instruct driver to monitor oil and tyre pressure levels weekly. Accident reporting to Clerk.
Consultations	Meeting of deadlines for response	3	4	12	High	Planning Committee has delegated powers to respond to applications on behalf of PCC. Consultation Committee may meet to consider other consultative documents falling in between normal monthly meetings.
Document Security	Appropriateness of existing facilities	5	4	20	Very High	Office 365 for cloud storage of computer documents. Hard drive back up 3x/week Deposit historical records with County archives.
Financial Records	Inadequate Records	5	1	5	Low	Sage 50 Accounts software package in use. Support agreement in force with provider.

						Financial records updated monthly and kept on CD or floppy disc.
Minutes	Accurate and Legal	5	1	5	Low	Reviewed, signed and dated at following meeting.
Health and Safety Risk Assessment	Failure to identify	5	5	25	High	Independent Health and Safety Consultant engaged to advise Council and council to implement recommendations. Ongoing
Disability Discrimination Issues	Failure to identify and implement adaptations	5	5	25	High	Ground floor of 1 Penuel Road to be made more accessible. Accessibility of Pavilion, Creigiau Recreation Area to be checked
Register of Members Interest, Gifts and Hospitality	Identification of interest and recording of gifts and hospitality	3	1	3	Low	Register of Interest file held by Council and implemented. Declaration of Office signed by all members and copies held by Council. Copies on line and sent to Independent Remuneration Panel for Wales.
Code of Conduct	Adoption of Code of Conduct	5	1	5	Low	Code of Conduct adopted by Council and implemented. Employee code of conduct implemented.
Welsh Language Policy	Preparation of and Implementation of Policy	5	2	10	Medium	Policy in place. Latest recommendations awaiting from Welsh Government. Welsh-speaking PCC Members can provide translation for residents' letters/emails. Letters received in Welsh replied in Welsh.

Amended and approved 21.1.2019