

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	Classification	Measures to be taken to Reduce/Minimise/Control Risk	Mitigated Severity Score
Income Precept	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.	5
	Not paid by Cardiff	5	1	5	Low	Clerk/RFO to monitor and report to Council Paid directly to bank account by BACS	5
	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 Budget to be amended as needed during the year to provide an accurate anticipated financial position at year end.	5
Charges - Cemetery	Grave Allocation	5	1	5	Low	Updating of Burial Register - Ongoing	5
	Collection of proper interment 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.	3
	Review of Fees	3	2	6	Medium	Charges change in line with Church in Wales	3
	Banking of Fees	5	1	5	Low	Clerk/RFO to bank monies within 2 working days of receipt thereof.	5
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	5
	In Transit	5	3	15	High	Insured for limit of £1,000	10
	In Premises	5	3	15	High	Insured for £1,000	10
	In Safe or Strong Room	5	2	10	Medium	Insured for £1,000	5
	Private Residence of Member or Employee	5	3	15	High	Insured to £1,000. No money is kept at any employees' home	5

	Through theft or dishonesty of Staff or Members	5	2	10	Medium	Fidelity guarantee of £150,000. Petty Cash is kept in locked cupboard with records up to date	5
Borrowing/Lending	Adequacy of finances to repay loan	5	1	5	Low	Provision made in Annual Budget Policy part of Investment Strategy PCC currently has no loans	
Investment Strategy Income/Policy	Investment Strategy Policy	3	2	6	Medium	Policy adopted April 2019 Review Annually	4
Reserves General	Ensure Adequacy	5	1	5	Low	Policy adopted April 2019 Recorded on RBS software Consider at Budget Setting	5
Reserves Earmarked	Ensure Adequacy	5	1	5	Low	Policy adopted April 2019 Recorded on RBS software Consider at Budget Setting	5
	Unidentified /Recording	5	1	5	Low	Identified at Budget Setting and Recorded in Final Accounts	5
SLA's	Failure to fulfil agreement	5	2	10	Medium	Clerk to monitor. Diary of work undertaken and when in place No official SLAs in place now	
	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. Clerk to issue invoices every 2 months	15
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. Done March 2019	10
Salaries/Wages	Wrong Salary Paid	5	2	10	Medium	Staff salaries, NI and pension paid monthly	10
	Wrong Rate Applied	5	2	10	Medium	Reconcile with minutes of National Agreed Rates as per budget and Staffing Committee	10
	False Employee	5	2	10	Medium	Finance Committee to undertake examination of PAYE records. With only 4 employees the risk of this is reduced.	3
	Not Accounting for correct deductions of NI, Tax and LGPS contributions	5	2	10	Medium	Sage Payroll employed to process all staff wages New rates of pay and pension contribution updated at start of new financial year	10
	Inaccurate recording of hours	5	2	10	Medium	All staff 'clock in/out' in office diary. Part-time staff have individual time sheets.	10
	Submission of PAYE records Payments	4	1	5	Low	All returns submitted monthly automatically by Sage via HMRC RTI. This will change to RBS during the year.	10

VAT Payment Recovery of	Improper recording of input/output VAT	5	2	10	Medium	VAT paid and claimed recorded in Sage 50 Accounts package. This will change to RBS during the year.	
	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. This will change to RBS during the year. New RBS software will enable Making Tax Digital in due course.	5
	Annual Reconciliation of quarterly returns	5	1	5	Low	Not expected for PCC before 2021. VAT moved to online claim in 2018	
Financial Assistanc e	Legal Power to contribute	5	2	10	Medium	Compliance with section 137 and other legislation. Welsh Government notified S137 limit each year. PCC's budget is significantly below the limit.	10
	Compliance with Council Policy	5	1	5	Low	Educate/Remind members of Policy. Members attend training by One Voice Wales	5
	Overspend	5	2	10	Medium	Clerk/RFO to monitor monthly	
Councill ors Allowan ces	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	5
	Proper deduction of tax	5	1	5	Low	Audit to verify	5
	Maintain proper records	3	1	3	Low	Standard claim forms in place.	5
Training							
Councill ors	Misunderstanding of PCC's, Members' and staff roles and responsibilities	5	3	15	High	Budget for Member training and encourage attendance.	10
Clerk	Misunderstanding of PCC's, Members' and staff roles and responsibilities	5	5	25	Very high	Budget for Clerk training with CiLCA as a minimum qualification. The Clerk was awarded CiLCA in August 2015. The Clerk also delivers training for OVW.	10
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.	10
CMOs	H&S risks of working outside with dangerous equipment	5	5	25	Very high	Budget for training. Comply with recommendations of H&S consultants	20
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.	10

	Risk or damage to third party property or individuals	4	2	8	Medium	£10,000,000 Indemnity of Public Liability in place. Review annually	10
	Security of Buildings and Equipment	5	3	15	High	Ensure adequate locks. Alarm system in place for 1 Penuel Road and garage Front and rear door locks for 1 Penuel Road replaced 2018	15
	Asset Register	5	2	10	Medium	Update Asset Register annually	10
	Maintenance	5	3	15	High	Undertake repair and maintenance - Ongoing	15
Staff	Insufficient to deliver service	5	4	20	Very high	Review Staff Structure annually Hours of Clerk, Admin Asst and CMO increased 2019-20	15
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.	15
Cemetery	Future Demand	5	1	5	Low	Land available for c 6 graves at Bronllwyn. Mapping of graveyard updated 2018	5
	Memorial Headstones (Safety)	5	5	25	Very High	Regularly check safety of memorial headstones at both Bronllwyn and Penuel road graveyards.	25
	Stability of Boundary Walls, Trees and Hedges	5	2	10	Medium	Undertake regular inspection of all boundary fencing, walls and ornamental trees for stability.	10
	Condition of seats	5	1	5	Low	Undertake regular inspection of all seats for safety reasons.	5
Vehicles	Roadworthiness	5	2	10	Medium	Van serviced, tested for MOT annually, taxed and insured annually. Instruct driver to monitor oil and tyre pressure levels weekly. Accident reporting to Clerk.	10
	Failure to deliver services whilst van is off the road	5	2	10	Medium		10
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.	10
Document Security	Appropriateness of existing facilities	5	4	20	Very High	Office365 for cloud storage of computer documents. Hard drive back up 3x/week Deposit historical records with County archives.	20
Financial Records	Inadequate Records	5	1	5	Low	Sage 50 Accounts software package in use. Replaced by RBS during the year. Support agreement in force with provider. Back up to Office365 cloud storage	5
Minutes	Accurate and Legal	5	1	5	Low	Reviewed, signed and dated at following meeting.	5
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	25
Disability	Failure to identify and implement adaptations	5	5	25	High	Ground floor of 1 Penuel Road made more accessible in 2018 by expanding library floor area.	25

Discrimination Issues						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.	3
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. All members to attend training	3
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.	10