Clerc: Helena Fox
1 Ffordd Penuel
Pentyrch
Caerdydd CF15 9LJ

*Ffon 029 2089 1417*
*Ebost: clerk@pentyrch.cc*
*Gwefan: www.pentyrch.cc*

**PENTYRCH COMMUNITY COUNCIL**

**CYNGOR CYMUNED PENTYRCH**

Clerk: Helena Fox
1 Penuel Road
Pentyrch
Cardiff CF15 9LJ

*Phone 029 2089 1417*
*Email: clerk@pentyrch.cc*
*Website: www.pentyrch.cc*

# RISK ASSESSMENT SCHEDULE

## Approval updated: September 2020

## 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 |

## CORONAVIRUS MARCH 2020

At its March 16 2020 monthly meeting PCC made the following Resolutions to deal with the Coronavirus Emergency:

1. Delegated powers be given to the Clerk to deal with actions related to the Coronavirus emergency in discussion with the Chairman and Vice Chairman with the full Council kept informed.
2. The Clerk be given delegated powers to cancel PCC's April meeting on H&S grounds if needed. Members of the public will be advised not to attend for safety reasons but cannot be excluded.
3. Delegated powers be given to an Emergency Committee comprising three Members including the Chair, Vice Chair (if available) with the Clerk present when possible to deal with any actions related to the Coronavirus emergency.
4. In the absence of the Clerk, the Emergency Committee to work with the Community Engagement Officer.
5. The Clerk be delegated powers to respond to planning applications on behalf of the Planning Committee following email discussions by the Planning Committee to avoid face to face meetings.
6. To avoid face to face meetings electronic initialling of invoices for payment be accepted with email chains as audit and wet initialling when Members are available.
7. Any staff who have to follow Central Government guidance and self-isolate have the assurance that they will be paid in full
8. To close the PCC office and library as a public space until the Coronavirus emergency is over. A sign was placed on the door.

The PCC Homepage of its website was dedicated to the emergency and regularly updated with official and local information. The PCC Facebook page linked to the website, community Facebook pages and any useful information.

Office staff moved to work from home as much as possible and remained at home throughout the year. Community Engagement Officer visits the office once a week to deal with mail, phone messages and any essential admin. Outdoor staff were asked to stay at home in accordance with HMG or Welsh Government advice or directives and returned to work normal or adjusted hours also in accordance with HMG or Welsh Government advice or directives and discussion with the Clerk.

| Topic | Risk Identified | Potential Consequence | Likelihood | Severity Score | Classi'ti on | Measures to be taken to Reduce/Minimise/Control Risk | Mitigated Severity Score |
|---|---|---|---|---|---|---|---|
| **Income**<br>Precept | Not Submitted | 5 | 1 | 5 | Low | Full Budget process in place.<br>Clerk/RFO to draft budget annually in November and December.<br>Finance Committee to consider budget in November and December<br>Full Council to set budget and determine precept annually in January<br>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<br>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<br>Finance Committee to review/compare budget to actual monthly<br>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 internment charges | 3 | 2 | 6 | Medium | PCC follows fees set by the Church in Wales<br>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. Maximum sum agreed to be kept in the Petty Cash box is £250.00 | 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 |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | | | | | | During Covid-19 the Clerk has the Petty Cash box at home. It is not being used and contains £185.69 being the reconciled sum as at 31.3.2020 | |
| | 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<br>Policy part of Investment Strategy<br>PCC currently has no loans | NA |
| Investment Strategy Income/ Policy | Investment Strategy Policy<br><br>Risk of negative interest rates | 3<br><br>4 | 2<br><br>4 | 6<br><br>16 | Medium<br><br>High | Policy adopted April 2019<br>Review Annually<br><br>March 2021: PCC was warned of possible negative interest rates by the CCLA. The March Finance Committee made recommendations to the March Main Meeting and advice was taken from OVW. | 4<br><br>3 |
| Reserves General | Ensure Adequacy | 5 | 1 | 5 | Low | Policy adopted April 2019<br>Recorded on RBS software<br>Consider at Budget Setting | 5 |
| Reserves Earmarked | Ensure Adequacy | 5 | 1 | 5 | Low | Policy adopted April 2019<br>Recorded on RBS software<br>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<br>No official SLAs in place now | NA |
| | Loss of income | 5 | 4 | 20 | Very High | PCC currently only has one contract for grass cutting for Creigiau Scouts which started in the growing season 2019. The total annual income 2019-20 was £160.<br>Clerk to issue invoices as needed. | 15 |
| **Expenditure** | | | | | | | |
| Legal Powers | Illegal Payment or Activity | 5 | 2 | 10 | Medium | All statutory powers to undertake work recorded in minutes<br>Ensure compliance with Standing Orders and Financial Regulations<br>Review of Standing Orders and Financial Regulations during lifetime of Council. Standing Orders last amended February 2020. Financial Regulations due for approval of amendments October 2020 | 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<br>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. Following advice of Internal Auditor, only Clerk keeps a personal time sheet. | 10 |
| | Submission of PAYE records Payments | 4 | 1 | 5 | Low | All returns submitted monthly automatically by Sage via HMRC RTI. | 10 |
| VAT Payment Recovery of | Improper recording of input/output VAT | 5 | 2 | 10 | Medium | VAT paid and claimed and all recorded in RBS software. | 5 |
| | Improper Identification of Non Business Activities | 5 | 2 | 10 | Medium | | 5 |
| | Inability to meet quarterly submissions to H.M customs | 5 | 1 | 5 | Low | RBS software produces list of VAT to be claimed. New RBS software will enable Making Tax Digital in due course. Not expected for PCC before 2021. VAT moved to online claim in 2018. | 5 |
| | Annual Reconciliation of quarterly returns | 5 | 1 | 5 | Low | | 5 |
| Financial Assistance | Legal Power to contribute | 5 | 2 | 10 | Medium | Compliance with section 137 and other legislation. Welsh Government notifies S137 limit each year. PCC's budget is significantly below its limit. | 3 |
| | 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<br>Finance Committee makes detailed comparisons of budget v income/expenditure quarterly. Budget adjustments are made as necessary and all changes and virements detailed in the Minutes. | 5 |
| 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 mandators IRPW allowance. Budget allows for all Members to claim.<br>Care Allowance paid on receipt of invoices up to IRPW. Estimated funds held in an ear-marked reserve | 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** | | | | | | | |
| Councillors | 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' | 5 | 5 | 25 | Very high | Budget for Clerk training with CiLCA as a minimum qualification when needed. The current Clerk was awarded | 10 |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | and staff roles and responsibilities | | | | | CiLCA in August 2015. The Clerk also delivers training for OVW. | |
| 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<br>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.<br>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<br>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<br>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.<br><br>During the Covid-19 emergency both PCC and staff have to be flexible to comply with official guidance, sometimes at short notice.<br><br>Staffing Committee meets to discuss details of any necessary changes and make recommendations to Full Council.<br><br>PCC has duty to protect staff from risk of Covid-19 infection and staff have a duty to follow guidance and keep themselves and others as safe as possible. | 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.<br><br>Professional tree inspection carried out annually for safety assessment. All Priority 1 trees dealt with within 12 months as recommended by inspection report. | 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.<br>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.<br>Hard drive back up 3x/week<br>Deposit historical records with County archives. | 20 |
| Financial Records | Inadequate Records | 5 | 1 | 5 | Low | RBS software package in use.<br>Support agreement in force with provider.<br>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.<br>Ongoing | 25 |
| Disability Discriminatio n Issues | 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.<br>Accessibility at Pavilion, Creigiau Recreation Area is difficult because of a high step at the main door. Access at the rear via the WCs is easier. | 25 |
| 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.<br>Declaration of Office signed by all members and copies held by Council.<br>Copies register online 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.<br>Employee code of conduct implemented.<br>All members to attend training<br><br>Copies declarations of interest online and sent to Independent Remuneration Panel for Wales. | 3 |
| Welsh Language Policy | Preparation of and Implementation of Policy | 5 | 2 | 10 | Medium | Policy in place. Latest recommendations awaiting from Welsh Government.<br>Welsh-speaking PCC Members can provide translation for residents' letters/emails. Letters received in Welsh replied in Welsh. | 10 |