

## RISK ASSESSMENT SCHEDULE

### Assessment Criteria

<b>Rating:</b>	Potential Consequence Score: 1-5	<b>Classification:</b>	1-5 Low
	Likelihood of Happening Score: 1-5		6-10 Medium
	Severity Level Score – Potential Consequence x Likelihood		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	Mitigated Severity Score
<u>Income</u> Precept	Not Submitted	5	1	5	Low	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
Charges - Cemetery	Grave Allocation	5	1	5	Low	Updating of Burial Register - Ongoing	5
	Collection of proper internment charges	3	2	6	Medium	No Burials to take place until Clerk has received signed request and fees.	3
	Review of Fees	3	2	6	Medium	Annual Meeting to agree fees	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

	Through theft or dishonesty of Staff or Members	5	2	10	Medium	Fidelity guarantee of £150,000.	5
Reserves General	Ensure Adequacy	5	1	5	Low	Policy adopted April 2019 Consider at Budget Setting	5
Reserves Earmarked	Ensure Adequacy	5	1	5	Low	Policy adopted April 2019 Consider at Budget Setting	5
<b>Expenditure</b>							
Legal Powers	Illegal Payment or Activity	5	2	10	Medium	Ensure compliance with Standing Orders and Financial Regulations Review of Standing Orders and Financial Regulations during lifetime of Council. Standing Orders last amended February 2020. Financial Regulations approved 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.	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
	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	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
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. Care Allowance paid on receipt of invoices up to IRPW. Estimated funds held in an ear-marked reserve	5
<b>Training</b>							
Councillors	Misunderstanding of PCC's, Members'	5	3	15	High	Budget for Member training and encourage attendance.	10

	and staff roles and responsibilities						
Clerk	Misunderstanding of PCC's, Members' and staff roles and responsibilities	5	5	25	Very high	Advice available from OVW. Budget for training available .	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
<b>Other</b>							
Assets	Loss/Damage thereof	5	2	10	Medium	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	8
	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	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
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Graveyards	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.  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. 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.	10
Document Security	Appropriateness of existing facilities	5	4	20	Very High	Office365 for cloud storage of computer documents.	20
Financial Records	Inadequate Records	5	1	5	Low	Back up to Office365 cloud storage	5
Minutes	Accurate and Legal	5	1	5	Low	Reviewed 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	15
Disability Discrimination 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. .	25
Register of Members Interest, Gifts and Hospitality	Identification of interest and recording of gifts and hospitality	3	1	3	Low	Members required to declare interests at each meeting of council	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.	10



