

**TAFF'S WELL AND NANTGARW COMMUNITY COUNCIL**  
**RISK ASSESSMENT SCHEDULE (REVIEWED MARCH 2019 )**

**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
<b><u>Income</u></b> Precept	Not Submitted	5	1	5	Low	Full Budget process in place. Clerk/RFO to prepare budget annually in December. Full Council to determine precept annually in January Clerk/RFO to notify County Council in February
	Not paid by County Council	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 be submitted to each Council meeting
	Banking of Fees	5	1	5	Low	Clerk/RFO to bank monies within 3 working days of receipt thereof.
Charges - Allotments /Ancillary land	Hiring Charges – Review	3	2	6	Medium	Annual Review of charges in February by Council
Loss of Money	Business Interruption	5	2	10	Medium	Insured – Loss
	In Transit	5	3	15	High	Insured for limit of £250 – Increase to £30,000
	In Premises	5	3	15	High	Insured for £3,000
	Private Residence of Member or Employee	5	3	15	High	Insure to maximum level
	Through theft or dishonesty of Staff or Members	5	2	10	Medium	Fidelity guarantee of £80,000. to increase to £100,000 and review annually in February
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 in place Review Annually
Reserves – General	Ensure Adequacy	5	1	5	Low	Consider at Budget Setting and review quarterly via budget monitoring
Reserves –	Ensure Adequacy	5	1	5	Low	Consider at Budget Setting and review quarterly via budget monitoring

<b>Earmarked</b>						
<b>SLA's</b>	Failure to fulfil agreement	5	2	10	Medium	Clerk to monitor. Diary of work undertaken and when in place
<b>Expenditure</b>						
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	Clerk's salary presented to Council each month and Chairman to scrutinise details of claim
	Wrong Rate Applied	5	2	10	Medium	Reconcile with minutes of National Agreed Rates for Clerks
	Not Accounting for correct deductions of NI, Tax and Superannuation	5	2	10	Medium	Clerk to review during end of year accounting to Inland revenue
	Submission of PAYE records Payments	4	1	5	Low	Returns submitted monthly. Annual Return to be completed electronically
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 basis and to present quarterly budget monitoring reports to members.
<b>Training of Councillors</b>	Members unable to undertake duties due to lack of training	3	1	3	Low	Training budget in place Members have access to One Voice Wales on line advice
<b>Training of Clerk / Staff</b>	Clerk providing out of date and incorrect information and advice to members	3	1	3	Low	Training information made available via One Voice Wales Training budget available Access to Principal Authority for guidance via Community Council Charter
<b>Other</b>						
Consultations	Meeting of deadlines for response	3	4	12	High	Chairman plus affected Ward Members to consider planning applications and other consultative documents falling in between normal monthly meetings.
Document Security	Appropriateness of existing facilities	5	4	20	Very High	Storage by electronic means. Back up data monthly Deposit historical records with County archives.
Financial Records	Inadequate Records	5	1	5	Low	Dedicate software package in use and kept on CD or floppy disc. Financial records updated monthly.
Minutes	Accurate and Legal	5	1	5	Low	Reviewed, signed and dated at following meeting.
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 and undertaking to abide by Code signed by all members and copies held by Council.

Code of Conduct Members and Employee	Adoption of Code of Conduct	5	1	5	Low	Code of Conduct adopted by Council and implemented. Members attend relevant training. Employee code of conduct implemented
Sudden long- term illness of Clerk and/ or termination of employment.	Members required to undertake administrative tasks whilst alternative arrangements put in place to cover the Clerk's duties.					Preparation of details passwords etc to access Community Council IT packages. Preparation of generic calendar of Clerks monthly activities. Safe place of storage agreed with members.