

KETTERING TOWN COUNCIL

RISK ASSESSMENT - June 2023

No.	Item	Hazard	Those at risk	Severity 1-10	Likelihood 1-10	Risk Score	Measures	Residual Risk
1	Lack of defined objectives or strategy	<ul style="list-style-type: none"> • Resources not directed • Poor performance • Drifting from objectives • Risks not base-lined. 	Members	2	1	2	Corporate Plan adopted annually and monitored throughout the year by Finance and Governance Committee	LOW
2	Failure to attract sufficient candidates for Member vacancies or elections	<ul style="list-style-type: none"> • Reduced representation of neighbourhoods • Possible meeting inquorate 	Members Wider public	2	2	4	actively publicise Council activities actively seek candidates publicise elections & vacancies	LOW
3	Cost of bye-elections	Puts unplanned strain on budget	Council	3	3	9	Ensure members at risk of disqualification for non attendance at meetings are encouraged to attend in good time Ensure election fund held in reserves has enough to cover at least one bye-election	MEDIUM
4	Failure to achieve quorum at meetings	Business not transacted Decisions not made	Members Clerk	2	3	6	Ensure substitute members appointed for all committees Ensure all members aware of calendar of meetings	LOW

							Give good notice for any changes in dates	
5	Council decisions not implemented	<ul style="list-style-type: none"> Confidence undermined Reputation risk arises Possible losses 	Clerk	4	1	4	<p>Clerk to publish minutes marked unapproved</p> <p>Minutes to be considered at next meeting and at Council for questions</p> <p>Monitoring of corporate priorities reports</p>	LOW
6	Inaccurate, untimely, improper minutes	<ul style="list-style-type: none"> Poor decisions in future Poor evidence for decisions 	Clerk	4	1	4	<p>Clerk to check minutes with Chairman within 7 days of meeting</p> <p>Minutes published Unapproved</p>	LOW
7	Failure to recognise and address conflict of interest	<ul style="list-style-type: none"> Lack of transparency Open to complaints of fairness or bias 	Members Clerk	4	1	4	<p>Up to date declarations of interest register published on website</p> <p>Item on every agenda inviting declarations</p>	LOW
8	Failure to complete/submit Annual Governance Return on time and comply with audit deadlines	<ul style="list-style-type: none"> Poor Auditors report Public confidence suffers 	Clerk	5	1	5	<p>Clerk to submit on time and seek member approval before deadline</p> <p>Scheduled item at Annual Council</p>	LOW
9	Failure to calculate/submit precept on time	<ul style="list-style-type: none"> Inadequate resources to meet commitments Costs of re-billing 	Clerk Members	9	1	9	Scheduled precept fixing meeting in January; preceded by budget planning and consultation process agreed by members in autumn	LOW

10	Failure to respond to electors wishing to exercise right of inspection	<ul style="list-style-type: none"> Complaints received Not transparent Non compliance 	Clerk	3	1	3	Clerk to advertise facility, and respond to requests	LOW
11	Lack of public consultation by Council	<ul style="list-style-type: none"> Decisions not based on evidence People disenfranchised 	Members	3	3	9	<p>ensure meetings publicised</p> <p>make best use of Town Meetings throughout year</p> <p>consider leafleting areas affected by change</p> <p>public participation on all agendas</p> <p>ensure website and social media maximise consultation and engagement</p> <p>develop wider consultation policy and practice so as to better inform decision making</p>	LOW to MEDIUM
12	Members fail to comply with Code of Conduct	<ul style="list-style-type: none"> Reputational damage Investigation costs 	Members	3	1	3	All members to have training on Code of Conduct within first year of office, and subsequently after each election	LOW
13	Allegations of misrepresentation libel or slander	<ul style="list-style-type: none"> Potential for litigation Costs of investigation Reduces confidence 	Members	3	1	3	Clerk to intervene at meetings review all press releases or publications before release	LOW

							Code of Conduct Training for members Adequate Insurance Cover	
14	Grant decisions are challenged or found to be at fault	<ul style="list-style-type: none"> • Risk of legal challenge • Reputational damage 	Members	4	1	4	Policies in place to govern all grant regimes Code of Conduct and Declarations of Interest regimes in place	LOW
15	Management of events	<ul style="list-style-type: none"> • Health and safety risks • Noise, licensing and regulatory non compliance • Costs over-run • Poor attendance 	Members Clerk Public	4	3	12	Risk assessment for all events to be completed Public liability Insurance cover Communications plan for each event to be put in place Events supervisors to be on site throughout KTC run events, ES staff to have appropriate first aid training and up to date DBS checks.	MEDIUM
16	Allotments	<ul style="list-style-type: none"> • Health and safety risks – costs and liability risks • Security and vandalism – costs and reputational risks 	Allotment Holders Allotment Associations	5	2	10	Allotment Associations to flag up structural risks which arise with Town Council or security concerns Allotment Associations to ensure sites are properly managed, that all plots are regularly inspected and allotment holders advised about risks and security of equipment and produce.	MEDIUM

							Ensure insurance cover for fencing and structures is in place and that all contractors have appropriate cover.	
17	Market stalls and tables	<ul style="list-style-type: none"> Health and safety risks of erection and dismantling Litigation and costs 	Clerk, Staff employed to manage stalls Market traders	6	1	6	<p>Ensure staff have appropriate health and safety training and that equipment is kept in good condition and stored safely</p> <p>Ensure all repairs addressed promptly</p> <p>Use of weights to ensure storm damage minimized.</p> <p>Cancel markets and events in adverse weather conditions</p> <p>Ensure traders' insurance cover is adequate for risk – differential public liability insurance to be secured for food traders, non food traders and community groups hiring a stall.</p> <p>Ensure all food traders have satisfactory food hygiene certificates</p> <p>KTC insurance in place for stalls and public liability.</p>	LOW

18	Management of speed devices	<ul style="list-style-type: none"> • Health and safety risks of erection • Keeping equipment properly charged and maintained 	Members Clerk Road users	4	2	8	<p>Named member to ensure equipment maintained and moved between sites</p> <p>Ensure insurance cover is adequate Batteries regularly recharged or replaced.</p> <p>Half yearly inspection of all equipment.</p> <p>Use of contractor or supplier to erect mounting poles and devices</p>	MEDIUM
19	Accidental damage to moveable assets, including IT	<ul style="list-style-type: none"> • Costs of repair • Loss of service until repaired 	Members Clerk Service users	2	2	4	<p>Maintain insurance</p> <p>Inspections of Speed Indicator Devices established.</p> <p>Ensure allotment associations clear on their maintenance regimes</p> <p>Ensure market stalls kept securely and moved safely</p>	LOW
20	Loss or damage to mayoral chains, mace, civic regalia, and plate	<ul style="list-style-type: none"> • Cost of repair • Reputational damage 	Clerk Mayor	1	6	6	<p>Maintain insurance</p> <p>Up to date valuations</p> <p>Use replica chains for outside events</p> <p>Keep all items securely under lock and key in cabinets and Mayoral safe.</p>	LOW

21	Loss of key employees	<ul style="list-style-type: none"> • Interruption to effective administration • Loss of expertise and knowledge 	Members Clerk	3	3	9	<p>Seek advice from Society of Local Council Clerk re locums and temporary staff</p> <p>Seek support from other parish councils</p> <p>Ensure more than 1 employee has working knowledge of all systems and processes</p>	MEDIUM
22	Loss of data or hacking of systems	<ul style="list-style-type: none"> • Interruption to effective administration • Financial risks • Data protection and loss of privacy risks 	Clerk	4	1	4	<p>Cloud based information and retrieval systems</p> <p>Back-up and paper copies of key documents, such as property deeds, leases, the community governance order, bank statements, register of interests, insurance documents ,asset register, signed minutes, passwords and user names</p> <p>Systems to ensure data is as safe as possible with security system supplied by IT and website hosting services</p>	LOW to MEDIUM
23	Financial Misappropriation of Council Funds or fraud	<ul style="list-style-type: none"> • Financial loss • Reputational damage 	Council	6	1	6	All Banking Arrangements and changes to banking services approved by the council and recorded in the minutes	LOW

							<p>Two members to authorise all internet and cheque payments and sign each cheque stub.</p> <p>Monthly budget/reconciliation of accounts to be submitted to F&G Ctte.</p> <p>One named member to sign off accounts and reconcile with bank statement each month.</p> <p>Annual scrutiny of all Financial Records by internal auditor.</p> <p>External Auditor to advise Clerk, Leader and Chair of Finance and Governance Committee.</p> <p>All changes in banking instructions, mandates etc. to be in writing with a hard copy kept permanently on file.</p>	
24	Reliability of financial records and financial systems	<ul style="list-style-type: none"> • Wasted resources • Opens council to fraud and loss • Loss of financial oversight 	Clerk	6	1	6	Clerk to maintain records of all financial transactions, and determine best system for doing so, subject to views of the internal auditor on the robust-ness of those arrangements	LOW
25	Failure to account for and recover VAT	Wasted resources	Clerk	3	1	3	Quarterly claims to be submitted to HMRC	LOW

							<p>Accurate records to be maintained for all invoices</p> <p>Internal auditor to check</p> <p>Monthly reporting on income to F&G Ctte</p>	
26	Ensuring that all requirements are met under custom & excise regulations	Unable to fulfil responsibilities	Clerk	3	1	3	Ensure Council understands and complies with current VAT legislation	LOW
27	Failure to stay within agreed budgets	Loss of financial control	Clerk Members	5	1	5	<p>Monthly budget monitoring reports to F&G Ctte</p> <p>F&G ctte to approve or be advised of all payments made each month</p>	LOW
28	Inadequate reserves	Inability to deal with unexpected costs or external change	Members	5	2	10	<p>Add to reserves each year until they reach 75% of annual budget.</p> <p>Add to election reserves each year until it is capable of meeting the costs of whole council elections in 2025.</p>	MEDIUM
29	Improper contracting procedures	<ul style="list-style-type: none"> • Possible losses • Poor levels of service Possible increased costs • Poor audit report 	Clerk Members	4	1	4	<p>Financial regulations complied with and kept up to date re tendering and procurement rules</p> <p>Records kept of all orders for goods and services and tendering exercises.</p>	LOW

							Internal audit	
30	Members acting alone outside meetings	Members outside compliance Indemnities invalid Personal risk	Members	4	3	12	All financial commitments in the gift of full Council or F&G where not delegated to officers. No purchase orders to be issued except by clerk. Members to sign for agreement to comply with rules re ward initiatives fund.	LOW
31	Failure to maintain fixed asset register	<ul style="list-style-type: none"> • Improper control • Poor auditor's report 	Clerk	3	1	3	Council to review annually Internal audit to review	LOW
32	Failure to understand/comply with legislation	<ul style="list-style-type: none"> • Financial risk • Litigation • Reputational damage • Poor audit report 	Clerk Members	5	1	5	Clerk to be qualified appropriately Membership of SLCC Maintain awareness of legislative change Professional and procedural advice to members by clerk at all decision making meetings	LOW
33	Non-compliance with data protection and privacy rules	Litigation Poor reputation Intervention by regulators	Clerk	5	1	5	Clerk to manage all data requirements within the terms of the law Data protection and privacy policies to be in place and available on the website	LOW

							Off site record of all passwords and account access arrangements to be kept as a security back up to losos of data or unplanned staff absence.	
34	Loss of office accommodation	<p>Interruption to services and operation of Council</p> <p>Potential loss of records, equipment and assets if loss is sudden (fire etc)</p>	Members Clerk	4	3	12	<p>Working from home can be utilized for most purposes</p> <p>Alternative venues for meetings to be identified and hired</p> <p>Alternative office accommodation to be identified and hired</p> <p>Paper records should have electronic version if at all possible</p>	MEDIUM