**KETTERING TOWN COUNCIL**

**RISK ASSESSMENT** - **April 2022**

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| No. | Item | Hazard | Those at risk | Severity  1-10 | Likelihood  1-10 | Risk Score | Measures | Residual Risk |
| 1 | Lack of defined objectives or strategy | * 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 | * 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  Give good notice for any changes in dates | LOW |
| 5 | Council decisions not implemented | * Confidence undermined * Reputation risk arises * Possible losses | Clerk | 4 | 1 | 4 | Clerk to publish minutes marked unapproved  Minutes to be considered at next meeting and at Council for questions  Monitoring of corporate priorities reports | LOW |
| 6 | Inaccurate, untimely, improper minutes | * Poor decisions in future * Poor evidence for decisions | Clerk | 4 | 1 | 4 | Clerk to check minutes with Chairman within 7 days of meeting  Minutes published Unapproved | LOW |
| 7 | Failure to recognise and address conflict of interest | * Lack of transparency * Open to complaints of fairness or bias | Members  Clerk | 4 | 1 | 4 | Up to date declarations of interest register published on website  Item on every agenda inviting declarations | LOW |
| 8 | Failure to complete/submit Annual Governance Return on time and comply with audit deadlines | * Poor Auditors report * Public confidence suffers | Clerk | 5 | 1 | 5 | Clerk to submit on time and seek member approval before deadline  Scheduled item at Annual Council | LOW |
| 9 | Failure to calculate/submit precept on time | * 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 | * 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 | * Decisions not based on evidence * People disenfranchised | Members | 3 | 2 | 6 | ensure meetings publicised  make best use of Town Meetings throughout year  consider leafleting areas affected by change  public participation on all agendas  ensure website and social media maximise consultation and engagement | LOW |
| 12 | Members fail to comply with Code of Conduct | * 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 mis-representation libel or slander | * 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  Code of Conduct Training for members  Adequate Insurance Cover | LOW |
| 14 | Grant decisions are challenged or found to be at fault | * 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 | * 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 | MEDIUM |
| 16 | Allotments | * 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 |
| 17 | Market stalls and tables | * Health and safety risks of erection and dismantling * Litigation and costs | Clerk,  Staff employed to manage stalls  Market traders | 6 | 1 | 6 | Ensure staff have appropriate health and safety training and that equipment is kept in good condition and stored safely  Ensure all repairs addressed promptly  Ensure insurance cover is adequate | LOW |
| 18 | Management of speed devices | * Health and safety risks of erection and moving them * Keeping equipment properly charged and maintained | Members  Clerk  Road users | 4 | 2 | 8 | Named member to ensure equipment maintained and moved between sites  Ensure insurance cover is adequate  Batteries regularly recharged or replaced.  Quarterly inspection of all equipment.  Potential use of contractor to manage devices | MEDIUM |
| 19 | Accidental damage to moveable assets, including IT | * Costs of repair * Loss of service until repaired | Members  Clerk  Service users | 2 | 2 | 4 | Maintain insurance  Inspections of Speed Indicator Devices established.  Ensure allotment associations clear on their maintenance regimes  Ensure market stalls kept securely and moved safely | LOW |
| 20 | Loss or damage to mayoral chains, mace, civic regalia, and plate | * Cost of repair * Reputational damage | Clerk  Mayor | 1 | 6 | 6 | Maintain insurance  Up to date valuations  Use replica chains for outside events  Keep all items securely under lock and key in cabinets. | LOW |
| 21 | Loss of key employees | * Interruption to effective administration * Loss of expertise and knowledge | Members  Clerk | 3 | 3 | 9 | Seek advice from Society of Local Council Clerk re locums and temporary staff  Seek support from other parish councils | MEDIUM |
| 22 | Loss of data or hacking of systems | * Interruption to effective administration * Financial risks * Data protection and loss of privacy risks | Clerk | 4 | 1 | 4 | Cloud based information and retrieval systems  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  Systems to ensure date is as safe as possible with security system supplied by IT and website hosting services | LOW to MEDIUM |
| 23 | Financial Misappropriation of Council Funds or fraud | * 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  Two members to authorise all internet and cheque payments and sign each cheque stub. Internet.  Monthly budget/reconciliation of accounts to be submitted to F&G Ctte.  One named member to sign off accounts and reconcile with bank statement each month.  Annual scrutiny of all Financial Records by internal auditor.  External Auditor to advise Clerk, Leader and Chair of Finance and Governance Committee.  All changes in banking instructions, mandates etc. to be in writing with a hard copy kept permanently on file. | LOW |
| 24 | Reliability of financial records and financial systems | * 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 MHRC  Accurate records to be maintained for all invoices  Internal auditor to check  Monthly reporting on income to F&G Ctte | LOW |
| 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 | Monthly budget monitoring reports to F&G Ctte  F&G ctte to approve or be advised of all payments made each month | LOW |
| 28 | Inadequate reserves | Inability to deal with unexpected costs or external change | Members | 5 | 2 | 10 | Add to reserves each year until they reach 75% of annual budget.  Add to election reserves each year until it is capable of meeting the costs of whole council elections in 2025. | MEDIUM |
| 29 | Improper contracting procedures | * Possible losses * Poor levels of service Possible increased costs * Poor audit report | Clerk  Members | 4 | 1 | 4 | Financial regulations complied with and kept up to date re tendering and procurement rules  Records kept of all orders for goods and services and tendering exercises.  Internal audit | LOW |
| 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 assets register | * 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 | * 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 |
| 34 | Loss of office accommodation | Interruption to services and operation of Council  Potential loss of records, equipment and assets if loss is sudden (fire etc) | Members  Clerk | 4 | 3 | 12 | Working from home can be utilized for most purposes  Alternative venues for meetings to be identified and hired  Alternative office accommodation to be identified and hired  Paper records should have electronic version if at all possible | LOW TO MEDIUM |