



RISK ASSESSMENT - April 2024

| No. | Item | Hazard | Those at risk | Severity 1-10 | Likelihood 1-10 | Risk Score | Measures | Residual Risk |
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| COUNCIL GOVERNANCE AND DECISION MAKING | | | | | | | | |
| 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 | LOW |

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| | | | | | | | Ensure all members aware of calendar of meetings 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 | 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 | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> 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 | <ul style="list-style-type: none"> Inadequate resources to meet commitments | Clerk Members | 9 | 1 | 9 | Scheduled precept fixing meeting in January; preceded by budget | LOW |

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| | | <ul style="list-style-type: none"> Costs of re-billing | | | | | planning and consultation process agreed by members in autumn | |
| 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 | Members | 3 | 1 | 3 | Clerk to intervene at meetings review all press releases or publications before release | LOW |

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| | | <ul style="list-style-type: none"> Reduces confidence | | | | | 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 | 2 | 8 | <p>Policies in place to govern all grant regimes which are clear and transparent</p> <p>Code of Conduct and Declarations of Interest regimes in place</p> <p>Ensure no ineligible or unsupported considerations are raised during decision making meetings</p> | MEDIUM |
| 15 | 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> <p>Internal audit</p> | LOW |
| 16 | Members acting alone outside meetings | Members outside compliance Indemnities invalid Personal risk | Members | 4 | 3 | 12 | <p>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.</p> <p>Members to sign for agreement to comply with rules re ward initiatives fund.</p> | LOW |

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| | | | | | | | Protocol on member involvement in event management | |
| 17 | Failure to maintain fixed asset register | <ul style="list-style-type: none"> • Improper control • Poor auditor's report | Clerk | 3 | 1 | 3 | <p>Council to review annually</p> <p>Internal audit to review</p> | LOW |
| 18 | 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 | <p>Clerk to be qualified appropriately</p> <p>Membership of SLCC</p> <p>Maintain awareness of legislative change</p> <p>Professional and procedural advice to members by clerk at all decision making meetings</p> | LOW |
| 19 | Non-compliance with data protection and privacy rules | <p>Litigation</p> <p>Poor reputation</p> <p>Intervention by regulators</p> | Clerk | 5 | 1 | 5 | <p>Clerk to manage all data requirements within the terms of the law</p> <p>Data protection and privacy policies to be in place and available on the website</p> <p>Off site record of all passwords and account access arrangements to be kept as a security back up to loos of data or unplanned staff absence.</p> | LOW |

| SERVICE DELIVERY | | | | | | | | |
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| 20 | 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 Officers Public | 4 | 3 | 12 | <p>Risk assessment for all events to be completed and shared with appropriate authorities</p> <p>Public liability Insurance cover</p> <p>Communications plan for each event to be put in place</p> <p>Events supervisors to be on site throughout KTC run events, ES staff to have appropriate first aid training and up to date DBS checks.</p> <p>Safeguarding and child protection policy</p> <p>Counter -terrorism mitigations where advised by police and/or emergency services</p> <p>Compliance with Martyn's Law re large scale events outdoors and in doors.</p> | MEDIUM |
| 21 | 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 Clerk | 5 | 3 | 15 | <p>Allotment Associations to flag up structural risks which arise with Town Council or security concerns</p> <p>Allotment Associations to ensure sites are properly managed, that all plots are regularly inspected and</p> | MEDIUM |

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| | | | | | | | <p>allotment holders advised about risks and security of equipment and produce.</p> <p>Ensure insurance cover for fencing and structures is in place and that all contractors have appropriate cover.</p> | |
| 22 | Market stalls and tables | <ul style="list-style-type: none"> • Health and safety risks of erection and dismantling • Litigation and costs arising from incidents, poor trader practices or adverse weather | <p>Officers Staff employed to manage stalls Market traders Public</p> | 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> | LOW |

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| | | | | | | | KTC insurance in place for stalls and public liability. | |
| 23 | 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>Ensure insurance cover is adequate</p> <p>Batteries regularly recharged or replaced, using two people to replace batteries .</p> <p>Half yearly inspection of all equipment.</p> <p>Use of contractor or supplier to erect mounting poles and devices</p> | MEDIUM |
| 24 | Neighbourhood Plan preparation | <ul style="list-style-type: none"> • Compliance with planning rules and policies • Wide engagement with local people • Ensuring relevance of plans over time | Officers Members Co-opted members Residents in plan areas | 5 | 1 | 5 | <p>Appointment of consultants able to develop complaint policies <u>and</u> engage wider public</p> <p>Retain and recruit co-opted members on the Neighbourhood Planning Committee representing plan areas</p> <p>Regular monitoring reports to NP Ctte</p> <p>Continued engagement with NNC planning officers on existing and future plans.</p> | LOW |

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| 25 | Town Lottery administration | <ul style="list-style-type: none"> • Maintaining sufficient supporters to generate money for good causes • Compliance with regulatory framework for lotteries. • Ensuring systems protect data, take payments, recruits supporters, and ensures payment of prizes | Supporters Members Clerk Contractor | 5 | 1 | 5 | <p>Maintain a programme of promotional work and give publicity to awards made to good causes; communicate with supporters at least annually.</p> <p>Retain separate bank account to show transparency of how supporters' money is managed.</p> <p>Provide information to licensing authority every 6 months on monies raised and spent.</p> <p>Use of contractor to recruit supporters, administer lottery, collect money, manage data and pay prizes.</p> | LOW |
| 26 | Charity administration | <ul style="list-style-type: none"> • Data handling and retention • Ensuring Trustees are recruited, supported and advised. • Ensuring funds are invested, and disbursed according to charities' objectives • Ensuring banking facilities remain appropriate | Trustees Clerk Clients of charities | 5 | 2 | 10 | <p>Use of third party – CCLA – to handle investment income</p> <p>Data handling policy made clear to all clients.</p> <p>Two Trustees meetings a year</p> <p>Independent external audit of accounts prior to submitting them to Charity Commission</p> <p>Annual review of banking arrangements</p> | MEDIUM |

| RESOURCES and ASSETS | | | | | | | | |
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| 27 | Accidental damage to moveable assets, including IT | <ul style="list-style-type: none"> Costs of repair Loss of service until repaired | Members Officers 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 |
| 28 | Loss or damage to mayoral chains, mace, civic regalia, and plate | <ul style="list-style-type: none"> Cost of repair Reputational damage | Officers Macebearer Mayor Deputy 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 and Mayoral safe. Macebearer only to handle mace when in formal use | LOW |
| 29 | Loss of key employees | <ul style="list-style-type: none"> 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 Ensure more than 1 employee has working knowledge of all systems and processes | MEDIUM |

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| 30 | 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 |
| 31 | Financial Misappropriation of Council Funds or fraud | <ul style="list-style-type: none"> • Financial loss • Reputational damage | Council | 6 | 1 | 6 | <p>All Banking Arrangements and changes to banking services approved by the council and recorded in the minutes</p> <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> | LOW |

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| | | | | | | | <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> | |
| 32 | 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 | 2 | 8 | <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 |

| FINANCIAL MANAGEMENT | | | | | | | | |
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| 33 | 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 |
| 34 | Failure to account for and recover VAT | Wasted resources | Clerk | 3 | 1 | 3 | <p>Quarterly claims to be submitted to HMRC</p> <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> | LOW |
| 35 | 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 |
| 36 | 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 |
| 37 | 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. | MEDIUM |

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| | | | | | | | Add to election reserves each year until it is capable of meeting the costs of whole council elections in 2025 and 2029 . | |
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Due for review- June 2025