

Knutsford Town Council Corporate Risk Register

March 2021 [Risk Matrix: Low (1-3) Medium (4-6) High (7-9)]

| Risk # | Risk Type | Risk | Impact (1-3) | Control | Likelihood (1-3) | Rating | Risk Rating | Further Action(s) to Reduce Risk | Further Action by | Oversight Responsibility |
|--------|-----------|--|--------------|---|------------------|--------|-------------|---|-------------------------------|--|
| 1 | Financial | Loss of Income (60 King Street) | 3 | New tenant being secured. Rental Reserve Policy in place. | 3 | 9 | HIGH | Secure Tenant. | ASAP | Town Clerk and Assets Committee |
| 2 | Business | Loss of Key Persons results in disruption to business. | 3 | Staffing review undertaken in 2019 designed to provide resilience. Temps to be used as required to provide cover during short term periods. ChALC utilised to advise in the long term absence of the Town Clerk and locum would be considered. EAP in place to provide additional support to staff. | 2 | 6 | MED | Operational Handbook to be developed to record established practices (ongoing) Key person insurance to be explored as part of renewal in May 2021. | December 2021 May 2021 | Town Clerk Town Clerk and Finance Committee |
| 3 | Financial | Inability to finance required building works to assets | 2 | Programme of maintenance planned following surveys. Planned maintenance programmes to be adopted following building surveys. Earmarked Reserves set aside for building works as necessary. Borrowing considered dependent upon timescale/urgency. | 3 | 6 | MED | | | Town Clerk and Assets Committee |
| 4 | H&S | Risks to public and staff from dangerous gravestones | 3 | Quinquennial programme of headstone safety testing. Memorial Mason scheme in operation. | 2 | 6 | MED | Programme of testing being undertaken in 2021. | June 2021. | Town Clerk and Assets Committee |
| 5 | H&S | Violence to employees | 3 | Lone working minimised where possible. Operational procedures in place to minimise opportunity for confrontational situations. | 2 | 6 | MED | | | Town Clerk |
| 6 | COVID | Outbreak of COVID from Council Event | 3 | Compliance with relevant government guidance. Thorough risk assessments for all activities and events redesigned to ensure they are 'COVID Safe' | 2 | 6 | MED | Events Committee to keep events programme under review. | | Town Clerk / Events Committee |
| 7 | COVID | Inability to hold meetings post-virtual meeting legislation. | 3 | National bodies lobbying for extension to legislation. | 2 | 6 | MED | Town Clerk to explore suitable meeting venues for safe meetings and mechanism for public attendance. Council to consider temporary delegation to Town Clerk in the event safe regular meetings are not possible. | April 2021 | Town Clerk / Council |

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| 8 | Financial | Loss of Income (Lily Lodge / Justice View) | 2 | Rental Reserve Policy in place. | 2 | 4 | MED | Complete building works and secure Tenant. | April 2021 | Town Clerk and Assets Committee |
| 9 | COVID | Outbreak of COVID in Council Offices | 2 | Compliance with government guidance. Social distancing and enhanced cleaning programme implemented. COVID Safe Working Procedures adopted. PPE provided where necessary. Reduced access to office from third parties and public. | 2 | 4 | MED | Office staff currently working from home. | | Town Clerk |
| 10 | Financial | Banking failure | 3 | Risk spread through multi-banking using high credit worthy banks. | 1 | 3 | LOW | Credit ratings of banks under review by Town Clerk. | Quarterly | Town Clerk and Finance Committee |
| 11 | Financial | Inappropriate level of insurance | 3 | Insurance needs reviewed annually at renewal and following any operational changes. Quinquennial building surveys to include insurance reinstatement valuations. | 1 | 3 | LOW | | | Town Clerk |
| 12 | Legal | Failure to comply with HR law | 3 | Training provided to managers. Adoption of appropriate HR policies. Ellis Whittam appointed as HR consultants (change to Peninsula in Apr 21) | 1 | 3 | LOW | Personnel Committee members to receive basic HR training | April 2021 | Town Clerk and Personnel Committee |
| 13 | Legal | Failure in legal compliance | 3 | Training provided to officers in appropriate areas. Town Clerk holds CiLCA and FdA in Community Governance. Membership of ChALC, NALC, SLCC, ICCM, NAS and NABMA held to provide advice on technical matters. | 1 | 3 | LOW | Planning and Facilities Officer to obtain CiLCA. | March 2021 | Town Clerk / Personnel Committee |
| 14 | Operational / Financial | Failure to manage the operation of transferred assets | 3 | Thorough due diligence to be undertaken in advance of taking on any new assets. | 1 | 3 | LOW | Business cases for taking on any new assets to be approved by Council | As necessary. | Town Clerk and Assets Committee |
| 15 | Business Continuity | Loss of data | 3 | Live back up onto cloud, and all office computers | 1 | 3 | LOW | Routine external HDD back ups created monthly. | Town Clerk | Town Clerk |
| 16 | Legal / H&S | Failure to comply with with requirements for operational legal and safety compliance | 3 | Risk Assessments prepared for all assets and professional companies appointed to undertake compliance evaluations where needed. Site compliance plans in place for all built assets | 1 | 3 | LOW | | | Town Clerk and Planning and Facilities Officer |

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| 17 | Financial | Failure to plan for required building maintenance | 3 | Quinquennial surveys undertaken of all assets: Market Hall (2019), Cemetery Chapel (2016), Council Offices (2020), Public Toilets (2019), 60 King Street (2018) | 1 | 3 | LOW | | | Town Clerk and Assets Committee |
| 18 | H&S | Fire Risk | 3 | Fire controls and evacuation plan in place. Fire Risk assessments for all built assets. | 1 | 3 | LOW | | | Town Clerk / Planning and Facilities Officer |
| 19 | Financial | Risks to third parties | 3 | Risk assessments undertaken for all activities, operations and events. | 1 | 3 | LOW | Contractors to provide risk assessments. | As required. | Town Clerk |
| 20 | Financial | Risk to public from Trees | 3 | Routine assessment on trees on all council land to establish necessary works | 1 | 3 | LOW | | | Town Clerk / Planning and Facilities Officer |
| 21 | Reputation | Failure to meet the needs of customers | 3 | Continual review of feedback from service users. | 1 | 3 | LOW | | | Town Clerk |
| 22 | Financial | Fraud (external) | 3 | E-Fraud procedures in place. Additional checks introduced for high-VAT transactions. Financial Regulations contain detailed procedures. | 1 | 3 | LOW | | | Town Clerk and IAWG |
| 23 | Financial | Loss of assets | 3 | Asset Register updated following the purchase of any asset. Regular checks of accuracy of register. | 1 | 3 | LOW | Existence of all assets certified annually. | March 2021. | Town Clerk and IAWG |
| 24 | Financial | Loss of Income (Market Hall) | 1 | Vacant stalls advertised promptly. | 3 | 3 | LOW | Market Strategy to be adopted to ensure ongoing viability. Promotion Plan in place to encourage footfall to ensure viability of businesses. | March 2021. Ongoing. | Assets Committee Town Centre and Marketing Officer |
| 25 | Reputation / Financial | Burial in incorrect plot | 3 | Clear operational procedures documented. Cemetery staff trained in procedures and the extreme importance of this aspect. New graves to be marked by two people. Graves spray painted for gravedigger. Membership of ICCM for support in any issues that arise. | 1 | 3 | LOW | Regular review of operational practice. Thorough training for any new staff. | | Town Clerk |
| 26 | Financial | Loss of income due to bad debtors | 1 | Reserves sufficient to cover any losses through failure to pay. Debt Management Policy in place. | 2 | 2 | LOW | Regular debtor reports to Finance Committee | Bi-monthly | Town Clerk and Finance Committee |
| 27 | Legal | Failure to comply with data protection legislation. | 2 | Data Protection Policy adopted. | 1 | 2 | LOW | Data Protection training given to new staff and members. | As necessary. | Town Clerk |
| 28 | Reputation | Failure to control sensitive data | 2 | Sensitive data to be shredded or redacted. Data Protection Policy adopted. Data sharing agreements with data processors. | 1 | 2 | LOW | Training provided to new staff on Data Protection. Cybersecurity training for all officers. | As required. June 2021. | Town Clerk |
| 29 | Financial | Fraud (internal) | 2 | Fidelity Guarantee Insurance at an appropriate level. Member checks and audit controls. Separate accounting of officer payment card. | 1 | 2 | LOW | | | Town Clerk / IAWG |

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| 30 | Reputation | Failure to manage relations with the press | 2 | Requested information provided openly and transparently. Response provided to all requests for comment. Continual engagement with the Knutsford Guardian. | 1 | 2 | LOW | | | Town Clerk |
| 31 | Security | Intruders gaining access to Council Offices. | 2 | Effective door control to permit access and visitors escorted off site when necessary. Other building users reminded not to allow building to be left unsecured and to alert employees of presence. Monitoring system in place for alarms. | 1 | 2 | LOW | | | Town Clerk |
| 32 | Financial | Failure to control expenditure. | 2 | Day-to-day expenditure monitored by RFO, detailed Financial Regulations adopted. Finance Committee maintains oversight of budgets. | 1 | 2 | LOW | Budget and spending monitored by Committees | Each meeting. | Town Clerk and Finance Committee |
| 33 | Legal | Failure to comply with Equality Act | 2 | Equalities implications to be considered in the design of services | 1 | 2 | LOW | | | Town Clerk |
| 34 | Delivery | Lack of officer capacity | 2 | Staffing review undertaken in 2019. Regular employee development reviews with staff to assess stress in system. | 1 | 2 | LOW | | | Town Clerk / Personnel Committee |
| 35 | Financial | Failure to comply with HMRC Regulations. | 2 | External payroll provider appointed. Town Clerk trained in VAT and Finance. | 1 | 2 | LOW | | | Town Clerk / IAWG / Finance / Personnel |
| 36 | Reputation | Members fail to adhere to code of conduct | 2 | Members to review register of interests annually. Gifts and Hospitality register maintained by Town Clerk. Training provided to members on the Code of Conduct. | 1 | 2 | LOW | | | Town Clerk |
| 37 | Financial | Partnership fails generating financial liability or a need to fund alternatives | 2 | Partnership Working Policy in place. Monitor all partnerships to ensure clarity over Council's financial responsibility | 1 | 2 | LOW | | | Town Clerk / IAWG / Finance |
| 38 | H&S | Risks arising from Lone Working | 2 | Lone working minimised where possible, lone working policy and procedures adopted. | 1 | 2 | LOW | | | Officers |
| 39 | H&S | Workplace hazards | 2 | Risk assessments undertaken for all assets and communicated to staff. | 1 | 2 | LOW | Annual Health and Safety reviews to be undertaken. | | Planning and Facilities Officer |
| 40 | Financial | Theft of belongings/monies from Council Offices | 1 | Staff briefed in cash handling procedures. Monies held in Safe at all times. Doors to offices locked when not in use. | 1 | 1 | LOW | | | Town Clerk |
| 41 | Financial | Lack of toilet income increases cost of toilet operations | 1 | Usage figures monitored and budgets designed to allow minor variation. | 1 | 1 | LOW | | | Town Clerk and Assets Committee |
| 42 | H&S | Inappropriate workplace set up results in injury. | 1 | Regular assessments of suitability of equipment. | 1 | 1 | LOW | Annual DSE assessment undertaken. | June 2021. | Planning and Facilities Officer |
| 43 | Financial | Loss of Income (Allotments) | 1 | Agreement with Allotment Association to manage tenancies. | 1 | 1 | LOW | Regular meetings with Allotment Society | | Planning and Facilities Officer. |