

# Knutsford Town Council Corporate Risk Register

March 2022 [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	Inability to finance required building works to assets	3	Programme of maintenance planned following surveys.  Earmarked Reserves set aside for building works as necessary.	2	6	<b>MED</b>	Planned maintenance programmes to be adopted following building surveys.  Borrowing considered dependent upon timescale/urgency.	As required	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.  Employee Assistance Programme in place to provide additional support to staff.	2	6	<b>MED</b>	Operational Handbook to be developed to record established practices (ongoing)	December 2022	Town Clerk
3	H&S	Risks to public and staff from dangerous gravestones	3	Quinquennial programme of headstone safety testing. Memorial Mason scheme in operation.	2	6	<b>MED</b>	Programme of testing being undertaken.	June 2022	Town Clerk and Assets Committee
4	H&S	Violence to employees	3	Lone working minimised where possible. Operational procedures in place to minimise opportunity for confrontational situations.	2	6	<b>MED</b>			Town Clerk
5	Financial	Loss of Income (Market Hall)	2	Vacant stalls advertised promptly.	3	6	<b>MED</b>	Works undertaken to reconfigure stalls to provide better spaces.  Promotion Plan in place to encourage footfall to ensure viability of businesses.	April 2022  Ongoing.	Planning and Facilities Officer  Town Centre and Marketing Officer
6	Financial / H & S	Vandalism to 60 King Street, injury to intruders	3	Rear windows boarded up to prevent access.  Climbing deterrents installed to rear of property to prevent climbing into grounds.	2	6	<b>MED</b>	Regular inspections by staff to check for signs of intrusion.		Town Clerk

7	Reputation	Failure to deliver 60 King St Regeneration Project	2	Experienced heritage consultants appointed to deliver grant funding applications.	2	4	MED			Town Clerk and Assets Committee
8	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
9	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
10	Legal	Failure to comply with HR law	3	Training provided to managers.  Adoption of appropriate HR policies.  Peninsula appointed as HR consultants	1	3	LOW	Personnel Committee members to receive basic HR training	May 2022	Town Clerk and Personnel Committee
11	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.	June 2022	Town Clerk / Personnel Committee
12	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
13	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
14	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.	1	3	LOW			Town Clerk and Planning and Facilities Officer

				Site compliance plans in place for all built assets						
15	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
16	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
17	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
18	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
19	Reputation	Failure to meet the needs of customers	3	Continual review of feedback from service users.	1	3	LOW			Town Clerk
20	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
21	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.	April 2022.	Town Clerk and IAWG
22	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
23	Financial	Loss of Income (Lily Lodge / Justice View)	2	Rental Reserve Policy in place to reduce impact on precept from tenant change.	1	2	LOW			Town Clerk and Assets Committee
24	COVID	Outbreak of COVID in Council Offices	2	Culture of responsibility promoted, regular testing encouraged and working from home enabled where officer has COVID.	1	2	LOW			Town Clerk

25	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	Debtor reports to each Finance Committee	Bi-monthly	Town Clerk and Finance Committee
26	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
27	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 to be completed by all officers.	As required.  June 2022	Town Clerk
28	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
29	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
30	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
31	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
32	Legal	Failure to comply with Equality Act	2	Equalities implications to be considered in the design of services	1	2	LOW			Town Clerk
33	Delivery	Lack of officer capacity	2	Full staffing review undertaken in 2019; minor review undertaken in 2021. Regular employee development reviews with staff to assess stress in system.	1	2	LOW			Town Clerk / Personnel Committee
34	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
35	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

36	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
37	H&S	Risks arising from Lone Working	2	Lone working minimised where possible, lone working policy and procedures adopted.	1	2	LOW			Officers
38	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
39	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
40	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
41	H&S	Inappropriate workplace set up results in injury.	1	Regular assessments of suitability of equipment.	1	1	LOW	Annual DSE assessment undertaken.	February 2023.	Planning and Facilities Officer
42	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.