

Risk Register

The purpose of the Register is to identify events or actions which will adversely affect the organisation's ability to achieve its objectives and implement its strategies. It includes an action plan to minimise the risk and an assessment of the severity of each Risk.

The Register is therefore linked to both the Council's Objectives and its Risk Register. The Council has adopted a Risk Management Strategy which identified four main processes; -

- Risk Identification and assessment
- Management and control of Risks
- Monitoring and reporting of Risks
- Communicating the Risk Strategy

The Risk identification and assessment process is completed using the Risk Register.

Risks are identified and normally placed within one of the following risk categories: -

- Strategic (S) – long term adverse impact from poor decision making or poor implementation. Can damage the reputation of the Council, loss of public confidence, and lead to Government intervention.
- Compliance(C) – fail to comply with legislation, or laid down procedures, or the lack of documentation to prove compliance
- Financial Risk (F) – fraud or corruption, inefficiency and poor value for money.
- Operational (O) – failure to deliver services effectively. Damage to property and injury to people.

Each Risk is then analysed for both the likelihood of its occurrence and the impact upon the Council. It is placed in one of the following twelve boxes in order to rank its importance.

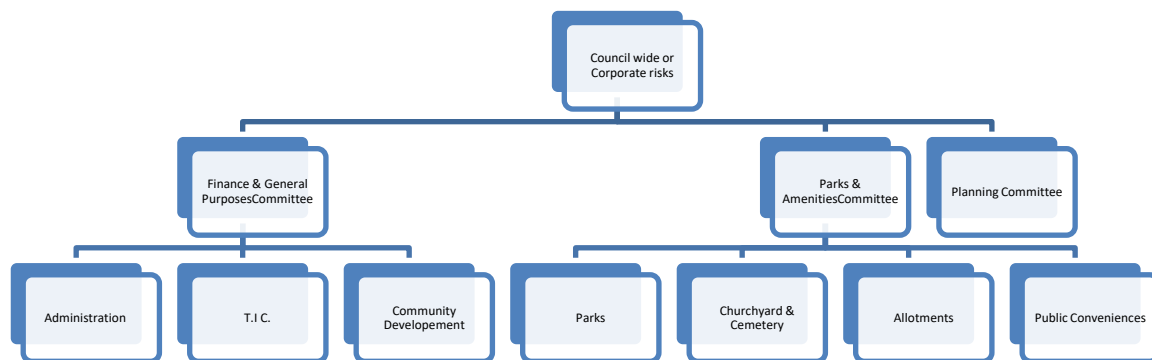
Impact Likelihood	Insignificant 1	Minor 2	Major 3	Catastrophic 4
Almost Certain 4	4	8	12	16
Likely 3	3	6	9	12
Unlikely 2	2	4	6	8
Rare 1	1	2	3	4

The analysis provides a priority listing for managing or removing the risk.

Review Date September 2019

The Risk Register is set out to firstly cover risks that apply across the Council. These are largely financial risks and loss of assets. These are not repeated within the individual department risks unless there are specific risks relating to an individual department.

The register structure is as follows: -



Ref	Category	Objective	Risk Description	Impact Description	Likelihood	Impact	Priority	Controls in Place	Further Action Required	Responsible Officer
Corporate Risks										
Financial										
1	S	3	Failure to set adequate precept	Council unable to meet financial obligations.	1	4	4	Procedure for setting precept is detailed and in accordance with best practice. Officer responsible for financial matters named.	None	TC
2	S	3	Failure to keep within Financial Estimates.	In extreme cases Council would be managed by government	2	3	6	Estimate procedure robust. Regular reports to Finance Committee during year. An adequate level of reserves maintained to cater for unforeseen events.	None	TC
3	C	3	Failure to comply with HMRC regulations	Fines and penalties imposed	2	2	4	Provision for expert advice on VAT from NALC. Payroll administered by agent.	None	TC
4	O	3	Failure to control payments	Unauthorised and or excessive payments.	1	3	3	Procedures in place including multiple signatures on cheques.	None	TC
5	O	3	Failure to maintain proper financial records	Breakdown of financial control.	1	3	3	Use of popular computerised system which is regularly backed up.	None	TC
6	O	3	Loss of revenue through theft/misappropriation: - 1 Council Employee 2 3 rd Party	Loss of revenue	1	2	2	Tight controls in place for cash transactions and monitoring of levels of income. Vulnerable employees issued with mobile telephones	None	TC
7	O	3	Claim of personal/property damage against Council	Un budgeted cost to Council.	4	1	4	A specific Local Authority insurance policy in place and the cover reviewed annually.	None	TC
8	O	3	Building Security	Loss of assets and memorabilia	2	2	4	Ensure adequate alarms in place and employees instructed in their use.	None	TC
9	F	3	Loss of money through failure of Bank	Council unable to meet its financial obligations.	1	4	4	Investment policy in place, providing for deposits to be held with clearing bank in secure money market accounts	Policy is reviewed annually in March.	TC

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10	F	3	Risk of devolution projects not taking place.	Significant monies precepted by Council being placed in reserves	3	3	9	Process being jointly developed by Cornwall Council and parishes specifying agreed devolution assets and services and timescales	Continuing work with Cornwall Council to progress.	TC
11	F	3	Risk of losses from support of 3 rd party organisations	Concern that resources are poorly used by 3 rd party organisations	2	2	4	Agreed objectives with organisations with reporting back mechanism in place. Ongoing contact with organisation.	None	TC
12	F	3	Increasing risk of legal action and crimes against the Council	Potential of financial loss	2	2	4	Wide ranging insurance liability cover in place on a long term agreement.	None	TC
Employee										
13	O	3	Loss of Key Employees	Ensure where possible work is documented and there is cover.	2	3	6	Ensure employees maintain documented records of key processes and duties.	None	TC
14	O	3	Retention of Employees	High turnover, loss of experience, reduction in efficiency.	2	3	6	Ensure adequate training, ensure terms of employment correct for position. Annual Assessment to identify any issues.	None	TC
15	O	3	Unable to fulfil service requirements due to industrial unrest.	Not able to provide service to public.	1	4	4	Single status agreement in place. Main risk arising from failure of national pay talks to reach settlement regarding annual pay award.	None	TC
16	O	3	Risk of attack on employees	Across the Council there are situations where employees are at risk from attack	3	3	9	Lone working policy in place. Written instructions to employees regarding conflict in place. TIC two staff present at all opening times.	None	TC
Parks & Open Spaces										
1	O / C	1 / 6	Injury or attack on employees	Loss of employee. Additional temporary cost.	3	2	6	Adequate Health & Safety training. Lone employees have mobile telephones.	None	PM
2	O / F	1, 6,	Loss of nursery through fire or vandalism.	Need to purchase plants from commercial growers, additional cost.	2	2	4	Insurance and security system in place.	None	PM

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3	O / F	1, 6	Loss or damage to other buildings through fire etc.	Loss of asset and therefore efficiency	2	2	4	Insurance and security systems in place	None	PM
4	O / F	1, 6	Loss of vehicles, plant and machinery through accident, fire, or theft.	Loss of asset and therefore efficiency	3	2	6	Insurance cover in place, reviewed annually.	None	PM
5	F	1	Injury to member of public leading to claim for damages	Un-budgeted cost.	3	2	6	Insurance cover in place, reviewed annually.	None	PM
6	O / F	1	Loss or damage by vandalism.	Loss of public amenity. Cost of repair.	3	2	6	Security procedures in place. CCTV in City Centre. Regular liaison with police.	None	PM
7	O	1	Water Management	Injury to employee or public	2	3	6	Independent Health and Safety report. Further specific survey carried out. Employee awareness training. Independent testing. Policy approved.	None	TC
8	O	4	Failure to achieve hygiene requirements in public toilets	Potential insurance claim. Poor public perception of Council.	2	2	4	Contract in place with sanitation provider. Conditions regularly monitored.	None	PM
Allotments										
1	O	2	Untidy Plots	Operational Risk. Environmentally and visually detrimental to neighbours.	2	2	4	Regular site visits. Procedure in place to enforce requirements and evict if necessary.	None	PM
2	O	2	Vandalism	Operational Risk	2	2	4	Regular site visits	None	PM
3	O	2	Illegal dumping of Hazardous substances	Operational Risk	1	2	2	Ensure site holders are responsible. Regular site visits. Procedure in place to enforce requirements and evict if necessary.	None	PM
4	O	2	Vacant Plots	Operational & Financial risk	1	1	2	Waiting list maintained. Sites monitored regularly for usage.	None	PM

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5	O	2	Vermin	Operational. Potentially a health hazard to users and visitors	2	2	4	Regular contract in place with Rentokil to treat areas	None	PM
6	O	2	Loss of Water Supply	Loss of Amenity.	1	1	2	Systems maintained as required.	None	PM
7	O	2	Water taps being left on by allotment holders	Waste of resource and cost	2	2	1	Monthly check on water meters	None	PM
8	O	2	Unable to obtain additional plots required to satisfy demand.	Council have legal obligation to provide sufficient allotments.	2	3	6	Search currently in progress to obtain additional land. Budget set aside to meet anticipated borrowing costs. Considered as part of Neighbourhood Planning process.	Negotiation of potential land purchases to progress. Review of existing usage	PM ongoing
Cemetery & Churchyard										
1	O	7	Safety of structures such as headstones	Operational Risk. Safety of visitors and employees	2	1	2	Regular safety inspections and procedure to ensure any problems rectified.	None	PM
2	O	7	Accurate maintenance of records	Loss of knowledge	2	2	4	Detailed records retained back to opening of cemetery.	Introduction of mapping information	TC
3	O	7	Vandalism damage and improper use of cemetery.	Loss of amenity and unbudgeted cost	2	2	4	Sexton lives on site. Liaison with local schools.	None	PM
4	O	7	Safety of prepared graves	Injury to public, claim against Council	1	2	2	Adequate safety restrictions put into place. Insurance cover in place.	None	PM
5	O	7	Inadequate access to cemetery extension	The Council has purchased land for the extension to the cemetery. Although this is not required for a number of years we have yet to secure an adequate access.	3	2	6	None	Negotiations with landowner of access	TC/PM

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Tourist Information Centre										
1	O	1	Attack on employees	Injury to employee	2	2	4	Security alarm to police. CCTV cameras.	None	TC
2	F	1	Accurate recording of income	Loss of financial control	2	1	2	Ensure that till is fit for purpose.	None	TC
Public Conveniences										
1	O	1	Water Management	Injury to Public, claim against Council	1	3	3	Independent Health and Safety report. Further specific survey carried out. Employee awareness training.	None	TC
2	O	1	Lone Working	Injury to employee	2	3	6	Lone worker policy followed. Instructions issued, mobile telephone supplied	None	TC
Administrative Meetings										
1	C		Failure to meet Statutory Duty for meetings	Council criticised by government, finally government would step in.	1	4	4	Eighteen month diary maintained and issued to Councillors. Written Agenda's sent to Councillors and minutes kept	None	TC
2	C		Failure to Keep Register of Interests	Conflicts of interests not known	1	3	3	Ensure all Councillors are aware of their statutory responsibilities and ensure register is up to date.	None	TC
3	C		Review of standing orders required	Legal compliance	2	3	6	Review standing orders in the light of changes in legislation. This has been carried out.	None	TC
Assets										
4	O / F		Loss of Municipal offices through fire	Loss of accommodation, loss of records, loss of assets.	1	4	4	Ensure insurance cover, ensure computer backup kept away from building.	Disaster recovery procedure reviewed annually.	TC

Ref	Category	Objective	Risk Description	Impact Description	Likelihood	Impact	Priority	Controls in Place	Further Action Required	Responsible Officer
5			Loss or damage of assets	Un budgeted Cost and inconvenience.	3	2	6	Adequate insurance arrangements made and reviewed annually.	None	TC
Confidentiality										
6	C		Inadequate data protection	Security breach of personal or sensitive information. Loss of Data.	2	2	4	Computer system pass worded. Data protection registration maintained. System of back ups in place for computer information	None	TC
7	C		Failure to implement Local Government Transparency code	Legal requirement	1	3	3	Resource requirements of staff time and upgrading of website.	Completed November 2016	TC