

## COLNE TOWN COUNCIL RISK REGISTER

Updated January 2020 - following transfer of Alkincoates Park

Produced by : Gina Langley RFO.

Date : January 2020 - review April 2021

No.	Risk, Category & Owner (A), (C) & (D)	Scope of the risk & Comments (B)	How the risk is managed at present (F)			Tolerance Level of Risk (H)			What controls are to be implemented (K)											
1	Public injured in buildings or on council facilities including Playgrounds and Alkincoates Park	The public or staff or Councillors are injured as a result of activity or non action of the Council including delivery of events	Electrical Safety checks Fire Risk assessments, Smoke alarms Fire Fighting Equipment, Fire Wardens Fire Buildings Insurance, Maintenance Contracts Method Statements, Work Permits CCTV Health and Safety Policy Safety Equipment,ROSPA Playground inspections, Licenced Waste Collector Legionella Controls Asbestos Surveys/Register, Condition Surveys, Regular Testing (Systems, Plant, Gas Safety, Soundness Testing) Planned Routine Maintenance, Safe walkways, Warning Signs Health & Safety Awareness & Training, Events Management Plans, Road Traffic Management,Tree Policy			Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? Claims record, Grounds Mtc contract in place to manage Bus Shelters, Playground equipment and damage, Benches and Alkincoates Park, with Management Agreement on site for monitoring of issues existing contractors for FM provision for Town Hall can be re-engaged short term.			Inclusion within Database to ensure all statutory inspections carried out when due.  Date for Completion (L) The addition of Alkincoates Park to be included within new procedures to be written for operational management of assets, service delivery and administrative processes.											
	Category											Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)			Target Risk (M)		
	Owner											Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score
	N Crewe											2	4	8	2	3	6	2	1	2
2	Hazardous substances	Exposure to Hazardous Substances	Health and Safety Policy/Coshh Safety Equipment Asbestos Surveys/Register Health and Safety Policy Training Courses Condition Surveys Legionella Controls			Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? Controlled access to areas of work and outsourcing of grounds maintenance for use of cleaning chemicals.			Specific site risk assessments  Date for Completion (L) Ongoing procedure.											
	Category											Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)			Target Risk (M)		
	Owner											Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score
	N Crewe											4	4	16	4	2	8	4	1	4
3	Vandalism	Vandalism & Graffiti affecting Council Assets / Buildings	CCTV Anti-vandal Climbing Paint Polycarbonate Glass Warning Notices Police Liaison Anti-Graffiti Paint Emergency Budget			Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? The social causes of vandalism are such that this cannot be controlled wholly within the Council. Insurance cover is in place for damage. CCTV system for Town Centre coverage. Out of hours response with GM contractor.			Reporting of damage via service users ensures remedial action taken  Date for Completion (L) Ongoing											
	Category											Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)			Target Risk (M)		
	Owner											Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score
	N Crewe											3	4	12	2	3	6	2	2	4
4	Empty Property	Vandalism/Fire Damage Reputation, Increased costs - vacant rates.	Service Shut off (gas/water off, systems drained) Building Secure, Inspections Improve and Sell or Re-let Marketing of Properties Rent Reductions/Incentives (Short Term Measure) Insurance			Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? Shops occupied, Town Hall and Primet both alarmed			Update Sept 2020 . Town Hall and Town Hall Annex Alarm systems are monitored and staff call out procedure in place.  Date for Completion (L)											
	Category											Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)			Target Risk (M)		
	Owner											Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score
	N Crewe											2	5	10	2	3	6	2	2	4

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5	<b>Slump in sector/economy</b>	Recession Income Decline Lack of growth	Efficiency Savings Seek Alternative sources of work Staffing Reductions			Level of Risk acceptable? Y/N Yes			Monitoring of workloads and delivery will determine whether need to outsource or recruit within to take on increased activity. Some consolidation will enable service delivery to be embedded and deliver to respond to economic drivers.		
	Category					Why have you drawn this conclusion? Current trajectory is potential further growth as more services are taken on, but a period of consolidation in place for 12 months. Historical level of sponsorship and income generation have remained constant.					
	<b>Financial</b>										
	Owner	Inherent/Fundamental Risk (E)	Residual/Remaining Risk (G)								
	N Crewe	Impact   Likelihood   Risk Score	Impact   Likelihood   Risk Score				Date for Completion (L) ongoing				
		5   3   15	3   3   9				Target Risk (M) Impact   Likelihood   Risk Score 3   2   6				
6	<b>Lack of resources</b>	Staff, Office accommodation, equipment etc.	Prioritisation - Focus on key areas of delivery, External Funding Bids - Lottery Funding Partnership Working, Efficiency savings, Service Planning, Leadership Effective management, Recruitment Procedures, Staff restructuring, increased financial reserves			Level of Risk acceptable? Y/N Yes			Monitoring of workloads and delivery will determine whether need to externalise service		
	Category					Why have you drawn this conclusion? Budget resources are sufficient to meet known commitments. Staffing currently sufficient following restructure and recruitment in place for additional events resource.					
	<b>Financial</b>										
	Owner	Inherent/Fundamental Risk (E)	Residual/Remaining Risk (G)								
	N Crewe	Impact   Likelihood   Risk Score	Impact   Likelihood   Risk Score				Date for Completion (L) On Going				
		5   4   20	3   3   9				Target Risk (M) Impact   Likelihood   Risk Score 3   2   6				
7	<b>Theft/Misappropriation</b>	Burglars entering Council Offices/Staff theft,	CCTV, Security Lighting, Secure Entry Systems, Digilocks, Intruder Alarms, Safe/Secure Lockable Storage, Insurance, Inventory, Training Awareness, financial controls, internal controls.			Level of Risk acceptable? Y/N Yes			Opening/closing of buildings plus occupation minimises potential. Town Hall and Town Hall Annex Alarm systems are monitored and staff call out procedure in place. Internal controls process and fidelity insurance cover £1m in place.		
	Category					Why have you drawn this conclusion? Prominent location, fully alarmed and robust internal process in place with external accountant overview of any financial irregularity.					
	<b>Financial</b>										
	Owner	Inherent/Fundamental Risk (E)	Residual/Remaining Risk (G)								
	N Crewe	Impact   Likelihood   Risk Score	Impact   Likelihood   Risk Score				Date for Completion (L) ongoing				
		3   3   9	2   3   6				Target Risk (M) Impact   Likelihood   Risk Score 2   2   4				
8	<b>Poor Image/Reputation</b>	Loss of reputation, profile of service declines, poor delivery of service, damage to Bus Shelters and Playgrounds, Benches, Park	Effective management Communications/Media Relations External Funding Bids - Lottery Funding Councillor focus Internal Promotion Vandalism insurance cover.			Level of Risk acceptable? Y/N Yes			Operational responsibilities clearly defined and reviewed on change of service delivery and or incident.		
	Category					Why have you drawn this conclusion? Regular dialogue by TC with Members Small unit control					
	<b>Customer</b>										
	Owner	Inherent/Fundamental Risk (E)	Insurance cover - Vandalism Bus Shelters/Playgrounds								
	N Crewe	Impact   Likelihood   Risk Score	Impact   Likelihood   Risk Score				Date for Completion (L) ongoing				
		4   3   12	3   3   9				Target Risk (M) Impact   Likelihood   Risk Score 3   1   3				

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9	<b>Budget Management</b>	Insufficient financial resources available to deliver service. Poor financial records maintained No controls on spend or commitments	Monthly budget reports showing spend and commitments External accountant provision providing separation of duties Omega budget system in place Scheme of delegation in place Year end procedures in place			Level of Risk acceptable? Y/N			Cashflow and reserves reconciliation undertaken monthly in order to inform Members of ongoing total financial capability. Carry out annual review of Financial Effectiveness that is reviewed and minute at a Full Council meeting. Reserves Policy in course and creation of Earmarked Reserves to Date for Completion (L) On Going Target Risk (M)		
	Category					Yes					
	<b>Financial</b>					Why have you drawn this conclusion?					
	Owner					Regular production of budget monitoring at Full Council and schedule of payments made and outcome of Internal and External Auditors reports.					
N Crewe	Inherent/Fundamental Risk (E)	Residual/Remaining Risk (G)			Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	
		4	4	16	3	2	6	2	2	4	
10	<b>Fire</b>	Outbreak of Fire	Smoke alarms Electrical Safety checks Fire Risk Assessments Updated Maintenance Contracts Smoke free Policy Fire Wardens, Fire Fighting Equipment Fire Buildings Insurance, Fire Drills			Level of Risk acceptable? Y/N			Building specific protocols Ongoing programme of risk Assessments Date for Completion (L) Target Risk (M)		
	Category					Yes					
	<b>Physical</b>					Why have you drawn this conclusion?					
	Owner					Building FRA					
N Crewe	Inherent/Fundamental Risk (E)	Residual/Remaining Risk (G)			Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	
		5	2	10	4	2	8	5	1	5	
11	<b>Contractor failure</b>	Unfinished Works on site, timescale delivery implications	Select List of Approved Contractors Contractor Assessment Contract Monitoring Retention Money			Level of Risk acceptable? Y/N			Construction line and CHAS Accreditation being investigated for Contract Compliance Date for Completion (L) Ongoing Target Risk (M)		
	Category					Yes					
	<b>Contractual</b>					Why have you drawn this conclusion?					
	Owner					Existing panel of providers well tested and tried Potential movement to use of Construction line/CHAS approved contractors					
N Crewe	Inherent/Fundamental Risk (E)	Residual/Remaining Risk (G)			Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	
		3	5	15	3	3	9	3	2	6	
12	<b>Loss of Key Staff</b>	Qualified Staff moving onto other employers	On the Job Shadowing Staff Appraisal Training			Level of Risk acceptable? Y/N			Monitoring of workloads and delivery of outputs and mentoring for two new senior appointments. Date for Completion (L) ongoing Target Risk (M)		
	Category					Yes					
	<b>Human Resources</b>					Why have you drawn this conclusion?					
	Owner					Opportunity for staff to learn Current job market unlikely to lead to moving					
N Crewe	Inherent/Fundamental Risk (E)	Residual/Remaining Risk (G)			Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	
		4	4	16	3	4	12	3	3	9	
13	<b>Stress/Long Term Illness</b>	Excessive Workloads, Tight Deadlines, Unreasonable expectations, Lack of awareness from Members of staffing resource implications of service transfers decisions.	Stress Counselling & Risk Analysis Therapeutic Return to Work Absence Monitoring and Policy Prioritisation Time Management Effective Delegation/ Workload Distribution Stress Risk assessments			Level of Risk acceptable? Y/N			Ongoing monitoring of attendance.Restructure Jan 2020, additional events support, Date for Completion (L) ongoing Target Risk (M)		
	Category					Yes					
	<b>Human Resources</b>					Why have you drawn this conclusion?					
	Owner					Flexibility within office to manage this . Low sickness levels.					
N Crewe	Inherent/Fundamental Risk (E)	Residual/Remaining Risk (G)			Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	
		4	4	16	3	3	9	3	2	6	

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14	IT Failure	E-Procurement System Financial systems, Asset register Communication Systems Desktop Computing Applications	External support provider Networked Daily Back-ups Cloud Help desk support			Level of Risk acceptable? Y/N Yes			Availability of Help desk support new infrastructure		
	Category					Why have you drawn this conclusion? Lack of incidents indicating not currently an issue					
	Technological								Date for Completion (L) ongoing		
	Owner N Crewe	Inherent/Fundamental Risk (E)	Residual/Remaining Risk (G)			Target Risk (M)					
		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	
	5	4	20	4	2	8	4	1	4		
15	Utilities Failure	Water, Power, Waste services fail to deliver	Identification of Risks Monitoring Issues and Complaints Business Continuity Plans			Level of Risk acceptable? Y/N Yes			Reporting mechanisms to providers ensure early response and back up generator for town hall as longer term consideration if HLF funding secured.		
	Category					Why have you drawn this conclusion? lack of occasions where utilities lost.					
	Environment								Date for Completion (L) ongoing		
	Owner N Crewe	Inherent/Fundamental Risk (E)	Residual/Remaining Risk (G)			Target Risk (M)					
		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	
	5	2	10	3	2	6	2	2	4		
16	Political Change	Political changes alter the policy and funding of the service.	Monitoring and Service Planning to realign to Members priorities			Level of Risk acceptable? Y/N Yes			Monitoring of workloads and delivery of outputs Internal thought to be given towards joined up services with other authorities		
	Category					Why have you drawn this conclusion? At Town Council level not as susceptible to policy change					
	Political								Date for Completion (L) ongoing		
	Owner N Crewe	Inherent/Fundamental Risk (E)	Residual/Remaining Risk (G)			Target Risk (M)					
		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	
	3	3	9	3	2	6	3	1	3		
17	Financial Pressures	Budget Cuts, Declining Income (Rents) Increased costs - Energy, Rates etc.	Budget Monitoring Savings Plans Cost Reductions Value for Money Work Carbon Champions Recycling Building Efficiencies energy contracts			Level of Risk acceptable? Y/N Yes			Better VFM Approach		
	Category					Why have you drawn this conclusion? Ability to raise precept to cover increasing costs or because of small service provision opportunity to step back from delivery as non statutory.					
	Financial								Date for Completion (L) Ongoing		
	Owner N Crewe	Inherent/Fundamental Risk (E)	Residual/Remaining Risk (G)			Target Risk (M)					
		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	
	5	4	20	4	3	12	3	3	9		
18	Legislative Change	Changes in legislation are not identified or have an adverse impact on Service (Rating changes, EPC, DEC's)	Networks - Professional contacts Service Planning Local Authority Associations Impact Analysis Consultations			Level of Risk acceptable? Y/N Yes			Ongoing monitoring using professional bodies, contacts and networking		
	Category					Why have you drawn this conclusion? Speed of change is usually slow with sufficient lead in times to adjust service requirements					
	Legal								Date for Completion (L) ongoing		
	Owner N Crewe	Inherent/Fundamental Risk (E)	Residual/Remaining Risk (G)			Target Risk (M)					
		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	
	5	3	15	3	3	9	3	2	6		

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19	Fraud	External parties making false claims, false invoices, Internal Abuse - Blues Festival cash receipts and payments not processed.	Verifications Due Diligence References Management Check Separation of Duties Reconciliations Original Evidence			Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? Ability to undertake any random sampling of jobs and financial procedure rules, and Rialtas Suite to all minimise potential for collusion. Specific Audit on Blues Festival Oct 2017. Insurance cover against misappropriation of funds.			Half yearly internal audit and cash reconciliation undertaken. Insurance cover implemented. Plans to increase security on online banking procedures.		
	Category								Date for Completion (L) Ongoing		
	Financial		Gift and						Target Risk (M)		
	Owner N Crewe	Inherent/Fundamental Risk (E) Impact Likelihood Risk Score 4 4 16	Residual/Remaining Risk (G) Impact Likelihood Risk Score 3 2 6						Impact Likelihood Risk Score 2 2 4		
20	Operational pressures and risk of insufficient staffing available to complete commitments.	Service transfer commitments without due regard to operational resourcing needs requiring excessive unpaid time to be given to achieve	Due Diligence to assess what is needed before commitment Management Check Understanding of issues Reconciliations Original Evidence and hospitality register			Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? Members understand the need to consider both financial and staffing resource. Proposed service transfers have been completed and part of daily delivery function.			Before commitment Members to identify if any resourcing issues of substance as barrier to achieve		
	Category								Date for Completion (L) Ongoing		
	Human Resources		Gift						Target Risk (M)		
	Owner N Crewe	Inherent/Fundamental Risk (E) Impact Likelihood Risk Score 5 5 25	Residual/Remaining Risk (G) Impact Likelihood Risk Score 3 3 9						Impact Likelihood Risk Score 3 2 6		
21	Blues Festival	Commercial enterprise with susceptibility to expenditure overspend, income shortfalls, operational delivery failure with a net loss budget under pressure.	Outsourced artist recruitment, marketing, "ticket source" booking system and volunteer scheme established. Understanding of issues arising out of 2017/18/19 event delivery. Financial risk is dependent upon ticket sales, sponsorship and bar income.			Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? All events successfully delivered and the framework established. Progress monitoring of income and activity.			Reporting of ticket sales and event activity to Members on a frequent basis. Robustness of event planning and management.		
	Category								Date for Completion (L) Ongoing		
	Financial Pressures/Reputation		Direct budget mgt by CEO						Target Risk (M)		
	Owner N Crewe	Inherent/Fundamental Risk (E) Impact Likelihood Risk Score 4 4 16	Direct budget mgt by CEO Impact Likelihood Risk Score 3 3 9						Impact Likelihood Risk Score 3 2 6		
22	Property Ownership	Town Hall Buildings require repairs and maintenance to be effected in a timely fashion. Insurance cover needs to represent rebuilding cost impacted by their historic nature. Primet delivery at risk if local management arrangement ceased.	Town Hall/Annex condition survey completed May 2017 to enable identification of key issues. HLF project development is still ongoing. Primet Roof identified as requiring action.			Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? The general condition of the Town Hall and associated building is reasonable given their age. The condition survey will enable a planned approach to maintenance to be undertaken once budget resources can be aligned. Insurance cover effected. Phase 1 development works completed.			Half yearly internal audit and cash reconciliation undertaken. Insurance cover		
	Category								Date for Completion (L) Ongoing		
	Legal/Financial/Reputation		Direct budget mgt by CEO						Target Risk (M)		
	Owner N Crewe	Inherent/Fundamental Risk (E) Impact Likelihood Risk Score 4 3 12	Direct budget mgt by CEO Impact Likelihood Risk Score 3 3 9						Impact Likelihood Risk Score 3 2 6		
23	Events Risk	The level of Events delivery activity is significant for a Small Town Council and especially the Blues Festival and Cycling Grand Prix individual risk profiles indicated a higher level of risk to be managed.	By following the Event Safety Purple Guide, Insurers guide, and preparing for each Event with a Management and Event Safety plan. Outsourcing to a specialist first aid provider for the higher risk Blues and Cycling Grand Prix events reduces substantially the potential risk of reputational damage in the event of serious/fatal injury.			Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? Successful events delivery where serious injuries, near fatal, have been actively managed.			Continuing use of specialist first aid providers for high risk events		
	Category								Date for Completion (L) Ongoing		
	Health and Safety		Direct budget mgt by CEO						Target Risk (M)		
	Owner N Crewe	Inherent/Fundamental Risk (E) Impact Likelihood Risk Score 5 4 20	Direct budget mgt by CEO Impact Likelihood Risk Score 5 2 10						Impact Likelihood Risk Score 4 2 8		

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24	<b>Data Protection and GDPR</b>	Recent UK Data protection legislation and EU GDPR legislation gives specific requirement around only using personal data for limited reasons and keeping all data safe. Also, requiring leaks to be reported to ICO.	Colne Town Council registered as a Data Controller with IOC. Data Protection Policy in Place including Fair processing notices for staff and public in the public domain.			Level of Risk acceptable? Y/N			Ongoing training needed for staff and councilors and monitoring for leaks. Continued Monitoring of Legislation changes post Brexit.		
	Yes										
	Why have you drawn this conclusion?										
	Policy in place										
Category	<b>Legal/Reputation/Financial</b>	Inherent/Fundamental Risk (E)			Direct budget mgt by CEO			Date for Completion (L)			
Owner	N Crewe	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Ongoing			
		4	4	16	4	3	12	Target Risk (M)			
								Impact	Likelihood	Risk Score	
								4	2	8	
25	<b>Operational Management /Delivery of Direct Services</b>	Increasing volume of direct service delivery could fail in the event of lack of staff resource and knowledge availability	Day to day delivery is strong and use of outsourced providers plus agreement with bowls club helps to lessen risk of non delivery			Level of Risk acceptable? Y/N			Standard Operational Procedures to be implemented covering key areas of delivery.		
	Yes										
	Why have you drawn this conclusion?										
	Recent contract renewed and staff have a good practical understanding of systems and processes. However no formal Standard Operating Procedures are in place and this remains a risk										
Category	<b>Legal/Reputation/Financial</b>	Inherent/Fundamental Risk (E)			Direct budget mgt by CEO			Date for Completion (L)			
Owner	N Crewe	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Ongoing			
		5	4	20	5	3	15	Target Risk (M)			
								Impact	Likelihood	Risk Score	
								4	2	8	
26	<b>Financial Risk Management</b>	Increases in Precept and cash availability could lead to wrong use of financial resources and have catastrophic effect.	Strong financial controls and separate financial reserves as part of Policy help to manage this situation.			Level of Risk acceptable? Y/N			Financial Risk Register,Asset Risk Register,Internal Controls Document.		
	Yes										
	Why have you drawn this conclusion?										
	Monthly production of financial information and external scrutiny of accountant minimise risk of misuse. Further introduction of a Financial Risk Register,Asset Risk Register and Internal Controls Document will complet the suite of Financial Risk Management Documents for good governance.										
Category	<b>Legal/Reputation/Financial</b>	Inherent/Fundamental Risk (E)			Direct budget mgt by CEO			Date for Completion (L)			
Owner	N Crewe	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	March-21			
		4	4	16	4	3	12	Target Risk (M)			
								Impact	Likelihood	Risk Score	
								4	2	8	
27	<b>Capital Programme Delivery</b>	Capital projects involving substantial investments are not delivered to specification on time or are over budget	External consultants with proven track records are used to scope,draw up requirements, tender and project manage.			Level of Risk acceptable? Y/N			Financial Risk Register,Asset Risk Register,Internal Controls Document.		
	Yes										
	Why have you drawn this conclusion?										
	Delivery still needs tightening up by some external overview of the project and or stronger overview from Town Clerk.										
Category	<b>Legal/Reputation/Financial/Operational/Reputation</b>	Inherent/Fundamental Risk (E)			Direct budget mgt by CEO			Date for Completion (L)			
Owner	N Crewe	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	March-21			
		5	4	20	4	3	12	Target Risk (M)			
								Impact	Likelihood	Risk Score	
								4	2	8	