

Item 13c Pandemic Risk Register

COLNE TOWN COUNCIL PANDEMIC RISK REGISTER

Produced by : Gina Langley RFO.												Date : March 2021 - review March 2022							
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	Legislative Change	Legislation & Guidance is continually updating & changing at a fast pace. There is a risk that changes in legislation are not identified or have an adverse impact on Service provision.			BBC News Applications Networks - Professional contacts Service Planning Local Authority Associations Impact Analysis Consultations			Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? Although the speed of change has been fast, the changes are prominent in the news, emails from NALC/LALC and social media posts from PBC help to clarify. Officers have been able to implement any appropriate changes in good time.			Ongoing monitoring using professional bodies, contacts and networking Date for Completion (L) ongoing Target Risk (M) Impact Likelihood Risk Score 3 2 6								
	Category													Legal					
	Owner													Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)		
	Town Clerk / RFO													Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score
														4	5	20	4	3	12
2	Vandalism, Theft, Loss or damage to Council assets	There has been an increase in ASB, Vandalism, Theft & Graffiti affecting Council Assets / Buildings. Loss of use or capital value to the precept payer.			CCTV, Monitored Intruder Alarms for buildings, lockable storage, Insurance Anti-vandal Climbing Paint, Anti-Graffiti Paint, Polycarbonate Glass Warning Notices, Police Liaison 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. Asset register under review with physical check of register to be undertaken on lifting of covid 19 restrictions in order to physically view assets.			Reporting of damage via service users ensures remedial action taken. To consider an increase of CCTV provision in high risk areas. Date for Completion (L) Ongoing Target Risk (M) Impact Likelihood Risk Score 3 3 9								
	Category													Legal/Financial					
	Owner													Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)		
	Town Clerk													Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score
														4	5	20	4	3	12
3	Property Ownership	Primet Community Centre and Town Hall Buildings require repairs and maintenance to be effected in a timely fashion. Lack of available contractors / materials could put Council buildings at risk.			Town Hall/Annex condition survey completed May 2017 to enable identification of key issues. Repairs booked in advance. To work with all known contractors to obtain the materials required. New condition survey to be conducted once the current insurance works have been completed.			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.			Develop a programme for maintenance and to seek a longer term approach to Preventative Planned Maintenance involving capital borrowing. This includes an annual budget for repairs of at least 30K. Once existing works have been completed, a new condition survey will be commissioned. Date for Completion (L) Ongoing Target Risk (M) Impact Likelihood Risk Score 3 2 6								
	Category													Legal/Financial/Reputation					
	Owner													Inherent/Fundamental Risk (E)			Direct budget mgt by Clerk/RFO		
	Town Clerk													Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score
														4	4	16	4	3	12
4	Capital Programme Delivery	Capital projects involving substantial investments are not delivered to specification on time or are over budget due to unavailability of materials and limited resources.			External consultants with proven track records are used to scope, draw up requirements, tender and project manage. The recent playground development project suffered a few delays due to extended leadtimes and was consequently pushed closer to the winter months when conditions were not ideal. This caused a number of issues, however these were all effectively managed in house.			Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? The Town Council has no immediate plans for another Capital project, however if in the future a project is commenced in the midst of a lockdown, then tighter controls and monitoring will need to be in place.			Robust tender process in place for larger projects requiring full risk assessments and method statements. Regular review of the project by Town Clerk / Contracts Officer / RFO. Full assessment of requirements and restrictions when considering a new project. Date for Completion (L) Ongoing Target Risk (M) Impact Likelihood Risk Score 3 3 9								
	Category													Legal/Reputation/Financial/Operational					
	Owner													Inherent/Fundamental Risk (E)			Direct budget mgt by Clerk/RFO		
	Town Clerk / RFO													Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score
														5	4	20	4	3	12

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5	Failure of Outsourced Contractor			Contractors fail to complete work in time specified or produce sub-standard work due to illness, reduced staff levels and/or lack of materials and resources.			Tender process reviews capability as well as financial ability to undertake contractual requirements. Regular review meetings to identify continuing capability, and monitoring of outputs through client manager role of allotments officer. Requirement for risk assessment and method statements which should identify any issues. Retention Money. RFO trained on accounting system.			Level of Risk acceptable? Y/N			More frequent reviews with contractors to establish impact of the pandemic on ability to continue delivery and or reduction in specification frequency if appropriate. To monitor workloads and train the Lengthsman to cover / assist with tasks as and when required.						
	Category									Direct budget mgt by Clerk/RFO						Yes			
	Legal/Reputation/Financial/Operational			Inherent/Fundamental Risk (E)			Impact			Why have you drawn this conclusion?			Date for Completion (L)						
	Owner			Impact			Likelihood			Risk Score			Ongoing						
	Town Clerk			5			4			20			Target Risk (M)						
			3			4			12			Impact							
			2			3			6			Likelihood							
												Risk Score							
												2							
												3							
												6							
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)						
6	Failure of Parties to Management Agreements			Parties ignore arrangements and incur expenditure without due regard to each others obligations or fail to carry out task required of each other.			A Management Agreement is in place for CIB and PWCGBA. Agreements specify what costs are to be met by the parties to the Agreement thereby reducing the risk of non recovery of costs. If tasks can not be completed due to isolation restrictions, taks can be covered by Officers / Cleaner / Lengthsman.			Level of Risk acceptable? Y/N			To ratify existing arrangements for CIB on lifting of restrictions. Review of PWCGBA recovery of costs. To try to encourage an uptake of younger volunteers.						
	Category									Direct budget mgt by Clerk/RFO						Yes			
	Financial/Operational			Inherent/Fundamental Risk (E)			Impact			Why have you drawn this conclusion?			Date for Completion (L)						
	Owner			Impact			Likelihood			Risk Score			Ongoing						
	Town Clerk			4			4			16			Target Risk (M)						
			3			3			9			Impact							
			3			2			6			Likelihood							
												Risk Score							
												3							
												2							
												6							
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)						
7	Slump in sector/economy			Recession Income Decline Lack of growth			Lack of growth unlikely to be an issue for the Council as current trajectory is potential further growth as more services are taken on, however a pandemic may lead to issues with the wider economy as businesses are forced to temporarily cease trading due to lockdown restrictions. This could lead to a reduction in tax recovery and a lower precept Income for the Council which would need to be budgeted for. Earmarked reserves have been established including a Community Development EMR.			Level of Risk acceptable? Y/N			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. Continual review of budgets and if year-end balances allow, continue to increase FMR's to lessen Date for Completion (L)						
	Category									Residual/Remaining Risk (G)						Yes			
	Financial			Impact			Likelihood			Risk Score			Ongoing						
	Owner			Impact			Likelihood			Risk Score			Target Risk (M)						
	Town Clerk / RFO			5			5			25			Impact						
			3			5			15			Likelihood							
			2			4			8			Risk Score							
												2							
												4							
												8							
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)						
8	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			Primet Community Centre, Town Hall and Town Hall Annex Alarm systems are monitored and staff call out procedure in place. To continue to manage renewals and review as circumstances change.						
	Category									Residual/Remaining Risk (G)						Yes			
	Financial			Impact			Likelihood			Risk Score			Date for Completion (L)						
	Owner			Impact			Likelihood			Risk Score			Ongoing						
	Town Clerk			2			5			10			Target Risk (M)						
			2			3			6			Impact							
												2							
												2							
												4							

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9	Loss of Key Staff			Officers and support staff unable to work due to restrictions / isolation			All Officers are equipped to work from home should they need to and the Council has IT provision to assist remote working eg Zoom / Teams. The Lengthsman's role is mainly concentrated on outdoor work so will not be as restricted.			Level of Risk acceptable? Y/N Yes			To continue to invest in ways to assist in effective remote working/ communication.				
	Category									Why have you drawn this conclusion?							
	Human Resources									The Council has a growing team, one of which can be available to open the office if required whilst still keeping within the guidance. As the Town Hall is currently only occupied by Colne Town Council, it is easier to socially distance (Each member of staff has their own office).							
	Owner			Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)			Date for Completion (L)							
	Town Clerk			Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	ongoing	Target Risk (M)						
			4	4	16	3	3	9		Impact	Likelihood	Risk Score	3	2	6		
10	Stress/Long Term Illness			Officers become ill due to virus or become stressed due to Excessive Workloads, Tight Deadlines and Unreasonable expectations.			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 Yes			Ongoing monitoring of attendance. Continuation to recruit as and when necessary. Ongoing monitoring of job roles.				
	Category									Why have you drawn this conclusion?							
	Human Resources									The Town Council has a strong, open and honest team and other Officers will cover and support as necessary. Any illness due to a virus should be temporary and there is flexibility within the team to manage this effectively in house. History of Low sickness levels.							
	Owner			Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)			Date for Completion (L)							
	Town Clerk			Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	ongoing	Target Risk (M)						
			4	4	16	3	3	9		Impact	Likelihood	Risk Score	3	2	6		
11	IT Failure			Officers unable to access the server remotely. Failure of outside contractor due to insufficient staffing levels.			External support provider Networked, Daily Backups, Cloud, Help desk support. Technology for remote working is already set up. The contractor has been able to maintain good response times during the Coronavirus Pandemic. Officers have been using home networks for internet access with no history of any problems.			Level of Risk acceptable? Y/N Yes			To continue to invest and maintain/update existing technology to assist remote working and minimise the risk of downtime due to failure of old appliances.				
	Category									Why have you drawn this conclusion?							
	Contractual/Financial/Operational									Officers are able to socially distance in the office should they need to view actual physical documents.							
	Owner			Inherent/Fundamental Risk (E)			Direct budget mgt by Clerk/RFO			Date for Completion (L)							
	Town Clerk / RFO			Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Ongoing	Target Risk (M)						
			4	3	12	3	2	6		Impact	Likelihood	Risk Score	2	2	4		
12	Financial Pressures			Budget Cuts, Declining Income and Increased costs - Energy, Rates etc.			Regular and Effective Budget Monitoring with established Earmarked reserves. VFM work ethic and where possible rates are locked in advance. A lockdown may lead to a reduction in rental income received and loss of events and facilities hire income. Some expenditure however will also be saved which will enable established budgets to be redirected			Level of Risk acceptable? Y/N Yes			To continue to increase reserves and establish a provision for bad debt. Budgets will need to be closely managed during the pandemic.				
	Category									Why have you drawn this conclusion?							
	Financial									The Council is not heavily reliant on the income it receives and has established reserves that could be used to smooth any temporary loss. It is recommended that the Council establishes a bad debt provision if year-end figures allow.							
	Owner			Inherent/Fundamental Risk (E)			Direct budget mgt by Clerk/RFO			Date for Completion (L)							
	RFO			Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Ongoing	Target Risk (M)						
			5	4	20	3	3	9		Impact	Likelihood	Risk Score	3	2	6		

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13	Fraud			Internal abuse - Inadequate checks relating to any aspects of financial involvement and no controls exercised over payments. External parties making false claims, false invoices, phishing emails.			As the perpetrators become more desperate, fraudulent activity will inevitably increase. The Council has good controls in place to cover internally such as Fidelity insurance, internal controls document, financial regulations, standing orders, regular bank reconciliation, separation of duties and financial risk register. Officers trained to look for anomalies and action accordingly and will be extra vigilant in times of financial hardship.			Level of Risk acceptable? Y/N			Interim internal audits and cash reconciliation undertaken. Insurance cover implemented. Increased Security on online banking procedures. Two factor authentication on all emails.								
	Category									Direct budget mgt by Clerk/RFO						Why have you drawn this conclusion?					
	Financial									Impact						Likelihood			Risk Score		
	Owner									3						4			12		
	Town Clerk / RFO									5						5			25		
									Protection against unauthorised access of the Council's system. (2FA for all emails)			Date for Completion (L)									
												Ongoing									
												Target Risk (M)									
												Impact									
												Likelihood									
												Risk Score									
												3									
												3									
												9									
14	Failure to deliver Blues Festival within budget			High commercial risk venture with high financial and reputational exposure. Susceptibility to expenditure overspend and income shortfalls. Large scale event that attracts in excess of 20,000 attendees from all over the country and bands from overseas, unlikely to go ahead during lockdown.			The Government's pilot scheme will be used to assess if larger scale events such as festivals will be allowed, however it is unlikely that a decision will be made until the end of June 2021. By this time, a large amount of expenditure will have already been incurred for the event. If festivals are allowed to go ahead then it is likely that this will be at reduced capacity with social distancing measures in place for indoor venues. The whole event would have to be re thought to bring inline with government guidelines which is likely to require additional expenditure and the event would be unlikely to say within the current budget.			Level of Risk acceptable? Y/N			If the festival (subject to specific T&C's) is allowed to go ahead and Councillors have made the decision to accept the risk involved, it is likely that, with an increased budget, a new event management plan and a detailed risk assessment, the festival could be delivered safely and within the increased budget. However, high operational and reputational risk will still remain.								
	Category									Direct budget mgt by Clerk/RFO						Why have you drawn this conclusion?					
	Financial/Operational/Reputational									Impact						Likelihood			Risk Score		
	Owner									4						5			20		
	Town Clerk / RFO									5						5			25		
												Councillors will need to decide if they accept this risk and if they are willing to increase the budget for the event to enable it to take place should the government allow.									
												Date for Completion (L)									
												July-21									
												Target Risk (M)									
												Impact									
												Likelihood									
												Risk Score									
												4									
												4									
												16									
15	Events Risk / Failure of Events Delivery			If strict restrictions are in place then it is likely that all events will be cancelled. Should restrictions be lifted to allow small scale events then modifications will need to be made to allow for social distancing which, if not effectively managed, could present a high reputational risk.			Officers will keep up to date with current restrictions and will assess if the event can be successfully managed within the rules set. Events will be individually risk assessed and an event and safety plan will be prepared for each event that is given the go ahead.			Level of Risk acceptable? Y/N			To continue the use of specialist providers for first aid and security and to risk assess each event individually.								
	Category									Direct budget mgt by Clerk/RFO						Why have you drawn this conclusion?					
	Financial/Operational/Reputational									Impact						Likelihood			Risk Score		
	Owner									4						3			12		
	Town Clerk / EAO									5						4			20		
												History of successful events delivery where issues have been actively managed. If timely decisions are made then reputational risk and financial loss is reduced. Events are a discretionary part of the Council's budget so can choose not to deliver.									
												Date for Completion (L)									
												Ongoing									
												Target Risk (M)									
												Impact									
												Likelihood									
												Risk Score									
												3									
												2									
												6									

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16	Virus Exposure			Public exposed to the virus during a Council Event, in Council buildings or on Council facilities including Playgrounds and Alkincoates			Safety checks Individual Risk assessments Public Liability Insurance, Method Statements, CCTV			Level of Risk acceptable? Y/N Yes			Officers to keep abreast of the current guidance and bring in procedures to cater.						
	Category			Park. The public, staff or Councillors contract the COVID-19 disease as a result of activity or non action of the Council including delivery of events.			Health and Safety Policy, Waste Collection, Safe walkways, Warning Signs, Health & Safety Awareness & Training Events Management Plans, NALC/LALC/Government Guidance awareness			Why have you drawn this conclusion? The Council will only open buildings and Facilities and hold events if the Government say that it is safe to do so and this will be in line with current HMRC/Government/PHE/WHO guidelines.									
	Legal/Operational/Reputational						Increased cleaning / sanitisation regime Appropriate PPE i.e. hand Sanitiser stations & provision of face coverings						Date for Completion (L) Ongoing						
	Owner			Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)						Target Risk (M)						
	Town Clerk			Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score				
			3	4	12	2	3	6	2	2	4	2	2	4					
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)						
17	Reserves			Increased demand on Reserves leading to insufficient levels available to meet known commitments and unplanned major costs.			Increased financial pressures may lead to funding from Earmarked / General Reserves. Regular monitoring of budgets to ensure that any decision to fund is not made until resource availability has been established. Reserves & Trerasury Management Policy in place.			Level of Risk acceptable? Y/N Yes			Increasing percentage of Overall Reserves to expenditure above 35%, and Earmarked Reserves to 30%.						
	Category									Why have you drawn this conclusion? Regular monitoring of budget and bank balances and year end forecasting of general reserves.									
	Financial												Date for Completion (L) Ongoing						
	Owner			Inherent/Fundamental Risk (E)			Direct budget mgt by Clerk/RFO						Target Risk (M)						
	Town Clerk / RFO			Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score				
			5	4	20	3	3	9	2	2	4	2	2	4					