

## Item 8 - CTC Pandemic Risk Register

## COLNE TOWN COUNCIL PANDEMIC RISK REGISTER

Produced by : Gina Langley RFO.		Date : February 2022 - review March 2023																	
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
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)								
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 and appropriate staff training. Anti-vandal Climbing Paint, Anti-Graffiti Paint, Polycarbonate Glass Warning Notices, Police Liaison Emergency Budget, Easing of restrictions and the reopening of schools has reduced the likelihood of incidents.			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 checks of play areas on a weekly basis. Charities such as CYAG are in operation locally to aim at reducing incidents of ASB.			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 2 6								
	Category													Legal/Financial					
	Owner													Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)		
	Town Clerk													Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score
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)								
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 commissioned in the near future, once existing repair work has been completed. Current guideline released by the government state that self-isolation is not warranted for those who are fully vaccinated, unless they test positive for the virus.			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.			Internal audit and cash reconciliation undertaken. Insurance cover in place.  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
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)								
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. Current guidance is likely to reduce the number of issues occurring, and will mean that these can be effectively managed in house.			Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? If future capital projects are commenced in the midst of a lockdown, then tighter controls and monitoring will need to be in place. Experience gained from any issues encountered during the COVID-19 pandemic will influence decisions made and actions taken.			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 2 6								
	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

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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.						
								Yes									
	Category	Legal/Reputation/Financial/Operational			Inherent/Fundamental Risk (E)			Direct budget mgt by Clerk/RFO			Why have you drawn this conclusion?						
	Owner	Town Clerk			Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	A pandemic such as COVID-19, may lead to additional works being required for grounds maintenance /sanitation. Historically staff have been retained due to "Key Worker" classification. Lengthsman / in-house maintenance staff will reduce reliance on outside contractors.						
			5	4	20	3	4	12				Date for Completion (L) Ongoing					
											Target Risk (M)						
											Impact	Likelihood	Risk Score				
											2	3	6				
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, tasks can be covered by Officers / Cleaner / Lengthsman.			Level of Risk acceptable? Y/N			To ratify existing arrangements on lifting of restrictions. Review of recovery of costs. To try to encourage an uptake of younger volunteers.						
								Yes									
	Category	Financial/Operational			Inherent/Fundamental Risk (E)			Direct budget mgt by Clerk/RFO			Why have you drawn this conclusion?						
	Owner	Town Clerk			Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Current agreements have previously operated satisfactorily. Infection may impact on ongoing arrangements, however most tasks can be covered in house.						
			4	4	16	2	3	6				Date for Completion (L) Ongoing					
											Target Risk (M)						
											Impact	Likelihood	Risk Score				
											2	2	4				
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 EMR's to lessen any impact in future years.						
								Yes									
	Category	Financial			Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)			Why have you drawn this conclusion?						
	Owner	Town Clerk / RFO			Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Any lockdown would mean restrictions on events (Particularly large scale events such as Grand Prix and Blues Festival). Although this would mean a reduction in income, if timely decisions are made, then the corresponding expenditure can be saved. This would mean that the budgets set aside for such events, could then be utilised elsewhere. National economic recovery will be managed by Central government.						
			5	5	25	3	5	15				Date for Completion (L) ongoing					
											Target Risk (M)						
											Impact	Likelihood	Risk Score				
											2	4	8				
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.						
								Yes									
	Category	Financial			Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)			Why have you drawn this conclusion?						
	Owner	Town Clerk			Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Shops occupied, Town Hall and Primet both alarmed						
			2	5	10	2	3	6				Date for Completion (L) Ongoing					
											Target Risk (M)						
											Impact	Likelihood	Risk Score				
											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. Current guidelines for the COVID-19 pandemic relating to isolation suggest that this is less likely. The current team is expanding, meaning more staff to cover.			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? 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. Changes in the guidelines for the required period of isolation will reduce the impact on the Town Council.					
	Human Resources	Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)			Date for Completion (L) ongoing			Target Risk (M)		
	Owner Town Clerk	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score
		4	4	16	3	2	6	2	2	4			
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 Team with crossover of duties will help with covering workload			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? 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.					
	Human Resources	Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)			Date for Completion (L) ongoing			Target Risk (M)		
	Owner Town Clerk	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score
		4	4	16	2	3	6	2	2	4			
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? Officers are able to socially distance in the office should they need to view actual physical documents.					
	Contractual/Financial/Operational	Inherent/Fundamental Risk (E)			Direct budget mgt by Clerk/RFO			Date for Completion (L) Ongoing			Target Risk (M)		
	Owner Town Clerk / RFO	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score
		4	3	12	3	2	6	2	2	4			
12	Financial Pressures	Budget Cuts, Declining Income and Increased costs due to high inflation - Energy, Rates etc.			Regular and Effective Budget Monitoring with established Earmarked reserves including a provision for Bad Debt. 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 to smooth out any unexpected fluctuations in expenditure. Budgets will need to be closely managed during a pandemic.		
	Category							Why have you drawn this conclusion? The Council is not heavily reliant on the income it receives and has established reserves that could be used to smooth any temporary loss.					
	Financial	Inherent/Fundamental Risk (E)			Direct budget mgt by Clerk/RFO			Date for Completion (L) Ongoing			Target Risk (M)		
	Owner RFO	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score
		5	4	20	3	2	6	2	2	4			

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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							Yes									
	Financial							Why have you drawn this conclusion?									
	Owner							Internal controls and processes are strictly followed. Insurance cover against misappropriation of funds. Unfortunately, scammers are part of modern society but will be particularly rife during times of financial hardship such as when in a pandemic. Officers are trained to identify issues but will need to be extra vigilant. Outsourced IT contractor provides protection against unauthorised access of the Council's system. (2FA for all emails)									
	Town Clerk / RFO	Inherent/Fundamental Risk (E)			Direct budget mgt by Clerk/RFO			Date for Completion (L)			Ongoing						
		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Target Risk (M)			Impact	Likelihood	Risk Score				
		5	5	25	3	4	12				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.			Experience gained and the findings of the Government's pilot scheme conducted in 2020/21 will be used to assess if larger scale events such as festivals will be allowed during a pandemic. 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 change in format for the 2022 festival to just the main indoor venues, would lead to a loss of ticket income and bar sales if restrictions were to be put in place, which may lead to attempted recovery of costs from external sources. However, current guidance would suggest that this is less likely to happen.			Level of Risk acceptable? Y/N			If a new pandemic was to surface, then a new event management plan and a detailed risk assessment would need to be completed. New lockdown restrictions would likely cause an increase in the budget requirements to deliver the festival safely. It is less likely that restrictions will be re-introduced in 2022, however operational and reputational risk will still remain, secppecially whn working with a different						
	Category							No									
	Financial/Operational/Reputational							Why have you drawn this conclusion?									
	Owner							This event will always pause a high risk during a pandemic with social distancing measures in place. Any decision to cancel will need to be made by the end of March on the year the festival is due to take place as, after this time, high values of expenditure will be incurred that cannot be recovered. The risk exposure to the Council has been reduced with regard to ticket sales for 2022.									
	Town Clerk / RFO	Inherent/Fundamental Risk (E)			Direct budget mgt by Clerk/RFO			Date for Completion (L)			Ongoing						
		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Target Risk (M)			Impact	Likelihood	Risk Score				
		5	5	25	4	4	16				4	3	12				
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 frist aid and security and to risk assess each event individually.						
	Category							Yes									
	Financial/Operational/Reputational							Why have you drawn this conclusion?									
	Owner							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.									
	Town Clerk / EAO	Inherent/Fundamental Risk (E)			Direct budget mgt by Clerk/RFO			Date for Completion (L)			Ongoing						
		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Target Risk (M)			Impact	Likelihood	Risk Score				
		5	4	20	4	3	12				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 Park. The public, staff or Councillors contract the virus as a result of activity or non action of the Council including delivery of events.	Safety checks Individual Risk assessments Public Liability Insurance, Method Statements, CCTV Health and Safety Policy, Waste Collection, Safe walkways, Warning Signs, Health & Safety Awareness & Training Events Management Plans, NALC/LALC/Government Guidance awareness Increased cleaning / sanitisation regime Appropriate PPE i.e. hand Sanitiser stations & provision of face coverings			Level of Risk acceptable? Y/N		Officers to keep abreast of the current guidance and bring in procedures to cater.  Date for Completion (L) Ongoing
	Category					Yes		
	Legal/Operational/Reputational					Why have you drawn this conclusion? During a pandemic, 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. Although current infection rates are high, restrictions are being lifted due to the majority of individuals being fully vaccinated and symptoms being less severe because of this. The required Isolation period has also been reduced.		
	Owner					Residual/Remaining Risk (G)		
	Town Clerk					Impact	Likelihood	
		3	4	12	2	3	6	
		Inherent/Fundamental Risk (E)		Target Risk (M)				
		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	
		3	4	12	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		As the Council grows, the maintain the value of overall reserves to expenditure and an appropriate level. The bigger the Council, the higher the percentage required. To achieve and maintain a level of Earmarked Reserve at 30%
	Category					Yes		
	Financial					Why have you drawn this conclusion? Regular monitoring of budget and bank balances and year end forecasting of general reserves.		
	Owner					Direct budget mgt by Clerk/RFO		
	Town Clerk / RFO					Impact	Likelihood	
		5	4	20	2	3	6	
		Inherent/Fundamental Risk (E)		Target Risk (M)				
		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	
		5	4	20	2	2	4	