

COLNE TOWN COUNCIL RISK REGISTER

| Produced by : Gina Langley - TOWN CLERK/RFO | | | | | | | | | | Date : March 2023 - review by March 2024 | | | | | | | | | | | | | | |
|---|---|--|---|--|----|---|---|---|---|--|---|--|--|--|--|-------------------------------|------------|------------|-----------------------------|------------|------------|-----------------|------------|------------|
| 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, Access Control Maintenance Contracts Method Statements, Work Permits CCTV Health and Safety Policy Safety Equipment,ROSPA Playground inspections, Annual servicing of equipment i.e. inflatables plus regular 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 | | | Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? Lack of historic claims shows that risk is low. Grounds Maintenance contract in place to manage Bus Shelters, Playground equipment and damage, Benches and Alkincoates Park, with Management Agreement on site for monitoring of issues. Two Lengthsmen employed by the Council can be available at short notice. | | | Inclusion within Database to ensure all statutory inspections carried out when due. Date for Completion (L)- Ongoing To compile an Asset Risk Register on completion of new conditional surveys to help with planned preventative maintenance. Formulation of standard operating procedure manuals for reference purposes. | | | | | | | | | | | |
| | Category | | | | | | | | | | | | | | | | | | | | | | | |
| | Legal | | | | | | | | | | | | | | | | | | | | | | | |
| | 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 |
| | | | 2 | 4 | 8 | 2 | 2 | 4 | 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. Both Lengthsmen have PA1/PA6 certification. COSHH records kept in vicinity for all substances used. | | | Specific site risk assessments. To continue to invest in appropriate training for grounds staff. Date for Completion (L) Ongoing procedure. | | | | | | | | | | | |
| | Category | | | | | | | | | | | | | | | | | | | | | | | |
| | Legal | | | | | | | | | | | | | | | | | | | | | | | |
| | 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 |
| | | | 4 | 4 | 16 | 4 | 2 | 8 | 3 | 1 | 3 | | | | | | | | | | | | | |
| 3 | Vandalism | | | Vandalism & Graffiti affecting Council Assets / Buildings | | | CYAG, CCTV, Anti-vandal Climbing Paint Polycarbonate Glass Warning Notices, Police Liaison Anti-Graffiti Paint Lengthsmen able to complete minor repairs with minimal disruption, Emergency Budget, Lighting, Inspections, Alarms Call out service to minimise situation. More frequent monitoring/vigilance when schools are closed and ASB occurrence is higher. | | | 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 although continued support to the Colne Youth Action Group and similar groups who aim to tackle this issue, will help. Insurance cover is in place for damage. CCTV system for Town Centre coverage. Out of hours response with GM contractor and physical checks of play areas on a weekly basis. | | | Reporting of damage via service users ensures remedial action taken. To consider provision of CCTV in all Play Areas and other areas of concern. Date for Completion (L) Ongoing | | | | | | | | | | | |
| | Category | | | | | | | | | | | | | | | | | | | | | | | |
| | Financial | | | | | | | | | | | | | | | | | | | | | | | |
| | Owner | | | | | | | | | | | | | | | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | | Target Risk (M) | | |
| | Town Clerk / ACO | | | | | | | | | | | | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | | | 3 | 5 | 15 | 2 | 3 | 6 | 2 | 2 | 4 | | | | | | | | | | | | | |
| 4 | Empty Property | | | Vandalism/Fire Damage Reputation, Increased costs - vacant rates. Cost of living crisis, businesses unable to trade to a sufficient level. | | | 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 and/or new tenants found. Swift action to minimise period left empty. Town Hall, Annexe and Primet all alarmed. Town Council rates are reasonable and competitive. | | | 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. Date for Completion (L) Ongoing | | | | | | | | | | | |
| | Category | | | | | | | | | | | | | | | | | | | | | | | |
| | Financial | | | | | | | | | | | | | | | | | | | | | | | |
| | 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 |
| | | | 2 | 4 | 8 | 2 | 3 | 6 | 2 | 2 | 4 | | | | | | | | | | | | | |

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| 5 | Slump in sector/economy | Recession Income Decline Lack of growth | | | Efficiency Savings Seek Alternative sources of work Enhanced budgeting and budget monitoring as a recession/decline could lead to a reduction in tax recovery, resulting in a decreased tax base, and a reduction in precept income. Higher awareness of the nature of service provision and any reductions in processes that could be made if absolutely necessary. As with the pandemic, a recession/decline may result in issues with the wider economy, Community Development EMR to help. To include and increase budgets for rent support and bad debt provision during this time, despite Council rates being very reasonable. | | | Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? Lack of growth unlikely to be an issue for the Town Council as current trajectory is potential further growth as more services are taken on. Historical level of sponsorship and income generation has been maintained. Multiple quotations sought to ensure that VFM approach to procurement is maintained. Regular budget monitoring to ensure that surplus funds can be reallocated if required. | | | 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. Continue to endeavour to increase potential for income generation e.g. weddings / Primet Community Centre and if year-end balances allow, continue to increase EMR's to lessen any impact on future years. | | |
| | Category | | | | | | | | | | Date for Completion (L) ongoing | | |
| | Financial | | | | | | | | | | Target Risk (M) | | |
| | Owner | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | | | | | Impact Likelihood Risk Score | | |
| | Town Clerk / RFO | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | 3 | 3 | 9 | 3 | 2 | 6 |
| 6 | Lack of resources | 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 and earmarked reserves for capital requirements. | | | Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? Budget resources are sufficient to meet known commitments. Two grounds staff to complete jobs in-house and a team of staff to assist with additional services taken on. | | | Monitoring of workloads and delivery will determine whether there is a need to externalise service | | |
| | Category | | | | | | | | | | Date for Completion (L) Ongoing | | |
| | Financial | | | | | | | | | | Target Risk (M) | | |
| | Owner | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | | | | | Impact Likelihood Risk Score | | |
| | Town Clerk / RFO | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | 5 | 4 | 20 | 3 | 2 | 4 |
| 7 | Theft/Misappropriation | 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 Why have you drawn this conclusion? Prominent location, fully alarmed and robust internal process in place with overview of any financial irregularity. Access Control system in place. Internal controls process and fidelity insurance cover of £2m in place. | | | To continue to ensure that Primet Community Centre, Town Hall and Town Hall Annex Alarm systems are monitored and that staff call out procedure are in place. To review insurance annually to ensure that there is sufficient cover in place. | | |
| | Category | | | | | | | | | | Date for Completion (L) ongoing | | |
| | Financial | | | | | | | | | | Target Risk (M) | | |
| | Owner | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | | | | | Impact Likelihood Risk Score | | |
| | Town Clerk | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | 3 | 3 | 9 | 2 | 2 | 4 |
| 8 | Poor Image/Reputation | 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. GM Contract and In-house Lengthsmen to ensure any issues can be rectified promptly. | | | Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? Regular dialogue by TC with Members at Meetings. Small unit control. Clerical and Admin officers both proficient in Social Media which has lead to increased frequency of posts and enhanced local engagement. | | | Operational responsibilities clearly defined and reviewed on change of service delivery and or incident. To continue to engage via the use of social media. | | |
| | Category | | | | | | | | | | Date for Completion (L) ongoing | | |
| | Customer | | | | | | | | | | Target Risk (M) | | |
| | Owner | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | | | | | Impact Likelihood Risk Score | | |
| | Town Clerk | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | 4 | 3 | 12 | 3 | 1 | 3 |

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| 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) | | | | | | | | |
| 9 | Budget Management | Insufficient financial resources available to deliver service. Poor financial records maintained No controls on spend or commitments | | | Monthly budget reports showing spend and commitments Separation of duties with Town Clerk/RFO and Finance Officer, plus outsourced accountant for payroll and year-end. Omega budget system in place, Scheme of delegation in place, Internal & External Audit, Year end procedures in place, Reserves & Treasury Management Policy, Standing Orders and Financial Regulations in place - all reviewed annually. | | | Level of Risk acceptable? Y/N | | | Carry out annual review of Financial Effectiveness that is reviewed and minute at a Full Council meeting. Continue to build up Earmarked Reserves to enable increase in awareness should day to day financial pressures be seen. Where applicable encourage Committees to take ownership of budgets e.g. Allotments, Events. Date for Completion (L) Ongoing | | | | | | | | |
| | Category | | | | | | | Residual/Remaining Risk (G) | | | | | | Target Risk (M) | | | | | |
| | Owner | | | | | | | Impact | Likelihood | Risk Score | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | RFO | | | | | | | 4 | 4 | 16 | | | | 2 | 2 | 4 | 2 | 1 | 2 |
| 10 | Fire | 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) - Ongoing | | | | | | | | |
| | Category | | | | | | | Residual/Remaining Risk (G) | | | | | | Target Risk (M) | | | | | |
| | Owner | | | | | | | Impact | Likelihood | Risk Score | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | Town Clerk | | | | | | | 5 | 2 | 10 | | | | 3 | 2 | 6 | 3 | 1 | 3 |
| 11 | Contractor failure | Unfinished Works on site, timescale delivery implications | | | Select List of Approved Contractors Contractor Assessment Contract Monitoring. GM Contracts contain in-built penalties for non-compliance Retention Money | | | Level of Risk acceptable? Y/N | | | Construction line and CHAS Accreditation being investigated for Contract Compliance. More regular monitoring of work schedule by contract officer to ensure that any non-compliance is addressed appropriately. Date for Completion (L) Ongoing | | | | | | | | |
| | Category | | | | | | | Residual/Remaining Risk (G) | | | | | | Target Risk (M) | | | | | |
| | Owner | | | | | | | Impact | Likelihood | Risk Score | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | Town Clerk / RFO | | | | | | | 3 | 5 | 15 | | | | 3 | 3 | 9 | 2 | 2 | 4 |
| 12 | Loss of Key Staff | Qualified Staff moving onto other employers or Officers and support staff unable to work due to restrictions / isolation. | | | On the Job Shadowing Staff Appraisal Training Internal Promotion Flexible working and IT provision to assist remote working. Larger team with crossover of duties to help with covering workload. | | | Level of Risk acceptable? Y/N | | | Monitoring of workloads and delivery of outputs and mentoring for new appointments. To continue to invest in ways to assist in effective remote working/communication. Date for Completion (L) ongoing | | | | | | | | |
| | Category | | | | | | | Residual/Remaining Risk (G) | | | | | | Target Risk (M) | | | | | |
| | Owner | | | | | | | Impact | Likelihood | Risk Score | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | Town Clerk | | | | | | | 4 | 4 | 16 | | | | 3 | 3 | 9 | 2 | 2 | 4 |

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| 13 | Stress/Long Term Illness | 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, Outsourced HR and H&S Consultants. Larger team with crossover of duties to assist in covering workload. | | | Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? The Town Council has a strong, flexible, open and honest team and other Officers will cover and support as necessary. Any new services thoroughly investigated in terms of required resources before any decision is made. History of low sickness levels. | | | Ongoing monitoring of attendance. Continuation to recruit as and when necessary. Ongoing monitoring of job roles. | | | | | | | | | | | |
| | Category | | | | | | | | | | | | | Human Resources | | | | | | | | |
| | Owner | | | | | | | | | | | | | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | | | | |
| | Town Clerk | | | | | | | | | | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | | | | | | | | | | | | | | 4 | 4 | 16 | 3 | 3 | 9 | 2 | 2 | 4 |
| 14 | IT Failure | E-Procurement System Financial systems, Asset register Communication Systems Desktop Computing Applications Officers unable to access the server remotely. | | | External support provider Networked Daily Back-ups, cloud, help desk support. Technology for remote working is already in place. Officers have been using home networks for internet access with no history of any problems. | | | Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? Lack of incidents indicating not currently an issue. IT Contractor is upgrading their remote monitoring software which should be completed by 31/03/23. | | | Availability of Help desk support. new infrastructure. To continue to invest and maintain/update existing technology. | | | | | | | | | | | |
| | Category | | | | | | | | | | | | | Technological | | | | | | | | |
| | Owner | | | | | | | | | | | | | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | | | | |
| | Town Clerk / RFO | | | | | | | | | | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | | | | | | | | | | | | | | 5 | 4 | 20 | 4 | 2 | 8 | 3 | 1 | 3 |
| 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 Why have you drawn this conclusion? lack of occasions where utilities lost. | | | Reporting mechanisms to providers ensure early response and to consider boiler replacement and a back up generator for town hall. | | | | | | | | | | | |
| | Category | | | | | | | | | | | | | Environment | | | | | | | | |
| | Owner | | | | | | | | | | | | | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | | | | |
| | Town Clerk / RFO | | | | | | | | | | | | | 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 Why have you drawn this conclusion? At Town Council level not as susceptible to policy change | | | Monitoring of workloads and delivery of outputs Internal thought to be given towards joined up services with other authorities | | | | | | | | | | | |
| | Category | | | | | | | | | | | | | Political | | | | | | | | |
| | Owner | | | | | | | | | | | | | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | | | | |
| | Town Clerk | | | | | | | | | | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | | | | | | | | | | | | | | 3 | 3 | 9 | 3 | 2 | 6 | 3 | 1 | 3 |

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|---|--|--|--|--|--|--|--|--|--|--|---|--|--|---|------------|-----------------------------|-------------------------------|-------------------------|-----------------------------|-----------------|-----------------------------------|------------|-----------------|---|---|
| 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 | Financial Pressures | Budget Cuts, Declining Income (Rents) Increased costs - Energy, Rates etc. | | | Budget Monitoring Savings Plans Cost Reductions Mutiple quotes for Value for Money Work Carbon Champions Recycling Building Efficiencies energy contracts - VFM Approach Utilisation of ear-marked reserves to smooth temporary periods of uncertainty. | | | Level of Risk acceptable? Y/N Yes 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. In-house capability to minimise cost and decrease reliance on outside contractors. | | | Continued VFM Approach and training investment to utilise and increase staff efficiency. To increase diligence and monitoring of budgets when faced with increased financial pressures. | | | | | | | | | | | | | | |
| | Category | | | | | | | | | | | | | Inherent/Fundamental Risk (E) | | Residual/Remaining Risk (G) | | Date for Completion (L) | | | | | | | |
| | Financial | | | | | | | | | | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Target Risk (M) | | | | | |
| | Owner RFO | | | | | | | | | | | | | 5 | 4 | 20 | 2 | 3 | 6 | 2 | 2 | 4 | | | |
| 18 | Legislative Change | Changes in legislation are not identified or have an adverse impact on service provision(Rating changes, EPC, DECs) | | | Service Planning Local Authority Associations Impact Analysis Consultations News Aplications and dedicated apps and resourses during lock-downs or in emergencies. Ongoing monitoring using professional bodies, contacts and networking. | | | Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? Speed of change is usually slow with sufficient lead in times to adjust service requirements. During times of social restrictions and/or emergencies the speed of change will be faster, however changes are prominent in the news, NALC/LALC/SLCC/LCC/PBC assist to monitor. | | | To continue existing controls & procedures, and monitoring of NALC/LALC/SLCC/GOV publications. | | | | | | | | | | | | | | |
| | Category | | | | | | | | | | | | | Inherent/Fundamental Risk (E) | | Residual/Remaining Risk (G) | | Date for Completion (L) | | | | | | | |
| | Legal | | | | | | | | | | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Target Risk (M) | | | | | |
| | Owner Town Clerk / RFO | | | | | | | | | | | | | 5 | 3 | 15 | 4 | 2 | 8 | 3 | 2 | 6 | | | |
| 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 Gift and hospitality register Regulations | | | Interim Audit Regular Cash/Bank Rec Fidelity Insurance £2m TFA on emails Original Evidence Internal Controls Document Financial Standing Orders | | | 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 minimise potential for collusion. Internal controls and processes are strictly followed. Insurance cover against misappropriation of funds. Officers trained to identify issues. IT contractor provides protection against unauthorised access of the Council's system. | | | To continue existing controls & procedures. | | | | | | | | | | | |
| | Category | | | | | | | | | | | | | | | | Inherent/Fundamental Risk (E) | | Residual/Remaining Risk (G) | | Date for Completion (L) - Ongoing | | | | |
| | Financial | | | | | | | | | | | | | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Target Risk (M) | | |
| | Owner Town Clerk / RFO | | | | | | | | | | | | | | | | 4 | 4 | 16 | 2 | 2 | 4 | 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 | | | 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 | | | | | | | | | | | | | Inherent/Fundamental Risk (E) | | Residual/Remaining Risk (G) | | Date for Completion (L) | | | | | | | |
| | Human Resources | | | | | | | | | | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Target Risk (M) | | | | | |
| | Owner Town Clerk / RFO | | | | | | | | | | | | | 4 | 4 | 16 | 3 | 3 | 9 | 3 | 2 | 6 | | | |

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| 21 | Blues Festival | Commercial enterprise with susceptibility to expenditure overspend, income shortfalls, operational delivery failure with a net loss budget under pressure. 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. | | | Outsourced artist recruitment, marketing, "ticket source" booking system and volunteer scheme established. Understanding of issues arising out of previous years event delivery. Financial risk is dependent upon ticket sales, sponsorship and bar income. Reporting of ticket sales and event activity to Members on a frequent basis. Robustness of event planning and management. Removal of the Roadhouses reduces the risk exposure. Any lockdown restrictions are likely to be reduced capacity and social distancing for indoor venues which would lead to a loss of ticket income and bar sales. Pull on experience gained from the COVID-19 pandemic. | | | Level of Risk acceptable? Y/N | | | To continue to review the management plan with every festival event held to take into account the current climate and government guidance. When working with new contractors, to obtain at least two suitable trade references. | | |
| | Category | | | | | | | Yes | | | | | |
| | Financial Pressures/Reputation | | | | | | | Why have you drawn this conclusion? | | | | | |
| | | | | | | | | All events successfully delivered and a framework established. Progress monitoring of income and activity. Blues Based Festival of the year award gained for the 2019 event held and nomination finalist again for 2022 event. Removal of Roadhouses and outsourcing the staging of the main venues will work to reduce to risk exposure to the Council, however this also means that there is no guaranteed income other than any secured sponsorship and advertising. CBS have shown they are dedicated to the Festival's longevity and are confident they can deliver a successful event. | | | | | |
| | | | | | | | | Date for Completion (L) | | | | | |
| Owner | Inherent/Fundamental Risk (E) | | | Direct budget mgt by RFO/Clerk | | | Target Risk (M) | | | | | | |
| Town Clerk / RFO | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | | | | |
| | 4 | 5 | 20 | 3 | 4 | 12 | 3 | 3 | 9 | | | | |
| 22 | Property Ownership | Primet Community Centre and 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. | | | Town Hall/Annex condition survey completed May 2017 and key issues identified. Town Hall Downspouts have been replaced and some roof work has been completed. Repairs to Primet Community Centre Roof have been completed. New re-instatement valuations effected in Feb 2023 to ensure correct insurance provision and a new conditional survey of all Council owned property is being sought. | | | Level of Risk acceptable? Y/N | | | 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 the new conditional survey has been completed, Town Clerk/RFO to compile an Asset Risk Register to assist with PPM. | | |
| | Category | | | | | | | Yes | | | | | |
| | Legal/Financial/Reputation | | | | | | | Why have you drawn this conclusion? | | | | | |
| | | | | | | | | The general condition of Primet Community Centre, the Town Hall and associated buildings 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 - (the renewal will take into account the current re-instatement values provided.) | | | | | |
| | | | | | | | | Date for Completion (L) | | | | | |
| Owner | Inherent/Fundamental Risk (E) | | | Direct budget mgt by RFO/Clerk | | | Target Risk (M) | | | | | | |
| Town Clerk | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | | | | |
| | 4 | 4 | 16 | 3 | 3 | 9 | 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. Event delivery is susceptible to any lockdowns and social restrictions. Modifications will be needed for effective and safe delivery and if not effectively managed, could present a high reputational risk. | | | 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. During periods of social restriction, officers will keep up to date with government guidance and will assess each event individually to assess if they can be run safely and effectively. Making early decision regarding cancellation will help to control and minimise any losses. | | | Level of Risk acceptable? Y/N | | | Continuing use of specialist first aid and security providers for high risk events. | | |
| | Category | | | | | | | Yes | | | | | |
| | Health and Safety | | | | | | | Why have you drawn this conclusion? | | | | | |
| | | | | | | | | Successful events delivery where serious injuries, near fatal, have been actively managed. During COVID-19, the government restrictions were all adhered to and events only held once it was considered safe to do so. If timely decisions are made then reputational risk and financial loss is reduced. Events are a discretionary part of the Council's activities, so can choose not to deliver. | | | | | |
| | | | | | | | | Date for Completion (L) | | | | | |
| Owner | Inherent/Fundamental Risk (E) | | | Direct budget mgt by RFO/Clerk | | | Target Risk (M) | | | | | | |
| Town Clerk / EAO | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | | | | |
| | 5 | 4 | 20 | 4 | 2 | 8 | 3 | 2 | 6 | | | | |
| 24 | Data Protection and GDPR | 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 changes to Legislation. | | |
| | Category | | | | | | | Yes | | | | | |
| | Legal/Reputation/Financial | | | | | | | Why have you drawn this conclusion? | | | | | |
| | | | | | | | | Policy in place and Training attended by Town Clerk/RFO | | | | | |
| | | | | | | | | Date for Completion (L) | | | | | |
| Owner | Inherent/Fundamental Risk (E) | | | Direct budget mgt by RFO/Clerk | | | Target Risk (M) | | | | | | |
| Town Clerk / RFO | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | | | | |
| | 4 | 4 | 16 | 4 | 3 | 12 | 3 | 2 | 6 | | | | |

COLNE TOWN COUNCIL RISK REGISTER

| Produced by : Gina Langley - TOWN CLERK/RFO | | Date : March 2023 - review by March 2024 | | | | | | | | | | | | | | | | | | | | |
|---|---|---|--|--|---|--|--|--|--|--|---|--|--|---|------------|------------|--------------------------------|------------|------------|--------|------------|------------|
| 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) | | | | | | | | | | | |
| 25 | Operational Management /Delivery of Direct Services | 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 agreements with PWCGBA and CIB helps to lessen risk of non delivery. Larger, more flexible team including two well trained Lengthsmen. | | | Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? Staff have a good practical understanding of systems and processes. Information and experience gained (i.e. Alkincoates Park) will be used to further inform the details of any outsourced contracts to bring in line with current staff capabilities to deliver a more appropriate solution for the Council. | | | Standard Operational Procedures to be implemented covering key areas of delivery. | | | | | | | | | | | |
| | Category | | | | | | | | | | | | | Legal/Reputation/Financial | | | | | | | | |
| | Owner | | | | | | | | | | | | | Inherent/Fundamental Risk (E) | | | Direct budget mgt by RFO/Clerk | | | | | |
| | Town Clerk | | | | | | | | | | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | | | | | | | | | | | | | | 5 | 4 | 20 | 3 | 3 | 9 | 3 | 2 | 6 |
| 26 | Financial Risk Management | Increases in Precept and cash availability could lead to wrong use of financial resources and have catastrophic effect. | | | Strong financial controls and separate financial earmarked reserves as part of Policy help to manage this situation. Outside Accountant provides additional protection/security. Internal Controls document. | | | Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? Monthly production of financial information and external scrutiny of accountant minimise risk of misuse. Further controls in the form of a Financial Risk Register, Financial Regulations and Internal Controls Document. The introduction of an Asset Risk Register will complete the suite of Financial Risk Management Documents for good governance. | | | To create an Asset Risk Register once a new condition survey has been completed. | | | | | | | | | | | |
| | Category | | | | | | | | | | | | | Legal/Reputation/Financial | | | | | | | | |
| | Owner | | | | | | | | | | | | | Inherent/Fundamental Risk (E) | | | Direct budget mgt by CEO | | | | | |
| | RFO | | | | | | | | | | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | | | | | | | | | | | | | | 4 | 4 | 16 | 4 | 2 | 8 | 3 | 2 | 6 |
| 27 | Capital Programme Delivery | 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. Robust tender process in place for larger projects requiring full risk assessments and method statements, details of experience/qualifications etc. Appoint outside contractors to project manage if internal knowledge is limited. Cost to complete exercise is undertaken with regular review of the project by Town Clerk / RFO. | | | Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? Track record of project delivery has been relatively sound. System of stage payments with 5% retention in operation. 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 previous pandemic will influence decisions made and actions taken. | | | To continue to appoint outside contractors to project manage if internal knowledge is limited. Full assessment of requirements and restrictions when considering a new project along with regular reviews by the Town Clerk / RFO. | | | | | | | | | | | |
| | Category | | | | | | | | | | | | | Legal/Reputation/Financial/Operational/Reputation | | | | | | | | |
| | Owner | | | | | | | | | | | | | Inherent/Fundamental Risk (E) | | | Direct budget mgt by RFO/Clerk | | | | | |
| | Town Clerk / RFO | | | | | | | | | | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | | | | | | | | | | | | | | 5 | 4 | 20 | 4 | 2 | 8 | 3 | 2 | 6 |
| 28 | Contractor Compliance | Contract works carried out are not to the required specifications/timescales and/or works are not insured, or delivered safely. | | | Tendering process for higher value contracts detailing all specifications required and requesting copies of company / employee certifications. Only companies that meet the specifications will be considered for the Contract. GM Contracts include penalties for non-compliance. For lower value contracts or those perceived to have construction type risk, also seek RAMS. Utilisation of In-house Lengthsmen leaving less reliance on outside contractors. Increase monitoring in times of uncertainty. | | | Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? Obtaining Risk assessments and Method Statements for all ad/hoc jobs will help to further reduce this risk. In time of pandemic, changes to the types and frequencies of work may be required. Historically staff have been retained due to 'Key Worker' classification. | | | To continue to ensure that there is open communication with Contract Managers, and that RAM's are requested for all non-routine works. More frequent reviews with contractors in times of pandemic to establish impact on service delivery and/or reduction in specification requeryency if appropriate. To monitor workloads and train the Lengthsmen to cover / assist with tasks as and when required. | | | | | | | | | | | |
| | Category | | | | | | | | | | | | | Legal/Reputation/Financial/Operational/Reputation | | | | | | | | |
| | Owner | | | | | | | | | | | | | Inherent/Fundamental Risk (E) | | | Direct budget mgt by RFO/Clerk | | | | | |
| | Town Clerk / RFO | | | | | | | | | | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | | | | | | | | | | | | | | 3 | 5 | 15 | 3 | 2 | 6 | 2 | 2 | 4 |