

COLNE TOWN COUNCIL RISK REGISTER

| Produced by : Gina Langley - TOWN CLERK/RFO | | Date : March 2024 - review by March 2025 | | | | | | | | | | | | | | | | | | | | |
|---|---|--|--|--|---|--|--|---|--|--|--|--|--|-------------------------------|------------|------------|-----------------------------|------------|------------|-----------------|------------|------------|
| 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. Three 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 | | | | | | | | | | | | | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | | Target Risk (M) | | |
| | Owner | | | | | | | | | | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | Town Clerk | | | | | | | | | | | | | 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. All three 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 | | | | | | | | | | | | | Inherent/Fundamental Risk (E) | | | 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 | 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. More recently working with Colne Junior Council to design signs to place in the play areas. | | | 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 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 | | | | | | | | | | | | | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | | Target Risk (M) | | |
| | Owner | | | | | | | | | | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | Town Clerk / ACO | | | | | | | | | | | | | 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 | | | | | | | | | | | | | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | | Target Risk (M) | | |
| | Owner | | | | | | | | | | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | Town Clerk | | | | | | | | | | | | | 2 | 4 | 8 | 2 | 3 | 6 | 2 | 2 | 4 |
| | | | | | | | | | | | | | | | | | | | | | | |

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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) | | |
| 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. 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 | | | 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 EMRs to lessen any impact on future years. | | |
| | Category | | | | | | | 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. The level of sponsorship and income generation has increased in recent years, due to the events becoming more popular. 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. | | | | | |
| | Financial | | | | | | | | | | Date for Completion (L) ongoing | | |
| | Owner | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | | | | | Target Risk (M) | | |
| | Town Clerk / RFO | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | 5 | 3 | 15 | 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. | | | Level of Risk acceptable? Y/N Yes | | | Monitoring of workloads and delivery will determine whether there is a need to externalise service. To aim to increase general and earmarked reserves to the level required by the Reserves & Treasury Management Policy and to maintain going forward. | | |
| | Category | | | | | | | Why have you drawn this conclusion? Budget resources are sufficient to meet known commitments. Three grounds staff to complete jobs in-house and a team of staff to assist with additional services taken on. | | | | | |
| | Financial | | | | | | | | | | Date for Completion (L) Ongoing | | |
| | Owner | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | | | | | 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 | 4 | 3 | 12 | | | | 2 | 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 | | | To continue to ensure that Primet Community Centre, Town Hall and Town Hall Annex Alarm systems are monitored and that staff call out procedures are in place. To review insurance annually to ensure that there is sufficient cover in place. | | |
| | Category | | | | | | | 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. | | | | | |
| | Financial | | | | | | | | | | 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 | 3 | 9 | 2 | 3 | 6 | | | | 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 Dedicated Communications/Media Relations External Funding Bids - Lottery Funding Councillor focus Internal Promotion Vandalism insurance cover. GM Contracts that are actively managed and In-house Lengthsmen to ensure any issues can be rectified promptly. | | | Level of Risk acceptable? Y/N Yes | | | 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 | | | | | | | Why have you drawn this conclusion? Regular dialogue by the Town Clerk & Deputy Clerk with Members at Meetings. Small unit control. Dedicated Media & Communications Officer which has lead to increased frequency of posts and enhanced local engagement. Treasure Our Town, the Colne Neighbourhood Plan and Volunteer Groups to encourage community involvement. | | | | | |
| | Customer | | | | | | | | | | Date for Completion (L) ongoing | | |
| | Owner | Inherent/Fundamental Risk (E) | | | Insurance cover - Vandalism Bus Shelters/Playgrounds | | | | | | Target Risk (M) | | |
| | Town Clerk | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | 4 | 3 | 12 | 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) | | |
| 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. Omega budget system in place, Scheme of delegation in place, Internal & External Audit confirming strong internal controls, 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 | | | Ad-hoc reviews of financial controls to be carried out throughout the year. 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. | | |
| | Category | | | | | | | Yes | | | | | |
| | Financial | | | | | | | Why have you drawn this conclusion? | | | | | |
| | Owner | | | | | | | Regular production of budget monitoring at FES & Full Council and schedule of payments made. The outcome of Internal and External Auditors reports presented at both FES and Full Council. Earmarked Reserves created as per Reserves & Treasury Management Policy with an aim to use these to smooth out any large fluctuations from year to year. | | | | | |
| RFO | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | | Date for Completion (L) | | | Ongoing | | | |
| | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | | 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 | | |
| | Category | | | | | | | Yes | | | | | |
| | Physical | | | | | | | Why have you drawn this conclusion? | | | | | |
| | Owner | | | | | | | Building FRA | | | | | |
| Town Clerk | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | | Date for Completion (L) - Ongoing | | | Target Risk (M) | | | |
| | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | | 5 | 2 | 10 | 3 | 1 | 3 | 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 Contracts Officer to ensure that any non-compliance is addressed appropriately. | | |
| | Category | | | | | | | Yes | | | | | |
| | Contractual | | | | | | | 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. New GM Contractors likely to want to make a good impression. Council can invoke penalties if thought necessary. | | | | | |
| Town Clerk / RFO | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | | Date for Completion (L) | | | Ongoing | | | |
| | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | | 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. | | |
| | Category | | | | | | | Yes | | | | | |
| | Human Resources | | | | | | | Why have you drawn this conclusion? | | | | | |
| | Owner | | | | | | | Opportunity for staff to learn Current job market unlikely to lead to moving. Current team is flexible enough to cover temporary periods and this can be effectively managed in-house | | | | | |
| Town Clerk | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | | Date for Completion (L) | | | ongoing | | | |
| | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | | 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 transfer 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 | | | 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, 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. | | | | | | | | |
| | Owner | | | | | | | Inherent/Fundamental Risk (E) | | | | | | Residual/Remaining Risk (G) | | |
| | Town Clerk | | | | | | | 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 | | | Availability of Help desk support. New infrastructure. To continue to invest and maintain/update existing technology. | | | | | |
| | Category | | | | | | | Why have you drawn this conclusion? | | | | | | | | |
| | Technological | | | | | | | Lack of incidents indicating not currently an issue. IT Contractor has enhanced remote monitoring software. | | | | | | | | |
| | Owner | | | | | | | Inherent/Fundamental Risk (E) | | | | | | Residual/Remaining Risk (G) | | |
| | Town Clerk / RFO | | | | | | | 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 | | | Reporting mechanisms to providers ensure early response and to consider boiler replacement and a back up generator for town hall. | | | | | |
| | Category | | | | | | | Why have you drawn this conclusion? | | | | | | | | |
| | Environment | | | | | | | lack of occasions where utilities lost. | | | | | | | | |
| | Owner | | | | | | | Inherent/Fundamental Risk (E) | | | | | | Residual/Remaining Risk (G) | | |
| | Town Clerk / RFO | | | | | | | 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 | | | 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? | | | | | | | | |
| | Political | | | | | | | At Town Council level not as susceptible to policy change | | | | | | | | |
| | Owner | | | | | | | Inherent/Fundamental Risk (E) | | | | | | Residual/Remaining Risk (G) | | |
| | Town Clerk | | | | | | | Impact | Likelihood | Risk Score | | | | Impact | Likelihood | Risk Score |
| | | 3 | 3 | 9 | 3 | 2 | 6 | 3 | 1 | 3 | | | | | | |

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| 17 | Financial Pressures | Budget Cuts, Declining Income (Rents) Increased costs - Energy, Rates etc. The introduction of referendum principles for Town & Parish Councils. | | | Budget Monitoring on a rolling three year basis. Savings Plans Cost Reductions Multiple quotes for Value for Money Work 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? Current ability to raise precept to cover increasing costs or because of small service provision opportunity to step back from delivery as non statutory. The Introduction of referendum principles would restrict this ability, however moved to more realistic budget for 2024/25. In-house capability to minimise costs and decrease reliance on outside contractors. Increased focus on income generating activities, such as room hire, weddings and events. | | | 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. To work to maintain a realistic balanced budget with minimal reliance on reserves Date for Completion (L) Ongoing Target Risk (M) Impact Likelihood Risk Score 2 2 4 | | | | | | | | |
| | Category | | | | | | | | | | | | | Financial | | | | | |
| | Owner | | | | | | | | | | | | | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | |
| | RFO | | | | | | | | | | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | | 5 | 4 | 20 | 2 | 3 | 6 | | | | | | | | | | | | |
| 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 BBC News Applications and dedicated apps and resourses during lock-downs or in emergencies. Ongoing monitoring using professional bodies, contacts and networking. Subscriptions to different email news bulletins. | | | 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. Outsourced HR and H&S Consultantancy. | | | To continue existing controls & procedures, and monitoring of NALC/LGA/LALC/SLCC/GOV/HSE/ICO publications. 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 |
| | | 5 | 3 | 15 | 4 | 2 | 8 | | | | | | | | | | | | |
| 19 | Fraud | External parties making false claims, false invoices, Internal Abuse - Blues Festival cash receipts and payments not processed. | | | Verifications Interim Audit Due Diligence Regular Cash/Bank Rec References Fidelity Insurance £2m Management Check TFA on emails Separation of Duties Original Evidence Gift and hospitality register Internal Controls Document Financial Regulations 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. Date for Completion (L) - Ongoing Target Risk (M) Impact Likelihood Risk Score 2 1 2 | | | | | | | | |
| | Category | | | | | | | | | | | | | Financial | | | | | |
| | Owner | | | | | | | | | | | | | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | |
| | Town Clerk / RFO | | | | | | | | | | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | | 3 | 4 | 12 | 2 | 1 | 2 | | | | | | | | | | | | |
| 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. Date for Completion (L) Ongoing Target Risk (M) Impact Likelihood Risk Score 3 2 6 | | | | | | | | |
| | Category | | | | | | | | | | | | | Human Resources | | | | | |
| | Owner | | | | | | | | | | | | | Inherent/Fundamental Risk (E) | | | Residual/Remaining Risk (G) | | |
| | Town Clerk / RFO | | | | | | | | | | | | | Impact | Likelihood | Risk Score | Impact | Likelihood | Risk Score |
| | | 4 | 4 | 16 | 3 | 3 | 9 | | | | | | | | | | | | |

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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. | | | 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. Regular monitoring of news feeds in times of restriction. | | | 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 | | | | | | |
| | 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 2019 and nomination finalist again for 2022 & 2023 events. Removal of Roadhouses and outsourcing the staging of the main venues will work to reduce the 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, they are growing in confidence and ability as they showed during the 2023 event. The Town Council have agreed to work with CBS as artistic directors for 2024 & 2025 with objective for them to take a larger role in the organisation of the festival going forward. | | | | | | |
| | 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 |
| | | 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. | | | Historic Town Hall/Annex condition survey completed 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 | | | | | | |
| | 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.) | | | | | | |
| | Owner | | | | | | | Inherent/Fundamental Risk (E) | | Direct budget mgt by RFO/Clerk | | Target Risk (M) | | |
| | Town Clerk | | | | | | | 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 indicating 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, security provision and third party H&S consultancy 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. Regular monitoring to assess if the events can be run safely and effectively. Making early decisions regarding cancellation will help to control and minimise any losses. | | | Level of Risk acceptable? Y/N | Continuing use of specialist first aid, security providers for high risk events and the third party H&S Consultant to assist with both internal procedures and event delivery. | | | | | |
| | Category | | | | | | | Yes | | | | | | |
| | Why have you drawn this conclusion? | | | | | | | Successful events delivery where serious injuries, near fatal, have been actively managed. Before, during and after checklists, and internal reporting the investigative procedures. With regard to cancellation, 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. | | | | | | |
| | 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 |
| | | 4 | 4 | 16 | 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 | | | | | | |
| | Why have you drawn this conclusion? | | | | | | | Policy in place and Training attended by all members of staff. | | | | | | |
| | Owner | | | | | | | Inherent/Fundamental Risk (E) | | Direct budget mgt by RFO/Clerk | | Target Risk (M) | | |
| | | | | | | | | | | | | | | |

COLNE TOWN COUNCIL RISK REGISTER

| | | | | | | | | | | |
|--|--------|---|------------|--------|------------|------------|--|--------|------------|------------|
| Produced by : Gina Langley - TOWN CLERK/RFO | | Date : March 2024 - review by March 2025 | | | | | | | | |
| 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 2024 - review by March 2025 | | | | | | | | | | | |
|---|---|---|------------|------------|---|------------|------------|---|------------|------------|---|------------|------------|
| 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 three well trained Lengthsmen. | | | Level of Risk acceptable? Y/N Yes | | | Standard Operational Procedures to be implemented covering key areas of delivery. | | |
| | Category | | | | | | | 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. | | | | | |
| | 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 | 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. Internal Controls document. Internal and External Audit confirming strong internal controls are in place. Precept now received in four equal installments limiting the availability of resources. Fidelity insurnace of £2m in place. | | | Level of Risk acceptable? Y/N Yes | | | To create an Asset Risk Register once a new condition survey has been completed. | | |
| | Category | | | | | | | 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. | | | | | |
| | 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 | Impact | Likelihood | Risk Score |
| | 4 | 4 | 16 | 3 | 2 | 6 | 2 | 2 | 4 | | | | |
| 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 exercisce is undertaken with regular review of the project by Town Clerk / RFO. | | | Level of Risk acceptable? Y/N Yes | | | 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 | | | | | | | Why have you drawn this conclusion? Track record of project delivery has been relatively sound. System of stage payments with 5% retention in operation. Experience gained from any previous projects will influence decisions made and actions taken. | | | | | |
| | 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 | 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 | | | To continue to ensure that there is open communication with Contract Managers, and that RAMs are requested for all non-routine works. More frequent reviews with contractors to establish any issues with service delivery and/or specification frequency. To monitor workloads and train the Lengthsmen to cover / assist with tasks as and when required. | | |
| | Category | | | | | | | Why have you drawn this conclusion? Obtaining Risk assessments and Method Statements for all ad/hoc jobs will help to further reduce this risk. Contracts Officer to actively manage contractor performance and indentify any barriers to achieving the standards set. Three in-house Lengthsmen who could assist if deemed necessary. | | | | | |
| | 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 | Impact | Likelihood | Risk Score |
| | 3 | 5 | 15 | 3 | 2 | 6 | 2 | 2 | 4 | | | | |