

TODMORDEN TOWN COUNCIL RISK REGISTER

Updated February 2020 -

Produced by : Colin Hill - Town Clerk/RFO		Date : February 2020 - review March 2021						
No.	Risk, Category & Owner (A), (C) & (D)	Scope of the risk & Comments (B)	How the risk is managed at present (F)			Tolerance Level of Risk (H)		What controls are to be implemented (K)
1	Public injured in buildings or on council facilities including Lobb Mill, Patmos Gardens, Vale Baptist Land	The public or staff or Councillors are injured as a result of activity or non action of the Council including delivery of events	Tenants of offices and responsibility falls to Landlord (Calderdale MBC) re statutory checks. Fire evacuation process in place. Land sites regularly maintained.			Level of Risk acceptable? Y/N		Inclusion within Database to ensure all inspections carried out when due
	Yes							
	Why have you drawn this conclusion?							
	Claims record, Grounds Mtc contract in place to manage appearance and safety of site, but need to introduce formal checks - initially quarterly. Tree inspection now in place.							
Category	Legal	Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)		Date for Completion (L)	
Owner	C Hill	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	
		3	3	9	3	2	6	
							Target Risk (M)	
							Impact	
							Likelihood	
							Risk Score	
							2	
							2	
							4	
2	Hazardous substances	Exposure to Hazardous Substances	Tenants of offices and responsibility falls to Landlord (Calderdale MBC) re statutory checks. COSHH carried out by CMBC.			Level of Risk acceptable? Y/N		Specific site risk assessments
	Yes							
	Why have you drawn this conclusion?							
	Controlled access to areas of work and outsourcing of grounds maintenance for use of any sprays.							
Category	Legal	Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)		Date for Completion (L)	
Owner	C Hill	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	
		4	4	16	4	2	8	
							Target Risk (M)	
							Impact	
							Likelihood	
							Risk Score	
							4	
							1	
							4	
3	Vandalism	Vandalism & Graffiti affecting Council Assets / Buildings	Extrank Grounds Mtce to bring any issues to our attention.			Level of Risk acceptable? Y/N		Reporting of damage via service users ensures remedial action taken
	Yes							
	Why have you drawn this conclusion?							
	The social causes of vandalism are such that this cannot be controlled wholly within the Council. No recent history of vandalism to our specific sites.							
Category	Financial	Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)		Date for Completion (L)	
Owner	C Hill	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	
		3	4	12	2	3	6	
							Target Risk (M)	
							Impact	
							Likelihood	
							Risk Score	
							2	
							2	
							4	
4	Slump in sector/economy	Recession Income Decline Lack of growth	Efficiency Savings Seek Alternative sources of work Staffing Reductions			Level of Risk acceptable? Y/N		Monitoring of workloads and delivery will determine whether need to recruit within to take on increased activity. Some consolidation will enable service delivery to be embedded and deliver to respond to economic drivers.
	Yes							
	Why have you drawn this conclusion?							
	Current trajectory is potential further growth as TTC seek to deliver more , but a period of consolidation in place for 12 months. Low income reliance other than Precept.							
Category	Financial	Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)		Date for Completion (L)	
Owner	C Hill	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	
		5	3	15	3	3	9	
							Target Risk (M)	
							Impact	
							Likelihood	
							Risk Score	
							3	
							2	
							6	
5	Lack of resources	Staff, Office accommodation, equipment etc.	Prioritisation - Focus on key areas of delivery, Efficiency savings, Service Planning, Leadership Effective management ,Recruitment Procedures, Staff restructuring, increased financial reserves			Level of Risk acceptable? Y/N		Monitoring of workloads and delivery will determine whether need to externalise service
	Yes							
	Why have you drawn this conclusion?							
	Budget resources are sufficient to meet known commitments. Staffing currently sufficient following Feb 2020 , restructure .							
Category	Financial	Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)		Date for Completion (L)	
Owner	C Hill	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	
		5	4	20	3	3	9	
							Target Risk (M)	
							Impact	
							Likelihood	
							Risk Score	
							3	
							2	
							6	

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6	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. Fidelity Insurance in place.			Level of Risk acceptable? Y/N Yes			Opening/closing of buildings plus occupation minimises potential. Town Hall and Town Hall Annex Alarm systems are monitored and staff call out procedure in place.Internal contols process and fidelity insurance cover £500k in place.		
	Category					Why have you drawn this conclusion? Prominent location, fully alarmed and robust intrernal process in place with external accountant overview of any financial irregularity.					
	Financial					Date for Completion (L) ongoing					
	Owner	Inherent/Fundamental Risk (E)	Residual/Remaining Risk (G)			Target Risk (M)					
	C Hill	Impact Likelihood Risk Score	Impact Likelihood Risk Score	Impact Likelihood Risk Score	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						
7	Poor Image/Reputation	Loss of reputation, profile of service declines, poor delivery of service, damage to land areas owned .	Effective management Communications/Media Relations Councillor focus Internal Promotion			Level of Risk acceptable? Y/N Yes			Operational responsibilities reviewed on change of service delivery and or incident.		
	Category					Why have you drawn this conclusion? Regular dialogue by TC with Members Small unit control					
	Customer					Date for Completion (L) ongoing					
	Owner	Inherent/Fundamental Risk (E)	Insurance cover - Vandalism Bus Shelters/Playgrounds			Target Risk (M)					
	C Hill	Impact Likelihood Risk Score	Impact Likelihood Risk Score	Impact Likelihood Risk Score	Impact Likelihood Risk Score	Impact Likelihood Risk Score	Impact Likelihood Risk Score	Impact Likelihood Risk Score			
		4 3 12	3 3 9		3 1 3						
8	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 External accountant end of year close down Rialtas budget system in place Scheme of delegation in place Year end procedures in place			Level of Risk acceptable? Y/N Yes			Cashflow and reserves reconciliation undertaken monthly in order to inform Members of ongoing total financial capability. Carry out annual review of Financial Effectiveness that is reviewed and minute at a Full Council meeting. Reserves Policy in course and creation of Earmarked Reserves to enable increase in awareness should day to day financial pressures be seen.		
	Category					Why have you drawn this conclusion? Regular production of budget monitoring at Full Council and schedule of payments made and outcome of Internal and External Auditors reports.					
	Financial					Date for Completion (L) On Going					
	Owner	Inherent/Fundamental Risk (E)	Residual/Remaining Risk (G)			Target Risk (M)					
	C Hill	Impact Likelihood Risk Score	Impact Likelihood Risk Score	Impact Likelihood Risk Score	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						
9	Fire	Outbreak of Fire	Smoke alarms and CMBC responsible for 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 Yes			Building specific protocols Ongoing programme of risk Assessments		
	Category					Why have you drawn this conclusion? Building FRA by CMBC					
	Physical					Date for Completion (L) Target Risk (M)					
	Owner	Inherent/Fundamental Risk (E)	Residual/Remaining Risk (G)			Target Risk (M)					
	C Hill	Impact Likelihood Risk Score	Impact Likelihood Risk Score	Impact Likelihood Risk Score	Impact Likelihood Risk Score	Impact Likelihood Risk Score	Impact Likelihood Risk Score	Impact Likelihood Risk Score			
		5 3 15	4 3 12		4 2 8						
10	Contractor failure	Unfinished Works on site, timescale delivery implications	Historical use of Calderdale MBc fro grounds maintenance plus local use with good experience of delivery. Contractor Assessment and Contract Monitoring low risk.			Level of Risk acceptable? Y/N Yes			Construction line and CHAS Accreditation if applciable		
	Category					Why have you drawn this conclusion? Existing panel of providers well tested and reliable. Any additional contractor use to be subject to CHAS/Construction Line validation.					
	Contractual					Date for Completion (L) Ongoing					
	Owner	Inherent/Fundamental Risk (E)	Residual/Remaining Risk (G)			Target Risk (M)					
	C Hill	Impact Likelihood Risk Score	Impact Likelihood Risk Score	Impact Likelihood Risk Score	Impact Likelihood Risk Score	Impact Likelihood Risk Score	Impact Likelihood Risk Score	Impact Likelihood Risk Score			

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		3	5	15	3	3	9		3	2	6		
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11	Loss of Key Staff	Qualified Staff moving onto other employers			On the Job Shadowing Staff Appraisal Training			Level of Risk acceptable? Y/N Yes			Monitoring of workloads and delivery of outputs and mentoring for two new appointments.		
	Category							Why have you drawn this conclusion? Opportunity for staff to learn Current job market unlikely to lead to moving					
	Human Resources												
	Owner	Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)								
	C Hill	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Date for Completion (L)		
		4	4	16	3	4	12	3	3	9	ongoing		
											Target Risk (M)		
											Impact	Likelihood	Risk Score
											3	3	9
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)		
12	Stress/Long Term Illness	Excessive Workloads, Tight Deadlines, Unreasonable expectations, Lack of awareness from Members of staffing resource implications of additional calls on staffing.			Stress Counselling & Risk Analysis Therapeutic Return to Work Absence Monitoring and Policy Prioritisation Time Management Effective Delegation/ Workload Distribution Stress Risk assessments			Level of Risk acceptable? Y/N Yes			Ongoing monitoring of attendance. Restructure Feb 2020.		
	Category							Why have you drawn this conclusion? Flexibility within office to manage this . Low sickness levels.					
	Human Resources												
	Owner	Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)								
	C Hill	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Date for Completion (L)		
		4	4	16	3	3	9	3	2	6	ongoing		
											Target Risk (M)		
											Impact	Likelihood	Risk Score
											3	2	6

No.	Risk, Category & Owner (A), (C) & (D)	Scope of the risk & Comments (B)			How the risk is managed at present (F)			Tolerance Level of Risk (H)			What controls are to be implemented (K)		
13	IT Failure	IT infrastructure, External contractors from web site, content management, email, Financial systems, Asset register Communication Systems ,Desktop Computing Applications			Use of external providers for specific element. Use of Calderdale MBC infrastructure but poor broadband line capacity.			Level of Risk acceptable? Y/N Yes			Either relocation of Office to Town Hall to benefit from improved in frastructure or if does not proceed upgrade within existing, subject to band width.		
	Category							Why have you drawn this conclusion? Frequency of incident is manageable but occasional impact on operational effecyiveness.					
	Technological												
	Owner	Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)								
	C Hill	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Date for Completion (L)		
		5	4	20	4	3	12	4	2	8	June-20		
											Target Risk (M)		
											Impact	Likelihood	Risk Score
											4	2	8
No.	Risk, Category & Owner (A), (C) & (D)	Scope of the risk & Comments (B)			How the risk is managed at present (F)			Tolerance Level of Risk (H)			What controls are to be implemented (K)		
14	Political Change	Political changes alter the policy and funding of the service.			Monitoring and Service Planning to realign to Members priorities			Level of Risk acceptable? Y/N Yes			Monitoring of workloads and delivery of outputs Internal thought to be given towards joined up services with other authorities		
	Category							Why have you drawn this conclusion? At Town Council level not as susceptible to policy change					
	Political												
	Owner	Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)								
	C Hill	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Date for Completion (L)		
		3	3	9	3	2	6	3	1	3	ongoing		
											Target Risk (M)		
											Impact	Likelihood	Risk Score
											3	1	3
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)		
15	Financial Pressures	Budget Cuts, Declining Income (Rents) Increased costs - Energy, Rates etc			Budget Monitoring . No major overhead costs, Grants discretionary to award, Earmarked Reserves, no high risk direct service exposure, no building exposure.			Level of Risk acceptable? Y/N Yes			Better VFM Approach		
	Category							Why have you drawn this conclusion? Ability to raise precept to cover increasing costs or because of small service provision opportunity to step back from delivery as non statutory.					
	Financial												
	Owner	Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)								
	C Hill	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Date for Completion (L)		
											Ongoing		
											Target Risk (M)		
											Impact	Likelihood	Risk Score

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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)																																																																																					
16	Legislative Change			Changes in legislation are not identified or have an adverse impact on Service (Rating changes, EPC, DECs)			Networks - Professional contacts Service Planning Local Authority Associations Impact Analysis Consultations			Level of Risk acceptable? Y/N Yes			Ongoing monitoring using professional bodies, contacts and networking																																																																																					
	Category									Why have you drawn this conclusion? Speed of change is usually slow with sufficient lead in times to adjust service requirements			Date for Completion (L) ongoing																																																																																					
	Legal			Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)						Target Risk (M)																																																																																					
	Owner C Hill			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																																																																																				
17	Fraud			External parties making false claims, false invoices, Internal Abuse			Verifications, Due Diligence, References, Management Checks, Separation of Duties, Reconciliations, Original Evidence, Gift and hospitality register			Level of Risk acceptable? Y/N Yes			Half yearly internal audit and cash reconciliation undertaken. Insurance cover implemented. Plans to increase security on online banking procedures.																																																																																					
	Category									Why have you drawn this conclusion?			Date for Completion (L) Ongoing																																																																																					
	Financial			Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)						Target Risk (M)																																																																																					
	Owner C Hill			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																																																																																				
18	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			Level of Risk acceptable? Y/N Yes			Before commitment Members to identify if any resourcing issues of substance as barrier to achieve																																																																																					
	Category									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.			Date for Completion (L) Ongoing																																																																																					
	Human Resources			Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)						Target Risk (M)																																																																																					
	Owner C Hill			Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score																																																																																			
			5	5	25	3	3	9				3	2	6																																																																																				
19	Events Risk			Events delivery activity is limited to Christmas Lights.			By following the Event Safety Purple Guide, Insurers guide, and preparing for each Event with a Management and Event Safety plan.			Level of Risk acceptable? Y/N Yes			Continuing use of specialist first aid providers for any high risk events																																																																																					
	Category									Why have you drawn this conclusion? Successful events delivery where serious injuries, near fatal, have been actively managed.			Date for Completion (L) Ongoing																																																																																					
	Health and Safety			Inherent/Fundamental Risk (E)			Direct budget mgt by CEO						Target Risk (M)																																																																																					
	Owner C Hill			Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score																																																																																			
			4	3	12	3	3	9				3	2	6																																																																																				
20	Data Protection and GDPR			Recent UK Data protection legislation and EU GDPR legislation gives specific requirement around only using personal data for limited reasons and keeping all data safe. Also, requiring leaks to be reported to ICO.			Todmorden 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 Yes			Ongoing training needed for staff and councilors and monitoring for leaks. Continued Monitoring of Legislation changes post Brexit.																																																																																					
	Category									Why have you drawn this conclusion? Policy in place			Date for Completion (L) Ongoing																																																																																					
	Legal/Reputation/Financial			Inherent/Fundamental Risk (E)			Direct budget mgt by CEO						Target Risk (M)																																																																																					
	Owner																																																																																																	

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21	Operational Management /Delivery of Enabling Services	Increasing volume of enabling role could fail in the event of lack of staff resource and knowledge availability	Day to day delivery is strong and use of outsourced providers re Grounds maintenance. Enabling role is discretionary and could be drawn back.			Level of Risk acceptable? Y/N Yes			Standard Operational Procedures to be implemented covering key areas of delivery. Date for Completion (L) Ongoing Target Risk (M)		
	Category		Recent contract renewed and staff have a good practical understanding of systems and processes. However no formal Standard Operating Procedures are in place and this remains a risk			Impact Likelihood Risk Score					
	Legal/Reputation/Financial		Direct budget mgt by CEO			Impact Likelihood Risk Score					
	Owner		Inherent/Fundamental Risk (E)			Impact Likelihood Risk Score					
	C Hill		5	4	20	5	3	15			
22	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 reserves as part of Policy help to manage this situation.			Level of Risk acceptable? Y/N Yes			Financial Risk Register,Asset Risk Register,Internal Controls Document. Date for Completion (L) March-21 Target Risk (M)		
	Category		Monthly production of financial information and external scrutiny of accountant minimise risk of misuse. Further introduction of a Financial Risk Register,Asset Risk Register and Internal Controls Document will complet the suite of Financial Risk Management Documents for good governance.			Impact Likelihood Risk Score					
	Legal/Reputation/Financial		Direct budget mgt by CEO			Impact Likelihood Risk Score					
	Owner		Inherent/Fundamental Risk (E)			Impact Likelihood Risk Score					
	C Hill		4	4	16	4	3	12			