

## TODMORDEN TOWN COUNCIL RISK REGISTER

Updated Feb 2021

Produced by : Colin Hill - Town Clerk/RFO		Date : February 2021 - review March 2022											
No.	Risk, Category & Owner (A), (C) & (D)	Scope of the risk & Comments (B)			How the risk is managed at present (F)			Tolerance Level of Risk (H)			What controls are to be implemented (K)		
1	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 Yes			Inclusion within Database to ensure all inspections carried out when due		
	Category							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.					
	Legal										Date for Completion (L) <b>Delayed but Quarterly checks to commence July 2021</b>		
	Owner C Hill	Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)			Target Risk (M)					
		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score
		3	3	9	3	2	6	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 Yes			Specific site risk assessments		
	Category							Why have you drawn this conclusion? Controlled access to areas of work and outsourcing of grounds maintenance for use of any sprays.					
	Legal										Date for Completion (L) Ongoing procedure.		
	Owner C Hill	Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)			Target Risk (M)					
		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score
		4	4	16	4	2	8	4	1	4			
3	Vandalism	Vandalism & Graffiti affecting Council Assets / Buildings			External Grounds Mtce to bring any issues to our attention.			Level of Risk acceptable? Y/N Yes			Reporting of damage via service users ensures remedial action taken		
	Category							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.					
	Financial										Date for Completion (L) Ongoing		
	Owner C Hill	Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)			Target Risk (M)					
		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score
		3	4	12	2	3	6	2	2	4			
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 Yes			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.		
	Category							Why have you drawn this conclusion? Current trajectory is potential further growth as TTC seeks to deliver more , but a period of consolidation in place for 12 months. Low income reliance other than Precept.					
	Financial										Date for Completion (L) ongoing		
	Owner C Hill	Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)			Target Risk (M)					
		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			
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 Yes			Monitoring of workloads and delivery will determine whether need to externalise service		
	Category							Why have you drawn this conclusion? The build up of financial reserves has provided a buffer to mmet ocntn gncy ckst if they rise.					
	Financial										Date for Completion (L) On Going		
	Owner C Hill	Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)			Target Risk (M)					
		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	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)		
6	<b>Theft/Misappropriation</b>	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 is carried out by CMBC. Occupation minimises potential theft. Internal controls process and fidelity insurance cover £500k in place.		
	Category							Why have you drawn this conclusion? Prominent location, fully alarmed and robust internal process in place with external accountant overview of any financial irregularity. Fidelity Insurance in place £500k					
	<b>Financial</b>	Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)			Date for Completion (L) ongoing			Target Risk (M)		
	Owner C Hill	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	<b>Poor Image/Reputation</b>	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					
	<b>Customer</b>	Inherent/Fundamental Risk (E)			Insurance cover - Vandalism Bus Shelters/Playgrounds			Date for Completion (L) ongoing			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	1	3			
8	<b>Budget Management</b>	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.					
	<b>Financial</b>	Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)			Date for Completion (L) On Going			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			
9	<b>Fire</b>	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					
	<b>Physical</b>	Inherent/Fundamental Risk (E)			Residual/Remaining Risk (G)			Date for Completion (L) Target Risk (M)			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	4	3	12	4	2	8			
10	<b>Contractor failure</b>	Unfinished Works on site, timescale delivery implications			Historical use of Calderdale MBC for 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 applicable. CMBC use own staff for grounds mtce		
	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.					
	<b>Contractual</b>	Date for Completion (L) Ongoing											

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		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score			
	Owner C Hill	3	5	15	3	3	9	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)		
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 Why have you drawn this conclusion? Opportunity for staff to learn Current job market unlikely to lead to moving			Monitoring of workloads and delivery of outputs and continued mentoring.		
	Category Human Resources										Date for Completion (L) ongoing		
	Owner C Hill	4	4	16	3	4	12	3	3	9	Target Risk (M)		
		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score			
		3	4	12	3	4	12	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 Why have you drawn this conclusion? Flexibility within office to manage this . Low sickness levels.			Ongoing monitoring of attendance.		
	Category Human Resources										Date for Completion (L) ongoing		
	Owner C Hill	4	4	16	3	3	9	3	2	6	Target Risk (M)		
		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score			
		4	4	16	3	3	9	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 Why have you drawn this conclusion? Frequency of incident is manageable but occasional impact on operational effectiveness.			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 Technological										Date for Completion (L) June-20		
	Owner C Hill	5	4	20	4	3	12	4	2	8	Target Risk (M)		
		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score			
		5	4	20	4	3	12	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 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 if political direc tion to do so.		
	Category Political										Date for Completion (L) ongoing		
	Owner C Hill	3	3	9	3	2	6	3	1	3	Target Risk (M)		
		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score			
		3	3	9	3	2	6	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 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.			Better VFM Approach		
	Category Financial										Date for Completion (L) Ongoing		
	Owner										Target Risk (M)		

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	C Hill		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score
			5	4	20	4	3	12	3	3	9
16	Legislative Change Category Legal	Changes in legislation are not identified or have an adverse impact on Service (Rating changes, EPC, DEC's)	Networks - Professional contacts Service Planning Local Authority Associations Impact Analysis Consultations			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			Ongoing monitoring using professional bodies, contacts and networking Date for Completion (L) ongoing Target Risk (M)		
	Owner C Hill	Inherent/Fundamental Risk (E)	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score
			5	3	15	3	3	9	3	2	6
17	Fraud Category Financial	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 Why have you drawn this conclusion? One incident of unauthorised access to bank account and resolved immediately because of close monitoring of bank account. All invoices verified against work carried out.			Half yearly internal audit and cash reconciliation undertaken. Insurance cover implemented. Increase security on online banking procedures. Date for Completion (L) Ongoing Target Risk (M)		
	Owner C Hill	Inherent/Fundamental Risk (E)	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. Category Human Resources	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 Why have you drawn this conclusion? Members understand the need to consider both financial and staffing resource. No changes proposed re any taking in of direct services from CMBC.			Before commitment Members to identify if any resourcing issues of substance as barrier to achieve Date for Completion (L) Ongoing Target Risk (M)		
	Owner C Hill	Inherent/Fundamental Risk (E)	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score
			5	5	25	3	3	9	3	2	6
19	Events Risk Category Health and Safety	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 Why have you drawn this conclusion? Successful events delivery where serious injuries, near fatal, have been actively managed.			Continuing use of specialist first aid providers for any high risk events Date for Completion (L) Ongoing Target Risk (M)		
	Owner C Hill	Inherent/Fundamental Risk (E)	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 Category Legal/Reputation/Financial	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 Why have you drawn this conclusion? Policy in place and no incidents of breach reportable.			Refresher training needed for staff and councillors. Continued Monitoring of Legislation changes post Brexit. Date for Completion (L) Ongoing		



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		Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	Impact	Likelihood	Risk Score	
21	Operational Management /Delivery of Enabling Services	4	4	16	4	3	12	3	2	6	
	Category	Legal/Reputation/Financial									
	Owner	C Hill									
	Scope of the risk & Comments (B)	Increasing volume of enabling role could fail in the event of lack of staff resource and knowledge availability									
How the risk is managed at present (F)		Day to day delivery is strong and use of outsourced providers re Grounds maintenance. Enabling role is discretionary and could be drawn back.									
Tolerance Level of Risk (H)		Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? 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									
What controls are to be implemented (K)		work in progress - Standard Operational Procedures to be implemented covering key areas of delivery.									
Date for Completion (L)		Ongoing									
22	Financial Risk Management	5	4	20	5	3	15	4	2	8	
	Category	Legal/Reputation/Financial									
	Owner	C Hill									
	Scope of the risk & Comments (B)	Increases in Precept and cash availability could lead to wrong use of financial resources and have catastrophic effect.									
How the risk is managed at present (F)		Strong financial controls and separate financial reserves as part of Policy help to manage this situation.									
Tolerance Level of Risk (H)		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 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.									
What controls are to be implemented (K)		Financial Risk Register,Asset Risk Register,Internal Controls Document are in palce									
Date for Completion (L)		Ongoing									
23	Operational Management /Delivery of Enabling Services	4	4	16	4	3	12	3	3	9	
	Category	Legal/Reputation/Financial									
	Owner	C Hill									
	Scope of the risk & Comments (B)	Offices are not accessible due to flooding .									
How the risk is managed at present (F)		Offices are maintained by Calderdale MBC. Flooding incident infrequent and offices accessible after a few days.									
Tolerance Level of Risk (H)		Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? Recent flooding indicated that out of action for just a few days. File access would be very limited but copies of key documents could be set up off line.									
What controls are to be implemented (K)		Consideration on either transfer to alternative offices or use existing set up for home working VPN access into shared files.									
Date for Completion (L)		Ongoing									
24	Coronavirus - office available	4	4	16	3	3	9	3	2	6	
	Category	Legal/Reputation/Financial									
	Owner	C Hill									
	Scope of the risk & Comments (B)	Offices are not accessible due to Covid 19 restrictions									
How the risk is managed at present (F)		General access to College is maintained by Calderdale MBC. Office is not currently Covid19 compliant .									
Tolerance Level of Risk (H)		Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? Covid 19 compliance can be put in place at relatively low cost on confirmation of offices reopening. Wil require phased working to allow maximum of two given space constraints.									
What controls are to be implemented (K)		Covid compliance plus consideration to transfer to alternative larger offices. Home working VPN access established.									
Date for Completion (L)		May-21									
25	Coronavirus - Staff impact	4	4	16	3	3	9	3	2	6	
	Category	Legal/Reputation/Financial									
	Owner	C Hill									
	Scope of the risk & Comments (B)	Staff contract covid 19 and are incapacitated- temporary or long term.									
How the risk is managed at present (F)		Staff are working from home and with limited access to office.									
Tolerance Level of Risk (H)		Level of Risk acceptable? Y/N Yes Why have you drawn this conclusion? The capability of working from home has been established.									
What controls are to be implemented (K)		IT secure use of web mail and shared access protocols via Anydesk.									

