

OSWESTRY TOWN COUNCIL - CORPORATE RISK REGISTER 2020/21 (Reviewed by Council 2021) - CURRENT RISKS

| Risk No | Description of Risk | Impact | Current Controls in Place (if known) | Likelihood | Impact | Risk Score | Risk Priority | Additional Controls | Implementation date of additional controls | Residual Risk Level |
|---------|---|---|--|------------|--------|------------|---------------|--|--|---------------------|
| 2 | Inadequate financial resources to deliver Town Council services | Inability to meet increased demand for Town Council services. Failure to complete or provide services. Low public perception. Services provided at a lower standard. | Strong financial management procedures including budget setting & monitoring Decision made to reduce or cease non-essential services if required. Increased income revenue from other Town Council services (i.e. car parks) annual review of all charges Review of reserves and financial strategy Corporate action plan and regular monitoring | 2 | 5 | 10 | Moderate | Corporate prioritisation and planning in progress by the new Council | New Council 2021 | Moderate |

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| 12 | Failure of staff and Councillors to accurately prepare budget and manage the Town Council's cash flow effectively and have adequate levels of reserves | Financial impact to deliver services. | <p>Adequate reserves and reserve policy in place.</p> <p>Budget forecasts prepared</p> <p>Quarterly budget monitoring.</p> <p>Experienced & qualified staff & periodic financial training.</p> <p>NALC advice on Government changes and legislation risks that may affect income.</p> | 2 | 4 | 8 | Moderate | Corporate prioritisation and medium term financial plan | New Council 2021 | Moderate |

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| 13 | Insufficient income generation through various factors (economic recession, town centre decline, planning applications, developments, car parks and market income) | Inability to deliver Town Council services in full or part. | Strong financial management procedures including income monitoring Robust budget setting process Business continuity plans Reserves | 2 | 5 | 10 | Moderate | | | Moderate |
| 47 | Smithfield receipts and requirement to invest and/or use capital where possible to generate income | Need to maximise investment return. Reputational risk | Will be invested with various low risk institutions to spread risk with regular reports to F&GP. Professional advice can be sought on investments. Policy in place Consideration as part of budget setting process & development of capital programme | 2 | 4 | 8 | Moderate | | | Moderate |

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| 3 | Failure of Corporate Governance arrangements resulting in critical audit or inspection report. | Reputational damage. Major media interest. Impact on recruitment and retention of staff. | Management procedures in place Standing orders & financial regulations Internal and external audit work planned and carried out in key areas. Experienced & qualified staff Code of Corporate Governance Risk management strategy | 1 | 3 | 3 | Low | | | Low |

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| 4 | Loss or long term absence of key staff results in inability to deliver timely Town Council services. | Delay or inability to deliver Town Council services. Effect on capacity of remaining staff. | Management procedures in place Shared files and management information Staffing review undertaken and new structure implemented. HR advice through Service Level Agreement Regular staff meetings Corporate Management Team | 2 | 3 | 6 | Tolerable | | | Tolerable |
| 5 | Failure of business continuity arrangements following loss of access to Guildhall from fire, flood or disaster. | Corporate services to public compromised or undeliverable. | Business continuity arrangements in place. Fire risk assessment undertaken. High specification fire alarm system in place Remote (cloud based) storage to mitigate risk of data breaches COVID 19 Risk assessment in place | 3 | 4 | 12 | Moderate | Review business continuity planning in light of coronavirus pandemic. Ability to work remotely needs to be improved | Town Clerk from July, complete by December | Moderate |

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| 8 | Failure to prepare for and adapt to adverse weather conditions | Severe weather causing major incident. Failure to deliver services. Loss of income in car parks and markets. | Changes to service delivery as priorities dictate. Support from Shropshire Council Business continuity insurance in place. Investment in equipment | 1 | 3 | 3 | Low | | | Low |
| NEW | Failure to respond to pandemic and / or significant health crisis | Inability to deliver services Impact on council revenue Staffing implications Demand on Council services Impact on governance arrangements | Risk assessment in place and contingency planning Establishment of Corporate Management Team to communicate and manage situations as they arise Lessons learnt from Covid pandemic Strong partnership arrangements with Shropshire Council and others | 3 | 4 | 12 | Moderate | Review of business continuity planning in light of pandemic to include lessons learnt | Town Clerk from July, complete by December | Moderate |

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| 6 | Sustained failure of IT systems resulting in loss of or access to data. | Inability to deliver Town Council services. | <p>Remote (cloud based) storage to mitigate risk of data breaches and enable business continuity</p> <p>Contract reviewed on a regular basis.</p> <p>Remote back up software.</p> <p>Additional IT support to enable remote working</p> | 2 | 4 | 8 | Tolerable | Implement IT policies | Autumn 2021 | Tolerable |
| 7 | Changes to elected Members result in different emphasis on priorities. | Potential shift in service delivery priorities/ outcomes. | <p>Experienced & qualified staff</p> <p>Training for Members (induction)</p> | 2 | 3 | 6 | Tolerable | Corporate plan for the new Council | New Council 2021 | Low |

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| 10 | Failure to respond to major incident, act of terrorism or civil unrest or major pandemic (i.e. postal bomb) | Loss of essential services, utilities or suppliers. Request for mutual aid from partner organisations to support their response. Major media involvement. Test of community resilience | Dialogue and engagement with neighbouring Councils in place. Good relationship with Police and Fire Service. Support from Shropshire Council emergency advisors. Scheme of delegation in place Prioritisation Management structure and approach to contingency planning Additional IT support to enable remote working | 1 | 4 | 4 | Low | Review business continuity planning in light of coronavirus pandemic. Ability to work remotely needs to be improved. Role of the Council in local resilience partnership needs to be reviewed | Town Clerk from July, complete by December | Low |

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| 11 | Failure to have adequate insurance cover in place. | Inability to manage claims received from staff/ public. | Regular monitoring of adequacy of cover. Annual insurance reviews. Robust management of health and safety issues with external contract in place. Risk management | 1 | 5 | 5 | Tolerable | | | Tolerable |

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| 15 | Failure to have health & safety procedures in place, leads to staff and Members of the public being put at risk. | Injury to staff. Possible injury to member of the public. Potential claims against the Town Council. | <p>Risk assessments undertaken for Council activity</p> <p>Risk assessments undertaken for events organised by the Council</p> <p>Procedures in place for all events involving OTC</p> <p>H&S training for staff.</p> <p>PPE provided</p> <p>Maintenance and inspection regime in place for equipment</p> <p>External H&S consultant contract in place</p> <p>Tree survey carried out</p> | 2 | 5 | 10 | Moderate | Need to review the Health and Safety Arrangements for the Council | Corporate Management Team 2021/22 financial year | Moderate |

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| 18 | Old School House (former Visitor and Exhibition Centre). Grade II Listed timber framed building, operational and structural. | Possible injury to staff or member of the public. Potential claims against the Town Council. Reputational damage. Closure due to structural issues. | Regular smoke alarm tests and maintenance contracts in place. Evacuation plan in place with two staircases at opposite ends of building for escape. Upgrade of all infrastructure Risk assessment carried out by Health and Safety Advisor Fire risk assessment | 2 | 3 | 6 | Tolerable | Delivery of business plan | Operations Manager July 2021 | Tolerable |

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| 19 | Loss of NABMA Contract | Loss of revenue, possible reputational damage. Threat to staffing levels. | <p>Successful service provided to NABMA over the last 10 years.</p> <p>Annual review of workload, impact and contract value.</p> <p>Contract extended to March 2022</p> <p>Alternative revenue sources sought</p> <p>Impact of pandemic on NABMA</p> | 3 | 4 | 12 | Moderate | | | Moderate |
| 26 | Street Lighting Contract | Failure to provide adequate safe street lighting. | <p>Contract monitoring arrangements in place with local contractor</p> <p>Good working relationship established with contractor</p> | 2 | 4 | 8 | Moderate | Implementation of LED street lights | Ongoing | Moderate |

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| 22 | Failure to provide decorative Christmas lights scheme | Failure to provide a satisfactory light display and safety assurances Public perception. Local economic impact. Loss of visitor attraction. Significant cost saving. | External Christmas lights contract providing safety inspections, H&S procedures and assurances, installation and storage. | 1 | 4 | 4 | Low | | | Low |
| 23 | Annual Public Bonfire | Possible injury to volunteers or members of the public. Potential claims against the Town Council. Reputational damage. Potential reduction in charitable fund. Land damage. Potential loss of income due to inclement weather. | Established & safe event with detailed planning and preparation Risk assessments provided by professional firework display company. Company also carry out the firing. | 1 | 1 | 1 | Low | Note: no bonfire evening in 2020 | | Low |

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| 27 | Council land and property rent reviews | Failure to carry out regular rent reviews could result in legal challenge and loss of income | Diary dates with Council solicitor . Six month review with archivist. All OTC property registered with the Land Registry. | 2 | 3 | 6 | Tolerable | | | Tolerable |
| 39 | Cemetery - lack of burial land | Legal challenge. Loss of service. | Land swop investigations with third party. | 2 | 5 | 10 | Moderate | Develop long term plan based on assessment by specialist consultants. | Cemetery Management Group | Low |
| 44 | Security all sites | Security compromised at OTC buildings Injury to members of the public | Intruder alarms in all buildings, maintenance contract of alarms. Emergency on-call contact. Signage & other measures in place to warn members of the public | 2 | 3 | 6 | Tolerable | | | Tolerable |

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| 46 | Equality legislation on service portfolio | Legal challenge. Litigation. | Consultants engaged on a need basis Policy review undertaken Additional staff training provided | 2 | 3 | 6 | Tolerable | | | Tolerable |
| 49 | General IT security | Breach of data protection and misuse of information | Data protection policies in place New IT system implemented to ensure compliance with GDPR Additional staff training provided | 3 | 4 | 12 | Moderate | Ongoing review needed, implementation of Internal audit recommendations following cyber security assess. Management of Cllrs e-mail addresses following elections | By December 2021 | Tolerable |

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| 32 | Failure to support the promotion of tourism in Oswestry | Failure to deliver the strategy in conjunction with partners. Reputational damage. Lead partner. Impact on services and income. | Working relationship with Oswestry and Borderlands Tourism On the Councils' work programme | 2 | 2 | 4 | Tolerable | Annual review of Service Level Agreement | Annually | Tolerable |
| 45 | Smithfield development | Development of site does not happen | Various legal agreements and planning consents Regular updates to Committee | 3 | 4 | 12 | Moderate | New lease agreement includes some penalty clauses linked to term extension | Jul-21 | Tolerable |
| 52 | General Data Protection Regulations | Increased accountability Increased fines and responsibility | Advice bulletins and training from SLCC & NALC Training for officers Additional staff training provided | 3 | 4 | 12 | Moderate | Annual review of schedule required | Annually | Moderate |

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| 9 | Failure of major provider/ key contractor results in service interruption. (i.e. Cae Glas) | Service failure or prolonged interruption. Requirement for Town Council to pick up service (financial implications) | Regular monitoring and review of all contracts. Regular reporting to Committee Good working relationships in place Prompt payment to contractors Access to professional legal support | 2 | 4 | 8 | Moderate | | | Moderate |

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| 17 | Inadequate management of public events. (E.g. Christmas Live, Band Concerts, Youth Music Festival, Continental Market, Food Festival) | Possible injury to staff or member of the public. Potential claims against the Town Council. Reputational damage. Potential reduction in revenue. | Insurance in place Procedures in place Risk assessment in place Member of OTC staff or representative present at events. Traffic management put in place. External security contract for Christmas Live. Adequate staffing/ marshalling arrangements in place. First aiders provided. West Mercia Police in attendance as appropriate. DBS guidance followed. PRS licences in place as appropriate. | 2 | 4 | 8 | Moderate | | | Moderate |