

BUSINESS RISK ASSESSMENT JANUARY 2016

Risk Assessment is an essential part of Business Planning and the attached table is intended as an aid to identifying and evaluating business risks.

Each risk area is assessed under 4 risk categories: Administration/Legal; Financial; Environmental and Physical/Professional.

Each category is scored High (3), Medium (2) and Low (1) for both **Likelihood of the risk occurring** and the **Severity of Impact** if it does. The two scores are then multiplied together to produce a risk score.

Any risks of 4 or more will require some action to minimise the Risk (see Operating Procedure 10) which is included within the annual Business Plan. The major risks are then summarised in the Risk table contained in the Business Plan.

The following are examples of possible risks in each area, but are not an exhaustive list.

Risk Area	Admin/Legal	Financial	Environmental	Physical/Professional
Allotments	Lack of lease to tenants/ions Lack of tenancy rules	Demand for additional allotments Failure to collect income or review charges	Poor maintenance Bonfires, composting, water supply	Health & Safety, vandalism, equipment provision & maintenance
Burial Services	Duty to take on closed churchyards	Demand to take over closed churchyards Failure to review charges	Maintenance, grass cutting, dog fouling, vandalism	Safety of headstones, water supply Maintenance of buildings/equipment
Bus Shelters	Highway licence/insurance	Cost of maintenance & replacement Advertising income	Design & position	Maintenance & cleaning Inspection & safety Vandalism
Car Parks	Failure to meet statutory requirements, parking orders Failure to enforce	Failure to review charges, collect income. Ticket control Failure to recognise operating/maintenance costs	Cleaning & litter control. Noise and emissions Travellers	Maintenance & surface repairs Equipment Safety Staff training Vandalism & theft from cars
Committee Services	Lack of procedure for summons to meetings, meeting papers, recording minutes/action Defamation	Unidentified meeting costs	Not reporting environmental implications of recommendations	Security at meetings Risk of injury Public abuse
Crime Prevention	Lack of liaison with Police, and Community Safety Partnership	Inadequate budget provision Increased PCSO costs or withdrawal of PCSO's	Link between good environment and crime levels	Vandalism, security of equipment Maintenance of CCTV
Economic Development & Regeneration	Lack of/out of date Regeneration Strategy/Town Centre Plan/Neighbourhood Plan Lack of Planning powers (Sec 106, Area Action Plan)	Lack of finance for regeneration and Neighbourhood Plan Long term budget allocation Cost of Congleton Partnership	Clean & attractive environment Air Quality Mgt areas Traffic flow/congestion	Public Realm improvements Trading estate improvements Town Centre development Neighbourhood Plan

Employment	Lack of contracts, Job description, conditions of service, Procedures Failure to comply with employment law Streetscape TUPE contracts	Non identification of costs National pay awards	Poor working environment Increased risk of additional Streetscape staff	Lack of training Loss of key staff/inability to recruit Protection of staff
Entertainment & the Arts	Absence of key staff/training Insurance Performance licences Agreements re local events & partnerships	Costs of services & box office control Ticket sales & income Contacts with artists, film provider etc Specific insurances	Noise pollution Vandalism	Health & Safety. Specific Risk Assessment Security Control of public
Financial Management	Lack of asset register Failure to comply with VAT or Audit Regulations	Not identifying Sec 137 spend Lack of financial records, payment systems Poor budgeting Inadequate bank/investment arrangements	Ethical purchasing & investment	Security for Cash
Governance	Lack of outdated Standing Orders, policies, strategy or Business Plan Ethical/Code of Conduct Election Issues	Lack of outdated Financial Regulations, Standing Orders for Contracts Full insurance cover for all risks and activities	Lack of acceptance of environmental responsibilities	No back-up copies Document security Confidentiality
Grants	Condition imposed on recipients Giving added value to Council's objectives	Cost of provision & value for money Grant applications Maintaining consistency	Environmental benefits	Administration of Scheme
Grounds Maintenance	Service level agreements & standards Insurance & public liability	Operating budget v income from CEC	Composting of waste Vandalism	Organisation of manpower Maintenance/lease of equipment
Highways	Highway management orders Street naming Maintenance Contracts Approvals for signage Approvals for street furniture Public Realm renewal	Cost of services Liability claims Claims for damage from third parties Cost of Public Realm Strategy	Cleaning Pollution	Maintenance Weeds Vandalism of signs, furniture
IT & Data Protection	Date protection registration & confidentiality Freedom of information &	Cost of maintenance, replacement or a crash	Suitable operating environment	Security of equipment and data Emergency plans, back-up IT maintenance contract

	publication schemes Liability of Web Site contents Licences for Software			
Land Holdings, Parks & Open Spaces	Power to purchase/maintain Security of deeds/lease & Asset Register	Budget, operating cost v income from CEBC & events	Vandalism, fly tipping Maintenance and disposal of waste Toilet provision	Health & Safety Maintenance & operation of manpower Maintenance of equipment Unauthorised access
Leisure Services	Leases for premises Service level agreements Refurbishment of existing facility	Cost of service & minimal income from CEBC Cost of wet side Future maintenance & modernisation of building & facilities User Income	Public health standards	Safety of users Operation of facilities Maintenance of equipment
Management Systems	Compliance with legal duties and returns Proper delegation/authorisation of functions Action planning, decision implementation	Lack of Performance Management	Environmental duties or responsibilities Transition Town	Health & Safety Quality system administration
Markets	Lease/service level agreements Agreements with stall holders Insurance	Cost of service provision/lease v income from stallholders & CEBC Review of charges Declining markets nationally	Hygiene standards & litter	Operation & maintenance Safety and public liability Occupation of vacant stalls Encroachment of stall holders Security of equipment Lack of expertise Moving market to new temporary location
Newsletter	Quality of publication Defamation Obligation for non political content	Cost of production & delivery	Failure to deliver Litter	Non production of newsletter Delivery
Paddling Pool	Lease & services contracts Vetting & Barring & Discrimination legislation	Budget Provision Implications of not charging Possible trade concessions Level of supervision	Pollution Vandalism	Health & Safety Maintenance & cleanliness Security Staff training
Play Areas	Lease, legal agreement with CEBC Maintenance of records	Add to Asset Register Cost of services as a consequence of transferring to CTC from CEBC Insurance	Maintenance of standards & vandalism Nuisances from misuse	Safety inspection & maintenance Opening & closing

Public Health/Nuisance	Legal administration of dealing with nuisance	Cost of delivery services	Matters prejudice to health	Cleaning drains/ditches etc Public Safety
Planning	Agreement with CEBC & statutory deadlines Maintenance of records/register Statutory consultee only Compliance with policies & guidelines	Cost of statutory Consultee & committee Cost of minor planning functions/income from applicants/CEBC	Environmental consideration of planning	Security of records Crime reduction consideration Operation of service Professional advice
Property, Treasures & Records	Legal liability as a result of asset ownership	Cost of maintaining & displaying	Controlled environment	Security & public access Loss or damage
Public Lighting	Contracts with service providers Asset maintenance	Operating & maintenance costs Cost of liability Insurance	Community safety Standards of lighting	Inspection & maintenance Dealing with complaints
Public Toilets	Public health legislation Public liability & asset registers	Operating costs with no income from CEBC Long term maintenance, refurbishment and operating of buildings Closure of Capitol Walk	Maintaining standards Vandalism	Contracts with cleaners Organisation of manpower & equipment Opening & supervision, security Water supply
Public Transport	Risks from community transport schemes/contract with providers Taxi concessions, Bus, train services	Full cost of services & insurance Misuse of concessions	Cycle paths/promotions Coordination of public transport	Control of tokens/vouchers etc Safety risks assessment
Street Cleaning	Legal standards & service levels Enforcement provisions	Operating budget v income from CEBC Insurance cover Overhead costs	Complaints re cleanliness Fly tipping/fly posters	Organisation of manpower Maintenance of equipment
Town Hall	Lack of leases, licences & service agreement Inadequate management	Failure to collect or maximise income Inadequate budget, financial Contracts Loss of Commercial Partner	Noise, Pollution, Flooding	Security, health & safety, building condition, particularly the roof, stock control
Tourism	Agreement with CEBC Partnership Arrangements	Grant applications Adequate budget provision		
War Memorials	Asset register Public liability & insurance	Cost of maintenance and refurbishment	Keeping tidy Vandalism/graffiti	Inspection and maintenance

BUSINESS RISK ASSESSMENT TABLES

Risk Area	Administration/Legal		Financial		Environmental		Physical/Professional		Observations	Actions for Business Plan
	Likelihood	Impact	Likelihood	Impact	Likelihood	Impact	Likelihood	Impact		
Allotments	L	M 2	M	M 4	L	L 1	M	M 4	Possible demand for more allotments, statutory duty. Lack of H&S by Association. Loss of Vale Allotments	Assess demand & costs Press for standards
Burial Services	L	H 3	M	H 3	L	L 1	L	M 2	Obligation for Closed Churchyard passed to CTC	Included in Streetscape operations
Bus Shelters	L	L 1	M	H 6	L	M 2	L	M 2	Possible cost of transferred service	Evaluate cost & negotiate funding
Car Parks	L	L 1	L	L 1	L	L 1	L	L 1	Changes to car park charges	Effect on business activity in Town
Committee Services	L	H 3	L	L 1	M	L 2	L	H 3	-----	-----
Crime Prevention	L	M 3	L	M 2	L	M 2	M	M 4	New Town Hall security procedure	Review Town Hall security procedure
Economic Development & Regeneration	M	M 4	M	H 6	L	H 3	M	M 4	Lack of planning powers & finance will hinder regeneration. Town Centre redevelopment and public realm strategy delays	Finalise Neighbourhood Plan. See 106 Community & CIL Infrastructure Levy. Encourage developers in the right areas
Employment	L	H 3	L	L 1	L	L 1	L	H 3	New Equality Act	Amend Personal procedure Succession Planning
Entertainment & the Arts	L	L 1	L	M 2	L	M 2	L	H 3	-----	Review security & safety at Town Hall events
Financial Management	L	L 1	M	H 6	L	M 2	L	L 1	Investment income/bank service Need to keep Precept	Review investment & tender banking. Careful evaluation of

									increases & cost of transferred services	service costs
Governance	L	H 3	M	H 3	L	M 2	M	M 4	Possible new ethical framework and removal of Code of Conduct Encourage Neighbourhood Plan to be adopted by CEBC and approved by Planning Inspector	Continue to train new council members in appropriate skills Build up Partnership
Grants	L	L 1	M	M 4	L	L 1	L	L 1	Possible increased costs of grants	Monitor Grant Scheme
Grounds Maintenance	L	H 3	M	H 6	L	M 2	M	M 4	Risks from taking on grounds maintenance	Monitor costs
Highways	L	M 2	M	L 2	L	M 2	M	M 4	Some risk from non maintenance of street furniture	-----
IT & Data Protection	M	M 4	L	M 2	L	L 1	M	M 4	Data protection implication	Review practices
Land Holdings, Parks & Open Spaces	L	L 2	L	M 2	L	L 1	L	L 1	-----	Monitor situation at Congleton park
Leisure Services	L	L 1	L	L 1	L	L 1	L	L 1	-----	-----
Management Systems	M	L 2	L	L 1	L	M 2	M	M 4	Maintenance of quality system Lack of progress with Wellbeing-possible general power of competence Renewal of Quality Town Council 2016	Review how will be maintained. Need to progress
Markets	M	H 6	H	H 9	M	L 2	M	H 6	Higher risk service when transferred to temporary location	Review costs, benefits of transfer
Newsletter	L	M 2	L	L 1	L	L 1	L	L 1	-----	-----
Paddling Pool	M	M 4	L	M 2	M	L 2	L	M 2	Risk of non compliance with vetting & barring	Monitor procedure adherence
Play Areas	M	M	M	H	M	M	M	M	Risk if transferred to	Proper evaluation

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Public Health/Nuisance	L	L 1	L	L 1	L	L 1	L	M 2	-----	-----
Planning	L	L 1	M	M 4	L	M 2	L	M 2	Capacity to respond to LDF	
Property, Treasures & Records	L	M 2	L	M 2	M	M 4	M	M 4	Poor environment. & security for ancient records	Need to speed through records to Museum
Public Lighting	L	L 1	L	L 1	L	L 1	L	L 1		
Public Toilets	M	H 6	M	H 6	M	M 4	M	M 4	Risks from additional cost And public dissatisfaction with service	Evaluate & make adequate provision
Public Transport	L	M 2	L	M 2	L	M 2	L	M 2		
Street Cleaning	L	H 3	M	H 6	M	M 4	M	H 6	Risk from providing services	Evaluate & make provision
Town Hall	L	M 2	M	M 4	L	H 3	L	H 3	Viability of Commercial partner	Review contracts and promote events
Tourism	L	L 1	L	L 1						
War Memorials	L	M 2	L	H 3	L	M 2	L	M 2	Developing refurbishment programme for Cenotaph & Community Garden	Inspect structure