

Corporate Risks Register May 2010

The risk			Risk score (impact x likelihood)			Managing risk				
Risk ref.	Risk description	Risk owner	Date raised	I	L	Score	Control	Action	Deadline	Responsible officer
CR1	If the council does not implement the recommendations arising from the public interest report and working group report and put in place preventative measures based on lessons learnt then there is a potential local and national reputation risk and potential adverse audit assessment.	Chief Executive Andrew North	22 March 2010	3	2	6	Reduce	All recommendations agreed by council. Action plan has been developed following discussions with officers and has been incorporated within the council's corporate strategy and will be reported through the corporate performance management system. Monitoring of the action plan is to be undertaken by the audit committee on a quarterly basis. Internal audit have set time aside in their audit plan	Deadlines as per the action plan. First monitoring report June 2010	Assistant Chief Executive Jane Griffiths

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CR2	If councillors and officers do not "draw a line" under the review and move forward as recommended by both the judge and KPMG there is a reputation risk, as well as a risk that further resource both financially and time could be incurred	Chief Executive Andrew North	10 March 2010	3	3	9	Reduce	CEX has discussed the matter with the group leaders. Clear action plan developed on lessons learnt. Letter of apology signed by CEX and Group leaders	May 2010	Chief Executive Andrew North
CR3	If the council is unable to come up with long term solutions which bridge the gap in the medium term financial strategy then it will find it increasingly difficult to prepare budgets year on year without making unplanned cuts in service provision	Chief Finance Officer Mark Sheldon	26 January 2010	3	3	9	Reduce	Development of the BtG programme. Establishment of a cross party working group following the elections in May. Review budget scrutiny process. Review budget consultation process	Sept 2010	Chief Finance Officer Mark Sheldon

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CR4	There is a reliance on shared services and sourcing strategy delivering savings. If these savings do not materialise or shared services do not proceed as anticipated then other savings will need to be found to meet the MTFS projections	Chief Finance Officer Mark Sheldon	1 December 2010	3	3	9	Reduce	All shared service projects and sourcing strategy are operated under Prince 2 principles, with clear business cases and risks logs.	As per agreed programme timetables	Strategic Director Pat Pratley
CR5	If the council receives equal pay claims following single status this will put increased pressure on the councils general reserves	AD Human Resources and Organisational Development Amanda Attfield	26 January 2010	3	4	12	Accept	Evidence will be presented to any equal pay claim hearing based on the robustness of the single status scheme. Seek to resolve any claims that are assessed as having merit.	The as the six month window for main claims as result of single status implementation has passed, however a small number have yet to accept the new terms.	AD Human Resources and Organisational Development Amanda Attfield
CR6	If the transfer of concessionary fares function to the county council only	Chief Finance Officer Mark Sheldon	1 February 2010	3	2	6	Accept	The council will respond to the government consultation document to be issued in summer. The council will lobby through	July 2010	Andrew Powers

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CR7	includes the transfer of funding received under RSG and not the full cost to the council then this will assist with the medium term financial strategy. The council does not yet have an updated asset management strategy. Without a sound basis on which to make informed decisions there is a risk that the council is not using its resources to best effect which could in turn impact on financial, environmental and service decisions.	Ad Built Environment Mike Redman	January 2010	3	4	12	Reduce	Work is well advanced in developing an updated Asset Management Plan, which will be presented to cabinet for adoption on 27 th July 2010. The Corporate Asset Group and a cross-party Asset Management Working Group meet regularly to discuss the development of the strategy and associated asset decisions	July 2010 (revised from March 2010)	Property Manager David Roberts
CR8	If the council does not manage its ambitious change	Chief Executive Andrew North	February 2010	3	3	9	Reduce	The operational programme board has an oversight of the key change programmes which are run using the	August 2010	Business Development Manager Ken Dale

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	management programme effectively it will put pressure onto employee resources and may impact on the delivery of services							Managing Successful Programmes and PRINCE2 methodologies. The councils approach to portfolio management to be agreed. Approach to be reviewed to ensure that these methodologies are applied consistently	November 2010	
CR9a	If the council is unable to secure funding for the implementation of the civic pride proposals then the project will have to be re-appraised.	Strategic Director Grahame Lewis	14 December 2009	3	3	9	Reduce	Delivery vehicle has been established and managing director and chair appointed. Business plan being drafted and options being tested.	April 2010	Civic Pride Managing Director Jeremy Williamson
CR9b	If the Highways Authority is unable to support the traffic proposals which underpin the vision and outcomes will not be achieved, and this will impact on the council's reputation and	Civic Pride Managing Director Jeremy Williamson	April 2010	4	4	16	Reduce	Traffic modelling being undertaken with Gloucestershire Highways Report back to council July 2010. If appropriate traffic modelling does not confirm that through traffic can be redistributed from the town centre using the existing highways network then the Civic Pride project in its present form will not be delivered. Alternative	June/July 2010	Civic Pride Managing Director Jeremy Williamson

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CR10	the future economic position of the town.	AD Operations Rob Bell	February 2010	3	3	9	Waste and Recycling Manager Beth Boughton
	If the council is unable to approve long term solutions for its waste and recycling services then costs will continue to increase and the council will fail to meet its strategic environmental targets						March 2011
	approaches would have to be developed which concentrated on delivering outcomes that had little or no impact on traffic movements. This would seriously affect the viability of the wider project. However other sites such as Midwinter will still need to be realised so alternative proposals are available. Communicating a change in strategy will be very challenging.						Options appraisal complete and being presented to each of the political groups. County residual waste strategy being developed. Report to cabinet on future options by September 2010.
CR11	If the council does not recognise the opportunity that the delay in publication of the RSS means that the council can	Chief Executive Andrew North	February 2010	3	3	9	Spatial Planning Manager Tracey Crews
							October 2010
							Consultation is ongoing with stakeholders. Preferred options paper being developed which will then be consulted upon.
							Reduce
							Reduce

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CR12	prepare its LDF core strategy in partnership with others to best set out the options for delivering sustainable growth which best meets its communities needs, then there is a risk that developers will submit premature applications on key sites which may not meet our vision and ambitions for Cheltenham	AD Human Resources and Organisational Development Amanda Attfield	February 2010	5	3	15	Reduce	Introduction of health and safety audits Internal audit action plan Awareness training for managers and supervisors during 2010-11	March 2011 As per the action plan considered by audit committee March 2010	HR Operations Manager Julie McCarthy

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CR13	face prosecution If members, senior managers and employees do not recognise their obligations and responsibilities for equalities then there is a risk that we could be treating people unfairly and the council could face prosecution	Assistant Chief Executive Jane Griffiths	March 2010	3	3	9	Reduce Equality action plan to be prepared which enables council to be at achieving level for the equality framework for local government	March 2011	Policy and Partnerships Manager Richard Gibson
CR14	The overall project significance of the CBH new build proposals which are an innovative approach to development of affordable housing including prudential borrowing funded from rental income using a unique approach to delivery in a high profile and	AD Community Services Peter Woolley	29 march 2010	4	3	12	Reduce The delivery partner, CBH, is a high performing organisation with a sound track record on delivery e.g. the decent homes programme. Support from the HCA demonstrates confidence in process / delivery model. External modelling using industry standard of financials provides assurance. CBH have undertaken significant consultation with residents to ensure buy in to proposals. CBH is working with appointed cost consultants to ensure that contract sums are	On-going	Assistant CEX at CBH Paul Stephenson

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CR15	sensitive area of the town, require both parties to ensure that there are effective programme and project management arrangements.	AD Wellbeing & Culture	March 2010	3	3	9	comprehensive at the time of commitment to contract and that appropriate contingencies exist to protect CBH/CBC from unforeseen additional costs		AD Wellbeing & Culture \ CIG Review Group
	Festivals – future funding. If CF fail to achieve 2010 budget forecasts there is a risk of the company requiring further CBC financial support for which there is no provision within the MTFs and a potential impact on CFs long term financial	AD Wellbeing & Culture	March 2010	3	3	9	Financial monitoring arrangements in place through CIG. CBC represented by 2 member observers on CF Board. Joint O&S Working Group assessing long-term financial sustainability. Commencement of monthly internal meetings by CEX Managing CF., with Cabinet	CIG Review September 2010	AD Wellbeing & Culture \ CIG Review Group

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	sustainability.						
CR16	Festivals – partnership relationships. CF is an important delivery partner and if relationships with CF are not effective then the partnership arrangements become untenable which will result in councils image and reputation being put at risk.	CEX\ AD Wellbeing & Culture	March 2010	4	3	12	CEX\AD Wellbeing & Culture
CR17	If members, senior managers and employees do not recognise their obligations and responsibilities for information management including data quality and information security then it could result in ill informed	Assistant Chief Executive Jane Griffiths	February 2010	3	3	9	Assistant Chief Executive Jane Griffiths
							AD Customer Access and Service Transformati

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CR18	decisions, unreliable outcomes, ineffective use of resources and loss of assets, leading to a reduced public reputation and a lack of confidence from regulators If the recession continues or recovery is not as anticipated then it will impact upon the income targets as set out in the MTFS.	Chief Finance Officer Mark Sheldon	December 2009	3	3	9	reliable information on which to base decisions Ongoing budget monitoring of income targets will highlight issues and corrective action which needs to be taken, and will be reported through the budget monitoring / MTFS update reports	October 2010	on Jackie Tavener Chief Executive Andrew North
CR19	If the council does not have robust business continuity plans in place then there is a risk that service delivery will be affected in the event of continuity issues such as pandemic flu or an emergency.	Strategic Director Grahame Lewis		2	2	4	Corporate & Divisional risk plans now finalised & implemented during winter severe weather event. Subsequent report which itemised lessons learnt discussed and agreed by E&BI O/S Committee. Two BCM training events have taken place & improvements to plans & processes have been introduced.	Review Dec 2010	Strategic Director Grahame Lewis

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CR20	If knowledge and skills about commissioning are not developed within the organization, there is a risk that services will not be commissioned or delivered in the right way which may impact on flexibility and/or costs	AD Human Resources and Organisational Development Amanda Attfield	25 February 2010	4	3	12	Reduce	Knowledge programme for relevant officers/members developed and delivered Skills for business development programme developed and delivered	March 2011	Learning and Development Manager Jan Bridges
CR21	Art Gallery and Museum If the Art Gallery and Museum Development Trust fails to deliver the fundraising strategy, then the AG&M Development Scheme is at risk of failing to be delivered.	AD Wellbeing & Culture	June 2007	3	4	12	Reduce	A fundraising risk assessment has been incorporated into all funding\grant applications submitted to date. An updated fundraising assessment will be required as part of the Heritage Lottery Fund Stage 2 application.	Stage II HLF submission June 2010	Museum and Arts Manager Jane Lillystone
CR22	Art Gallery & Museum. If the	AD Wellbeing & Culture	June 2007	3	4	12	Reduce	Prince II project management controls to be put in place for	Project plan milestone : Appointment	Museum and Arts Manager Jane Lillystone

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	<p>AG&M Development Scheme is not effectively project managed there is a risk of the scheme failing to be delivered within the capital budget.</p> <p>It is also vital that the longer term revenue implications relating to maintenance and running costs are recognised within the business plan and subject to appropriate consideration within the MTFs.</p>						<p>building construction phase. Provision has been made with the Development Schemes budget for appointment of a dedicated project manager for the scheme, based on similar appointments to previous capital investment build projects : Redevelopment Cheltenham Recreation Centre Leisure@ (2004-6) & Leisure@ Flood Reinstatement Project (2007-8)</p>	<p>of Project Manager - September 2010</p>	
CR23	<p>If resilience and issues are not addressed in the Payroll service, the service quality for employees will be impacted, and may impact on partner relationship with CBH, possibly</p>	<p>AD Human Resources and Organisational Development Amanda Attfield</p>	<p>April 2010</p>	4	4	16	<p>Audit CBC/CBH controls. Implement HR Shared Service/GO-7. Train others. Regular reviews with CBH</p>	<p>Set in place point of contact and escalation process with CBH, plus regular review meetings with CBH. Put Team Leader in place. Training</p>	<p>HR Operations Manager Julie McCarthy</p>

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	impacting funding stream from CBH.						
CR24	If all seven councils do not align behind the business case for GO7 which is to be finalised following the procurement exercise then there is a risk that the project will not progress in its current form and full benefits will not be realised	Strategic Director Pat Pratley	April 2010	4	5	20	Strategic Director Pat Pratley
							others underway. One HR Shared service timeline linked with GO-7. Move to monthly pay for all.
							Bid submitted 16 April 2010
							30 April 2010
							30 April 2010
							Capital funding to support the implementation being sought from SW RIEP. Business case being revisited and considered by programme board Procurement process leading to identification of preferred supplier
							Reduce
							As above for GO7
CR25	If TBC and CBC cannot align on a common ICT platform for the human resources system then the shared service for OneHR will be unable to progress - the	AD Human Resources and Organisational Development Amanda Attfield	April 2010	2	6	12	Strategic Director Pat Pratley
							As above for GO7

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CR26	operational risks will remain, savings will not be not realised Airport If the airport business plan cannot be delivered within the parameters, (including borrowing limits) approved by Cheltenham and Gloucester city councils, the future viability of the airport and improved returns to shareholders could be jeopardised.	Chief Finance Officer Mark Sheldon	April 2010	2	4	8	Work with airport company to determine an approach to delivery of core aspects of the runway safety project which are required to improve airport profitability and secure the airports future.	June 2010	Chief Finance Officer Mark Sheldon
CR27	Icelandic banks - financial exposure If the group claim against Glitnir bank fails and the council is not recognised as a 'priority depositor' the council's	Chief Finance Officer Mark Sheldon	9 April 2010	4	4	16	Council commitment to join in group action with other councils to make case for priority depositor status. Capitalisation direction approved for £4.43m allows for write off of loss over 20 years.	March 2011	Chief Finance Officer Mark Sheldon

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CR28	<p>deposits would be re-classified as 'general unsecured creditors' resulting in a lower recovery rate and exposure to defendants costs.</p> <p>Icelandic banks - financial exposure</p> <p>If the current status as priority deposits with Landsbanki bank is successfully challenged, the council's deposits would be re-classified as 'general unsecured creditors' resulting in a lower recovery rate and exposure to claimant costs and impact on the MTFS over that already</p>	Chief Finance Officer Mark Sheldon	9 April 2010	4	3	12	Accept	Council commitment to join in group action with other councils to defend current priority depositor status.	March 2011	Chief Finance Officer Mark Sheldon

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CR29	factored in through capitalisation of losses. If the council does not implement the actions identified in the climate change adaptation risk assessment there is a risk that resources will not be used to best effect which could impact on financial, environmental and service decisions and affect service delivery.	Assistant Chief Executive Jane Griffiths	6 may 2010	4	3	12	Services are required to identify the actions they will be taking to respond to climate change (both adaptation and mitigation) in 2010/11 service plans. Internal audit has a trained officer in environmental auditing who will be assessing progress against the adaptation risk assessment. LAA target – achieving level 3 of national indicator 188 requires implementation of responses to priority risks	June 2010 March 2011 March 2011	All ADs Audit Partnership Manager Strategic Director Grahame Lewis

Guidance

Types of risks could include the following:

- Potential reputation risks from the decision in terms of bad publicity, impact on the community or on partners;

- Financial risks associated with the decision;
- Political risks that the decision might not have cross-party support;
- Environmental risks associated with the decision;
- Potential adverse equality impacts from the decision;
- Capacity risks in terms of the ability of the organisation to ensure the effective delivery of the decision
- Legal risks arising from the decision

Remember to highlight risks which may impact on the strategy and actions which are being followed to deliver the objectives, so that members can identify the need to review objectives, options and decisions on a timely basis should these risks arise.

Risk ref

If the risk is already recorded, note either the corporate risk register or TEN reference

Risk Description

Please use “if xx happens then xx will be the consequence” (cause and effect). For example “If the council’s business continuity planning does not deliver effective responses to the predicted flu pandemic then council services will be significantly impacted.”

Risk owner

Please identify the lead officer who has identified the risk and will be responsible for it.

Risk score

Impact on a scale from 1 to 4 multiplied by likelihood on a scale from 1 to 6. Please see risk [scorecard](#) for more information on how to score a risk

Control

Either: Reduce / Accept / Transfer to 3rd party / Close

Action

There are usually things the council can do to reduce either the likelihood or impact of the risk. Controls may already be in place, such as budget monitoring or new controls or actions may also be needed.

Responsible officer

Please identify the lead officer who will be responsible for the action to control the risk. For further guidance, please refer to the [risk management policy](#)

Transferred to risk register

Please ensure that the risk is transferred to a live risk register. This could be a team, divisional or corporate risk register depending on the nature of the risk and what level of objective it is impacting on.

