

## Corporate Risks Register August 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	Progress at Aug 2010
CR24	If partner councils do not align behind the business case for the GO ERP Shared Service Programme 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	Reduce	Business case now finalised based on 4 partners. S151 Officers confirming in principle commitment of leading members. CX/Senior Officer Meeting scheduled for 19.8.10 to endorse moving to reporting stage.	Beginning of July 2010	Strategic Director Pat Pratley	CX/Senior officer endorsement for reporting received. Support from cabinet leads. Project plan (Phase 1) in place and programme office established. E&BI review business case on 20.9.10
CR9b	If the Highways Authority is unable to support the traffic proposals which underpin the civic pride schemes then vision and outcomes will not be achieved, and this will impact on the council's reputation and the future economic position of the town.	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 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	June/July 2010  Revised deadline October 2010 for phase one and summer 2011 for phase two which will look at junction impacts and costs.	Civic Pride Managing Director Jeremy Williamson	The traffic model will be discussed at the next task force meeting in October.

								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.			
CR23	If resilience 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 impacting funding stream from CBH.	AD Human Resources and Organisational Development Amanda Attfield	April 2010	4	4	16	Reduce	Implement Go-5  Audit CBC/CBH controls.  Set in place Team Leader.  Support and train others in HR.  Regular reviews with CBH, to include review of SLA.  Recruit temporary payroll expertise.  Move to monthly pay for all.	End March 2011	HR Operations Manager Julie McCarthy	Team leader appointment completed. Training of others in HR impacted by capacity but will improve on appointment of temporary payroll expertise – recruitment has taken place, awaiting start date. Monthly pay for all will commence from September.
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 deposits would be re-classified as 'general unsecured creditors' resulting in a lower recovery rate and exposure to defendants costs.	Chief Finance Officer Mark Sheldon	9 April 2010	4	4	16	Accept	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	All council have agreed evidence for submission to Icelandic courts for the joint action on behalf of all council Icelandic bank depositors.

CR33	If the council does not keep the momentum going with regards to the JCS then the policy vacuum left by the abolition of the RSS and the resultant delay in projections and framework could result in inappropriate development.	CEX Andrew North	10.08.10	4	4	16	Reduce	Agreement across Gloucestershire districts to work collaboratively on determining housing and employment projections by the end of the year. Revised timetable for JCS preparation to be agreed by council.	December 2010  Council October 2010	Spatial planning manager – Tracey Crews	New risk
CR34	If the council does not have robust testing of its business continuity plans then there is a risk that they may not be effective	Strategic director Grahame Lewis	05.07.10	4	4	16	Reduce	Desk top recovery test based on worst case scenario ie municipal offices out of action Two storage area networks to be purchased for real time backups of ICT data, and purchase of additional UPS battery supply for the municipal offices. Full test with depot as stand by site to be tested			New risk
CR35	If the current public service proposed budget cuts mean that the county council are unable to fund and provide officer resource for strategic infrastructure planning phase 3 then the JCS will not be supported by robust evidence which may lead to inappropriate development	CEX Andrew North	10.08.10	4	4	16	Reduce	Chair of the cross boundary member steering group to write to GCC with concerns. GCC continue as members of the cross boundary programme board and member steering group and therefore understand requirements Development of community infrastructure levy scheme as part of the JCS will demonstrate requirement for effective infrastructure planning	February 2011	Spatial planning manager – Tracey Crews	New risk
CR7	The council does not yet have an updated asset management strategy. Without a sound basis on which to make informed	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 <sup>th</sup> July 2010.	July 2010 (revised from March 2010)	Property Manager David Roberts	The Council's new Asset Management Plan was approved by Cabinet on

	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.							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			27 <sup>th</sup> July, 2010  Risk now closed and any new risks emerging will be identified and scored
CR12	If members, senior managers and employees do not recognise their obligations and responsibilities for health and safety then there is a risk to the public, customers and employees of injury and the council could face prosecution	AD Human Resources and Organisational Development Amanda Attfield	February 2010	4	3	12	Reduce	Introduction of health and safety audits inc. addressing issues in the internal audit action plan  Creation of a Health and Safety strategy  Development of a H&S action plan for 2010-11 (to include awareness training for managers and supervisors during 2010-11)  Roll out Harriet Risk Management software	March 2011  As per the action plan considered by audit committee March 2010	HR Operations Manager Julie McCarthy	Health and Safety Strategy being developed and to be reviewed by Staff and Support Services Committee in October, plus a Health and Safety work plan following HSE framework guidance. Harriet risk software being piloted.
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 sensitive area of the town, require both parties to ensure that	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 has undertaken significant consultation with residents to ensure buy in to proposals.	On-going	Assistant CEX at CBH Paul Stephenson	CBH has successfully progressed to development stage at St Pauls & Brighton Road. HCA funding has been secured, other funding streams are being put in place and the contracting process has

	there are effective programme and project management arrangements.							CBH is working with appointed cost consultants to ensure that contract sums are comprehensive at the time of commitment to contract and that appropriate contingencies exist to protect CBH/CBC from unforeseen additional costs			begun. Finance and One Legal are working closely with the Housing Client and Trowers to ensure probity and best practice in this innovative project.
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	Reduce	CEX developing relationship with CF Board members to continue to build positive relationships.	Ongoing	CEX\AD Wellbeing & Culture	Quarterly meetings now in place with CF board members, CBC members & key members of SLT.
CR18	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	4	12	Reduce	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 reports and reflected in updated MTFS projections. Action is being taken to	September 2010 budget strategy report	Chief Finance Officer Mark Sheldon	The MTFS projections have been updated to take into account the impact of the continued recession on car paring

								reduce operating costs to compensate for potential sustained reduction in income levels.			income.
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	3	4	12	Reduce	Identify resource to deliver knowledge and skills needs (i.e. in house as external funding unlikely)  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	External suppliers have submitted suggested development programmes, however this 'blanket' approach is not cost effective. 80/20 have undertaken a skills audit with SLT, we will use this information to identify specific, individual development. The delivery vehicle will be integrated with our existing leadership programme. We have identified commercial awareness skills for SMs. A skills audit follows.
CR21	Art Gallery and Museum If the Art Gallery and Museum Development Trust fails to deliver the	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	Stage II HLF submission 31 August 2010	Museum and Arts Manager Jane Lillystone	HLF have advised that the Stage II bid should now be submitted for

	fundraising strategy, then the AG&M Development Scheme is at risk of failing to be delivered.							assessment will be required as part of the Heritage Lottery Fund Stage 2 application.			the 30 November 2010. A revised fundraising strategy is being developed to take account of the new timescales.
CR22	Art Gallery & Museum. If the AG&M Development Scheme is not effectively project managed there is a risk of the scheme failing to be delivered within the capital budget.  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.	AD Wellbeing & Culture	June 2007	3	4	12	Reduce	Prince II project management controls to be put in place for 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)	Project plan milestone : Appointment of Project Manager - December 2010	Museum and Arts Manager Jane Lillystone	Procurement for the Project Manager will now commence from November 2010 – to coincide with the revised timescales for the submission of the HLF Stage II bid and a revised funding strategy.
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 operational risks will remain, savings will not be not realised	AD Human Resources and Organisational Development Amanda Attfield	April 2010	2	6	12	Reduce	As above for GO7	As above for GO7	Strategic Director Pat Pratley	Risk closed
CR28	Icelandic banks - financial exposure	Chief Finance Officer	9 April 2010	4	3	12	Accept	Council commitment to join in group action with other	March 2011	Chief Finance	All council have agreed

	If the current status as priority deposits with Llandsbanki 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 factored in through capitalisation of losses.	Mark Sheldon						councils to defend current priority depositor status.		Officer Mark Sheldon	evidence for submission to Icelandic courts for the joint action on behalf of all council Icelandic bank depositors.
CR29	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	Reduce	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	Some service plans do not include references to climate change adaptation.
CR30/ HT1	Changes in government policy means that the personal search fee of £22 per search is not chargeable from	AD Built Environment Mike Redman	01/07/2010	3	4	12	Accept	Calculate potential maximum/minimum amount of refund and build in to budget. Set out plan for handling personal search enquiries.	September 2010	Helen Thomas	Payout maximum calculated to £80,000 Process changes



	17 <sup>th</sup> August as the information is freely available under EIR requests. Any fees paid, which until 1 <sup>st</sup> Jan 2010 were £11 per search, are refundable back to Jan 2005 when the EIR regulations were introduced. This could result in a refund of fees and a fall in income.							Create response letter to be issued to search groups. Promote and market the standard search. Set up County meeting to agree shared policy .			published on website. Response letter drafted. County meeting held and drafts submitted for approval.
CR32	If the council is unable to realise the capital value of some of its assets it will be unable to progress the civic pride proposals	Strategic director Grahame Lewis	23/08/10	4	3	12	Reduce	Revised supplementary planning document is out for consultation for North Place. Marketing plan and tenders to be prepared for North Place	Council December 2010  Spring 2011	Strategic director Grahame Lewis	New risk
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  CEX to discuss with group leaders should any further issues arise.	May 2010   March 2011	Chief Executive Andrew North	It would appear that councillors have responded constructively in learning lessons from the review without blame. However, points of tension may still arise and continued vigilance is required.
CR3	If the council is unable to come up with long term solutions which bridge the gap in the medium term financial strategy	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.	Sept 2010	Chief Finance Officer Mark Sheldon	BtG meets monthly to review progress of delivery using updated MTFS

	then it will find it increasingly difficult to prepare budgets year on year without making unplanned cuts in service provision							Review budget scrutiny process.  Review and rolled out revised budget consultation process  SLT presentation of new ideas to Cabinet leads.			projections.  Major budget consultation in progress - positive feedback from both media and public.  AD meetings with Cabinet leads in progress.
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	Revenues & Benefits project now formally closed as is OneHR. GO Prog senior officer commitment 19.8.10 now entering Council reporting process – complete by 20.10.10.
CR5	The council has received equal pay claims following single status which may put increased pressure on the councils general reserves	AD Human Resources and Organisational Development Amanda Attfield	26 January 2010	3	3	9	Accept	Claims presented are assessed on merit.  Seek to resolve any claims that are assessed as having merit.  Seek to defend any claims assessed as having no 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 Organisation al Development Amanda Attfield	Two equal pay grievances lodged, and are currently under review.
CR8	If the council does	Chief Executive	February 2010	3	3	9	Reduce	The operational	August 2010	Business	Resource

	not manage its ambitious change management programme effectively it will put pressure onto employee resources and may impact on the delivery of services	Andrew North						programme board has an oversight of the key change programmes which are run using the 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	Development Manager Ken Dale	issues are being more explicitly analysed and addressed within the change programme (also bearing in mind 'business as usual') and adjustments have been made to programmes in consequence
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 for funding and delivery are being tested.	April 2010	Civic Pride Managing Director Jeremy Williamson	Risk closed and redefined – see CR32
CR10	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	AD Operations Rob Bell	February 2010	3	3	9	Reduce	Options appraisal complete and being presented to Environment Overview and Scrutiny. County residual waste strategy being developed.  Report to cabinet on future options scheduled for 27 <sup>th</sup> July 2010. If approved, risk rating will significantly reduce.	March 2011	Waste and Recycling Manager Beth Boughton	Cabinet approved new waste and recycling change programme on 27 <sup>th</sup> July 2010. The strategy has received positive comments from LGA. Project plan

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											being finalised to ensure smooth role out of new services.  County residual waste strategy still in development  Risk rating reduced from 9 to 6.
CR11	If the council does not recognise the opportunity that the delay in publication of the RSS means that the council can 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	Chief Executive Andrew North	February 2010	3	3	9	Reduce	Consultation is ongoing with stakeholders. Preferred options paper being developed which will then be consulted upon.	October 2010	Spatial Planning Manager Tracey Crews	Closed and redefined – see CR33
CR13	If members, senior managers and employees do not recognise their obligations and responsibilities for equalities then there	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	New coalition government confirmed that equality act to be implemented in full with

	is a risk that we could be treating people unfairly and the council could face prosecution										new requirements coming into force in Oct 2010 and a new public sector duty coming into force in April 2011. Need for SLT to be briefed on these changes
CR15	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 sustainability.	AD Wellbeing & Culture	March 2010	3	3	9	Reduce	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 member\leader in attendance	CIG Review September 2010	AD Wellbeing & Culture \ CIG Review Group	Financial performance & long-term business planning is being monitored & scrutinised as part of the O&S Joint Review group.
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 decisions, unreliable outcomes, ineffective use of resources and	Assistant Chief Executive Jane Griffiths	February 2010	3	3	9	Reduce	Annual data audit undertaken to identify classification of data  Information strategy to be developed jointly with CBH	June 2010  July 2010 Revised target date December 2010	Assistant Chief Executive Jane Griffiths  Assistant Chief Executive Jane Griffiths	Data audit has been undertaken and guidelines updated. Information strategy has not progressed as anticipated due to other work commitments

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	loss of assets, leading to a reduced public reputation and a lack of confidence from regulators							ICT strategy to be developed  Commissioning approach to be developed which clearly articulates the need for good reliable information on which to base decisions	June 2010  October 2010	AD Customer Access and Service Transformation Jackie Tavener  Chief Executive Andrew North	ICT strategy has been approved.
CR31/HT2	Above changes may result in reduced rate for a standard search fee.	Helen Thomas	17/08/10	3	3	9	Reduce	Promote benefits of a standard search. Increase the amount of data available electronically through cleansing.	December 2010	Mike Redman	Some data cleansed and available electronically. Requests to Ministry of Justice for clearer guidelines on future land charge fees.
CR26	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	Reduce	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.  Potential for a further report to Council following the analysis of tenders for the delivery of the project.	Sept 2010	Chief Finance Officer Mark Sheldon	Worked with the airport management to update the business plan to reflect post tender evaluation. Council report dealing with the implications for consideration in Sept / Oct 2010 in draft.

CR1	If the council does not implement the recommendations and action plan 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	<p>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.</p> <p>KPMG will review progress as part of the annual audit of accounts.</p>	<p>Deadlines as per the action plan. First monitoring report June 2010</p> <p>Audit committee September 2010, January and March 2011</p> <p>March 2011</p>	Assistant Chief Executive Jane Griffiths	First monitoring report received by audit committee. New report template and procedure guidelines have been issues and training has taken place and the constitutional issues are being picked up by the member working group
CR6	If the transfer of concessionary fares function to the county council only includes the transfer of funding received under RSG and not the full cost to the	Chief Finance Officer Mark Sheldon	1 February 2010	3	2	6	Accept	<p>The council will respond to the government consultation document to be issued in summer.</p> <p>The council will lobby through the LGA and district council network</p>	July 2010	Andrew Powers	Analysis and response to consultation on options for transfer of concessionary fares funding

	council then this will assist with the medium term financial strategy.										undertaken and in draft – to be considered at Sept BtG meeting
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	Accept	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	See related risk CR34

### 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.