

# Corporate Risk Register Dashboard period up to 17 March 2014

Logged in as: Bryan Parsons

CBC Risk Model

Administration

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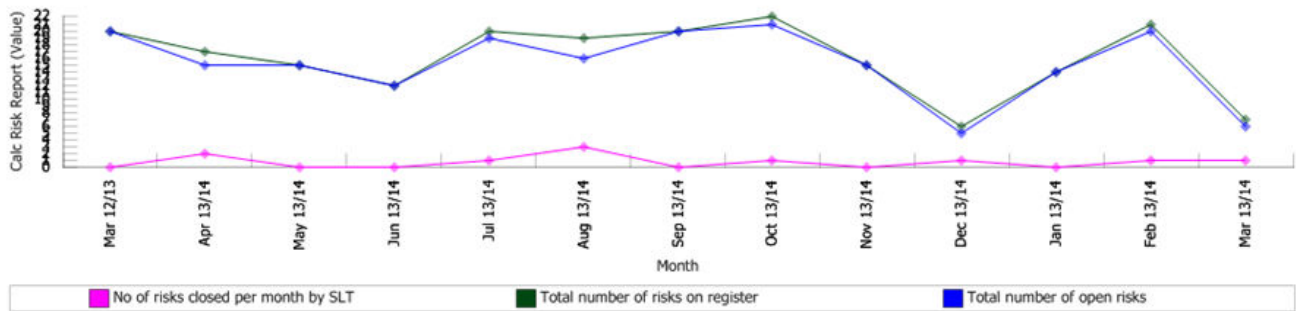
## Cheltenham Borough Council Risk Management System

12 Months Activity

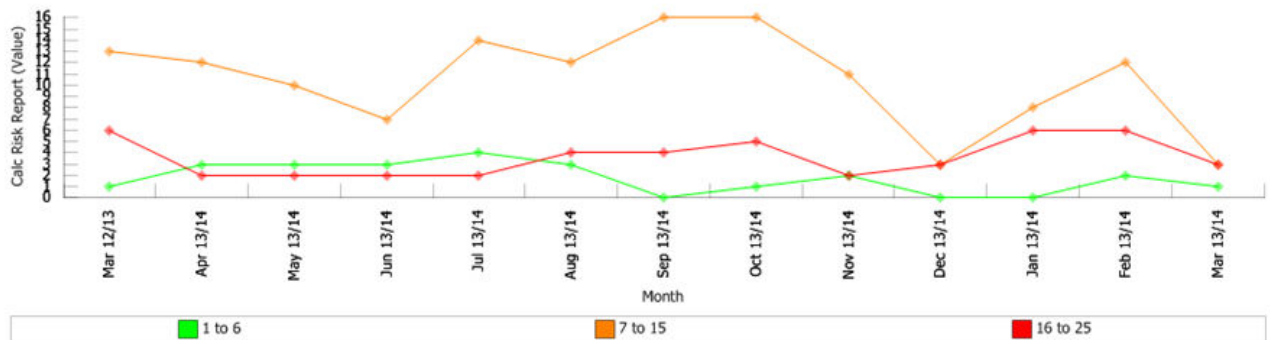
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Risk Score	Apr 13/14	May 13/14	Jun 13/14	Jul 13/14	Aug 13/14	Sep 13/14	Oct 13/14	Nov 13/14	Dec 13/14	Jan 13/14	Feb 13/14	Mar 13/14
1 to 6	3	3	3	4	3	0	1	2	0	0	2	1
7 to 15	12	10	7	14	12	16	16	11	3	8	12	3
16 to 25	2	2	2	2	4	4	5	2	3	6	6	3
Total number of open risks	15	15	12	19	16	20	21	15	5	14	20	6
No of risks closed per month	2	0	0	1	3	0	1	0	1	0	1	1
Total number of risks on register	17	15	12	20	19	20	22	15	6	14	21	7
Total number of Transfer risks	0	0	0	1	1	0	0	0	0	0	0	0
Total number of reduce risks	15	15	12	18	15	20	21	14	5	14	20	6
Total number of accept risks	0	0	0	0	0	0	0	1	0	0	0	0

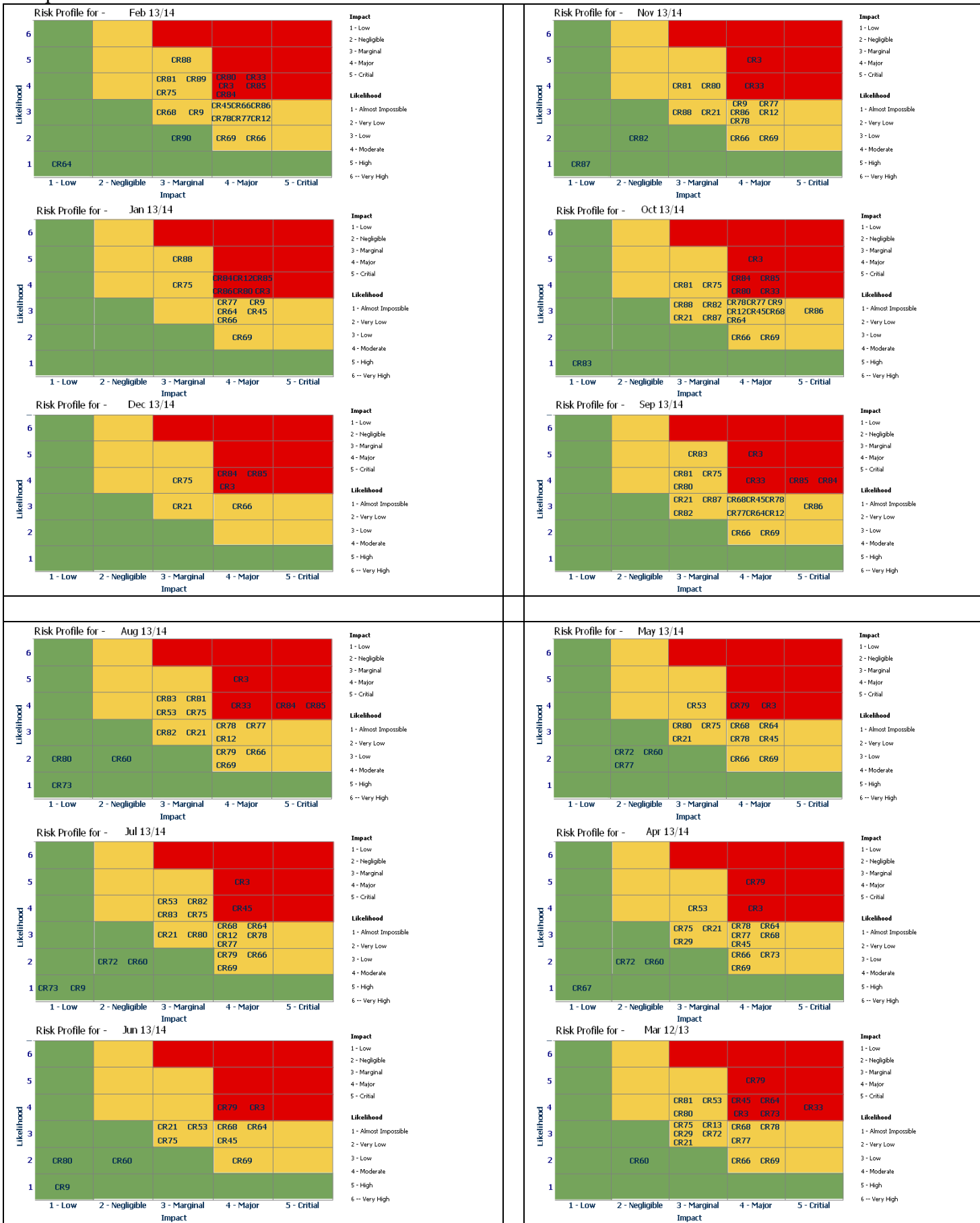
Total Risk Trends by Month - Total and Active



Total Risk Trends by Month - RAG Counts



# Corporate Risk Profile



Corporate Risk register as at 17 March 2014

Row	Corporate Risk	Corporate Risk Owner	Proposed Action	Impact	Likelihood	Score	Control	Risk Control Progress	Corporate Risk Manager	Corporate Risk Last Updated
1	Feb 13/14 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	Mark Sheldon	Development of the budget strategy to address the MTFS funding gap. Establishment of a cross party budget working group which reviewed the budget scrutiny process and considered specific aspects of the budget proposals for 2013/14. Regular meetings of Bridging the Gap (BtG) programme with Cabinet lead and on going dialogue with SLT on new ideas for savings.	4 - Major	4 - Moderate	16	Reduce	February 2014: Final settlement in February 2014 confirmed government funding allocations which firmed up a budget gap of £1.4m for 2014/15. The final budget proposals for 2014/15, including £1.4m of potential savings / income to bridge the budget gap, was approved by council on 14/02/14.  There is significant volatility around business rates and the budget for 2014/15 provides for a reserve to cushion future fluctuations.  The MTFS gap (2016/17 - 2017/18) which assumes future 2% council tax increases, is now estimated at £2.9m, with an unresolved gap assuming BtG workstreams deliver, of £1.2m.	Mark Sheldon	18/02/14
2	Feb 13/14 CR33 - If the council does not keep the momentum going with regards to the JCS The policy vacuum left by the abolition of the RSS and the resultant	Andrew North	Agreement across Gloucestershire districts to work collaboratively on determining housing and employment projections by the end of 2013. Econometric	4 - Major	4 - Moderate	16	Reduce	February 2014: JCS consultation database made live, enabling all representations to be accessed by members of the public and stakeholders. Joint work room set up at	Tracey Crews	04/03/14

		delay in projections and framework could result in inappropriate development.		Housing Model received and analysis undertaken. Seminars for councillors to explain the projections. Decision to consult from all three councils and initial phase of consultation undertaken on development scenarios. Establishment of a member working group.					Cheltenham to enable all JCS officers to be co-located. Officers working on resolving objections of statutory stakeholders and considering wider stakeholder and representations from members of the public.  Schedule of meetings with Cross Boundary Programme Board and Member Steering Group in place to drive forward programme to achieve timetable of consideration of pre submission JCS April 2014.		
3	Feb 13/14	CR80 - If the Council does not have a robust and effective CCTV Code of Practice for all of the systems that operate in our properties or car parks, then there is a risk that we could breach the requirements of the; The Data Protection Act 1998 (DPA), The Human Rights Act 1998 (HRA), The Freedom of Information Act 2000 (FOIA) and The Regulation of Investigatory Powers Act 2000 (RIPA)	Mark Sheldon	Draft a CCTV Code of Practice that meets the requirements of the Information Commissioner for CCTV and Automatic Number Plate Recognition (ANPR) systems operated in public places. This should be supported by an additional Surveillance Code of Practice (following Home Office consultation and guidance)	4 - Major	4 - Moderate	16	Reduce	Corporate Policy approved by SLT 18/7/2013. Responsibility for delivering a CoP and complying with legislation with Strategic Directors, Directors and Service Managers for the following systems by the 01/01/2014 Each CCTV and ANPR system operated by CBC in ** its car parks ** Leisure@ ** Town Hall ** Pittville Pump room ** Cemetery and Crematorium ** Municipal Building ** Art gallery and Museum CCTV policy still out for consultation on Cabinet forward plan for November CCTV	Bryan Parsons	24/02/14

									policy report to Cabinet 18/11/13 Parking Services will not be complete the CoP until end of financial year Awaiting CCTV CoP from all services, Directors reminded of commitment at Jan 14 SLT SLT agreed to extend deadline to 31/3/2014		
4	Feb 13/14	CR84 - If we fail to work with the liquidator to finalise the existing contractual arrangements then there is a risk that the Council's cremation service could be compromised.	Grahame Lewis	Work constructively with liquidator to conclude current arrangements. Commission independent assessment of installation which will inform ongoing decision making processes to ensure we have short term support from cremator / abatement / management systems specialists. Obtain independent testing of fully commissioned system and procure along term maintenance contract.	4 - Major	4 - Moderate	16	Reduce	<p>Risk descriptions are being reconsidered by project group for April SLT</p> <p>The issue regarding product liability insurance has been considered and found to be not appropriate for the current</p> <p>The 2nd technical report was received and confirmed many of the issues identified in the initial report. The project team's action plan has been updated to reflect this appraisal and a range of mitigating actions have been put in place. A number of the issues have been addressed to improve the operation of the equipment and it reliability.</p> <p>The project team have met with funeral directors to discuss business</p>	Rob Hainsworth	26/02/14

									continuity arrangements and a further meeting has been arranged.		
5	Feb 13/14	CR85 - If we fail to evaluate and make good the current installation issues and mercury abatement process within the cremator's and put in place an all inclusive maintenance contract for the future then the Councils permit may be compromised.	Grahame Lewis	Work constructively with liquidator & existing contractor to conclude current arrangements, commission independent assessment of installation which will inform ongoing decision making process, ensure we have short term support from cremator / abatement / management systems specialists.	4 - Major	4 - Moderate	16	Reduce	Additional equipment has been ordered to provide a greater analysis of the cremators functionality.  Risk descriptions are being reconsidered by project group for April SLT	Rob Hainsworth	26/02/14
6	Feb 13/14	CR88 - St Pauls Phase 2 - If site assembly and construction does not move forward within the agreed timescales, there is a risk that the HCA grant available from the affordable housing programme may be lost	Grahame Lewis	1. Robust programme and project management 2. Stopping up order to be completed by March 2014 3. Site available by January 2015 4. Affordable units to be completed by March 2015 5. Contract to include conditions with regards to liabilities and grant loss. 6. Discussions to be held with HCA if drop dead date is not met.	3 - Marginal	5 - High	15	Reduce	Project and management work underway. The drop dead date for site assembly has not been met and the Council had 21 days to finalise negotiations with the developer which incur additional legal costs and site works costs resulting from any delay which can be met from the contingency.  The council has however incurred a significant liability arising from works being undertaken which may be aborted should the scheme fall through, and council were advised of this.	Jane Griffiths	20/02/2014

7	Feb 13/14	CR12 - If members, senior managers, managers, supervisors, and employees are not aware of their obligations and responsibilities for health and safety (in relation to the public, customers, employees) and ensure that the necessary H&S arrangements are in place and adhered to, then the council could face prosecution (and/or personal injury claims) which would carry associated capacity, financial, and reputation risks.	Andrew North	Introduction of H&S audit process to review the effectiveness of the current management system Oct 13 - Feb 14 / Introduction of H&S managers training Jan 2014 / Introduction of H&S core training courses for relevant employees Jan 2014 / Review of current policies and procedures and implement improvements March 2014	4 - Major	3 - Low	12	Reduce	<p>Audits started across authority with Built Environment and Commissioning divisions completed. Issues highlighted</p> <ul style="list-style-type: none"> <li>- Lack of understanding /discharging of Responsibilities for H&amp;S</li> <li>- Lack/no risk assessment documentation in place (legal req)</li> <li>- Gap in H&amp;S training for staff (competency)</li> </ul> <p>Action plans have been created for each service that has been audited and agreed with manager for completion and the directors should be monitoring this. SLT to be updated at next meeting</p>	Iain Wilkie	20/02/14
8	Feb 13/14	CR45 - Closed - If sites identified within former Civic pride programme do not generate sufficient net receipts then the wider aspirations e.g. public realm will not be deliverable	Jeremy Williamson	It may be possible to utilise receipts from other non Civic Pride sites e.g. Midwinter's if necessary. Effective soft market testing suggests optimism over net receipts.	4 - Major	3 - Low	12	Reduce	<p>North Place/Portland Street planning permission issued August 2013, following signing of Unilateral Undertakings. Morrison's have exchanged with Augur Buchler and confirmed publicly their site intentions. Given need to discharge planning conditions and CBC to retain car parks over Christmas period target completion by 31/01/14. Disposal concluded 31/01/14 with a reverse lease that allows CBC to utilise</p>	Jeremy Williamson	05/03/14

										North Place as a car park until construction work begins. Skanska have site available for resale but plan to use as a temporary car park in the interim. Given that capital receipt received this risk can now be closed.		
9	Feb 13/14	CR66 - If members, senior managers, managers, supervisors, and employees are not fully aware of their obligations and responsibilities for Data Protection particularly in relation to the permitted and lawful disclose of private and confidential information, then the council could face financial penalties and reputation risks.	Mark Sheldon	Complete Privacy Impact Assessment in relation to Go. Raise awareness of Data Protection and Information Security	4 - Major	3 - Low	12	Reduce	IA audit Plan being revised because of the work undertaken on the PSN application project. As much of this work related to data security it is planned to postpone this audit until next financial year. Risk score increased following comments from SLT on the above delay End date revised in line with Internal Audits audit plan	Bryan Parsons	20/02/14	
10	Feb 13/14	CR75 - If capacity to deliver key projects is achieved by diverting necessary resources away from either core services or other provider commitments, then there is a risk of not being able to deliver all of the business as usual expectations including a failure to comply with internal controls that could in turn impact on our	Andrew North	Gathering of projected resource data on the council's key programmes and projects takes place quarterly. This enables the council's Senior Leadership Team to review demands alongside the resource needs of their core services and modify plans if necessary.'	3 - Marginal	4 - Moderate	12	Reduce	SLT considered major issues and impacts at its meeting on 25th February.	Ken Dale	18/02/2014	



		reputation and finances.									
11	Feb 13/14	CR77 - If the new reciprocal ICT Business Continuity arrangements with FoDDC are not put in place then there is a risk that key councils services in the event of an emergency or unplanned event will not be effective.	Grahame Lewis	Agree an action plan with the ICT Infrastructure Manager that will deliver robust and effective ICT BCP arrangements between CBC and FoDDC by 1/6/2013	4 - Major	3 - Low	12	Reduce	Feb South West Audit Partnership undertaking assurance review for FoDDC.  ICTSS to report to CBC audit committee End of March on progress and action planning re additional tests.	Bryan Parsons	24/02/2014
12	Feb 13/14	CR78 - If the Corporate and Service Business Continuity Plans do not reflect the governance structures associated with the commissioning and shared service arrangements then there is a risk that key services will be not be available in the event of and emergency or unplanned event.	Mark Sheldon	Corporate and Service Business Continuity plans should be reviewed and tested to reflect the new commissioning and shared service governance arrangements	4 - Major	3 - Low	12	Reduce	Jan SLT confirmed that Exec Board were considering the implications on service delivery from April 2014 this would include responsibilities for Emergency Planing and Business Continuity	Bryan Parsons	25/02/14
13	Feb 13/14	CR81 - If the Council does not progress as quickly as possible to preparing the Cheltenham Plan, then the Borough will be exposed to the risk of inappropriate development.	Mike Redman	Scrutiny Task Group set up to advise and challenge on the development of a Cheltenham Plan	3 - Marginal	4 - Moderate	12	Reduce	February 2014: No further update, Cheltenham Plan on hold, policy team resources transferred wholly to JCS	Tracey Crews	04/03/2014
14	Feb 13/14	CR86 - If the ICT shared service fail to submit a successful	Mark Sheldon	Assess what is required to meet the 2014 self assessment	4 - Major	3 - Low	12	Reduce	Feb GOSS HR engaged a contractor to deliver BPSS checks.	Mat Thomas	24/02/14

		PSN compliance application for 2014 then the Councils preferred method of transmitting and receiving data and its service provision could be put at risk impacting upon the Councils reputation.		by January 2014. Prepare a report for SLT on resource and operational implications November 2013					Feb FoDDC PSN application granted.  Discussions with Cabinet office and LGA have led to confirming that elected Members do not have to be BPSS checked.  SWG decided to hold joint meetings with FoDDC and to engage Class consultant for 2014 pre submission work.		
15	Feb 13/14	CR89 - If the St Pauls Phase 2 project risks are not effectively mitigated then there is a corporate risk that the Councils reputation in terms of working with Contractors, managing projects and supporting residents will be damaged	Pat Pratley	The Head of Property Services should ensure that the Cabinet Member is kept informed of progress on the project risk mitigating actions and prepare a communications strategy in case of a project failure.	3 - Marginal	4 - Moderate	12	Reduce	HPS has briefed Portfolio holder on the project plan and discussions with Contractor, CBH and other freeholder. HPS will consider the need for a contingency communications plan to meet the requirements of project failure..	David Roberts	21/02/2014
16	Feb 13/14	CR9 - If the Council fail to provide a safe and secure IT System / infrastructure then there is a risk that their will be a failure due to virus or Malware attack etc which could lead to the loss of data, financial penalties, additional operating costs and	Mark Sheldon	Deliver ICT investment strategy objectives. Review all ICT policies. Ensure CoCo compliance standards are met. Support new shared service arrangements and the relocation of servers to FoDDC to improve resilience.	3 - Marginal	3 - Low	9	Reduce	January 14 Audit Committee mtg requested an ICT BC assurance report for march meeting. Client officer to request report from ICT SS Jan SLT briefing provided by Andy Barge from FoDDC on current progress, undertook to deliver ICT BC assurance report for Audit Committee SWG continuing to meet and	Mark Sheldon	21/02/14

		detrimental to its reputation							monitor progress on risks. ICTSS to put forward timetable for PSN submission for 2014. Management of risk transferred to Client officer pending ICT Manager replacement		
17	Feb 13/14	CR68 - If there is a failure to align and manage the Cheltenham Task Force developments with the (emerging) Car Parking Strategy then there is a risk of customer dissatisfaction and the loss of reputation and revenue. There are several strands to mitigating this Corporate Risk each will be managed through Divisional Risks registers.	Andrew North	There are several strands to mitigating this Corporate Risk each will be managed through the following Divisional Risks	3 - Marginal	3 - Low	9	Reduce	The following 4 risks have been identified and are being managed within the Task Forces CBC divisional risk register TF01 North Place/Portland Street displacement during construction phase TF02 Grosvenor Terrace upgrade project TF03 Changes to the traffic network linked to LSTF TF04 Car Park directional signage strategy The 2013/13 Corporate strategy includes the TFMD developing a car parking strategy to inform the Asset Management Plan North Place and Portland street sale completed ongoing work to manage disbursement of traffic Score for Impact reduced	Jeremy Williamson	26/02/14
18	Feb 13/14	CR66 - If members, senior managers, managers, supervisors, and employees are not fully aware of their obligations and responsibilities for Data Protection	Mark Sheldon	Complete Privacy Impact Assessment in relation to Go. Raise awareness of Data Protection and Information Security	4 - Major	2 - Very Low	8	Reduce	IA audit Plan being revised because of the work undertaken on the PSN application project. As much of this work related to data security it is planned to postpone this audit until next financial year. Risk score	Bryan Parsons	20/02/14

		particularly in relation to the permitted and lawful disclose of private and confidential information, then the council could face financial penalties and reputation risks.							increased following comments from SLT on the above delay End date revised in line with Internal Audits audit plan		
19	Feb 13/14	CR69 - If Cheltenham is not able to grow its business rate base each year then it will impact on the income the Council receives through the business rates retention scheme.	Mark Sheldon	Join Gloucestershire pool to share the risk of fluctuations in business rates revenues retained by the council. Work with Members and Gloucestershire LEP to ensure Cheltenham grows its business rate base.	4 - Major	2 - Very Low	8 Reduce	February 2014: The Gloucestershire Districts and Gloucestershire County council have agreed management arrangements for the Gloucestershire pool for 2013/14. Monitoring to date would suggest that the pool is viable and beneficial for Gloucestershire since more business rates are retained locally.  Despite significant and ongoing guidance in respect of the localisation of business rates which has resulted in uncertainty and complexity in respect of financial projections, a decision has now been made to continue the pooling arrangements into 2014/15. However, the final position for the 2013/14 pool will be not be fully evaluated until the outturn position is finalised in June 2014.	Jayne Gilpin	24/02/14	
20	Feb 13/14	CR90 - If the St Pauls Phase 2 project risks are not	Pat Pratley	Ensure close liaison with all interested parties and that the	3 - Marginal	2 - Very Low	6 Reduce	Discussions have been finalised to provide the contractor access to the	David Roberts	24/02/14	

		effectively mitigated then there is a corporate risk that expenditure beyond that allocated to the project will be put at risk.		project is managed effectively and that the Cabinet Member is kept informed of progress.					site and for a variation agreement to be agreed by the 28/2/2014 so as to facilitate the subsequent relocation from 29 Crabtree place to 54/54a Folly Lane.		
21	Feb 13/14	CR64 - Closed - If the proposed transaction between CBC and preferred bidder for North Place fails to occur as a result of market instability then we would be unable to deliver price & quality of outputs agreed or failure to secure planning consent then CBC will be forced to abandon existing process and begin again.	Jeremy Williamson Andrew North	CBC needs to maintain close liaison with preferred bidder to work through challenges as appropriate. However it is recognised that for some items, such as global economic instability, there is no mitigation possible.	1 - Low	1 - Almost Impossible	1	Close	CBC and Auger Buchler completed on the sale of Portland Street and North Place at end of Jan 2014. Recommendation to SLT to close and for any new risks to be identified by Head of Property Services in relation to re-gear of North Place to ensure development proceeds as planned	Jeremy Williamson	25/02/14