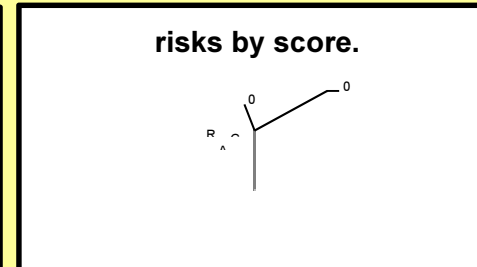
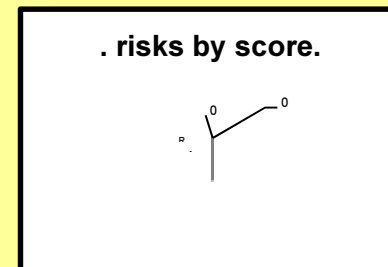
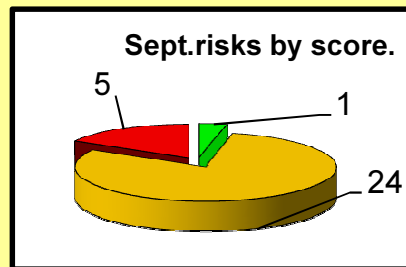
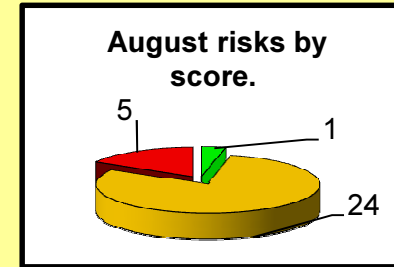
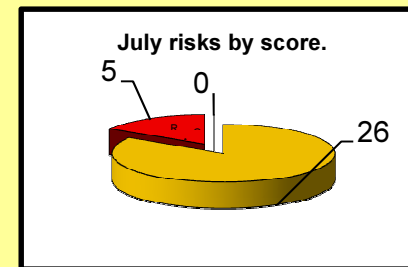
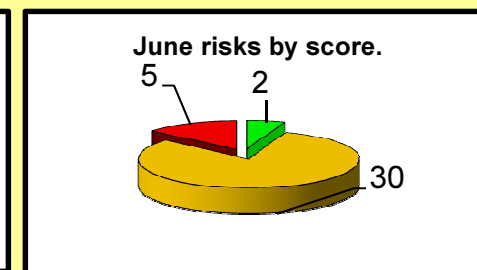
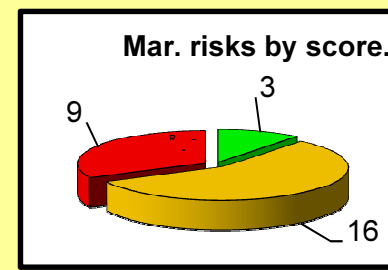
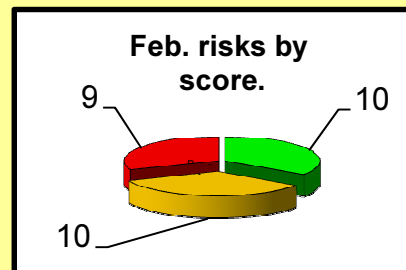
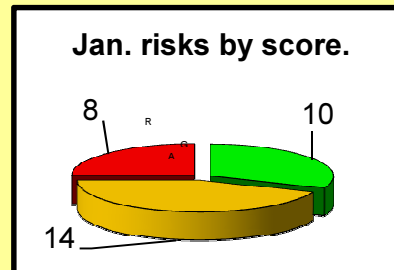
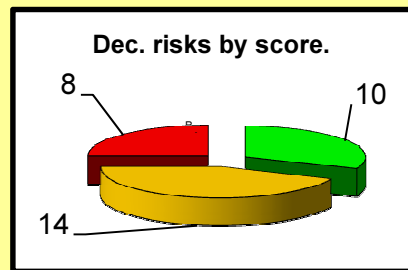


Cheltenham Borough Council Corporate Risk Register Dashboard 2010 - 2011

09/09/11 12:13

Total number of Low Medium and High risks	Risk scores updated following SLT monitoring meeting											
	December	January	February	March	May	June	July	August	September	October	November	December
Risks scoring												
< than 7	10	10	10	3	2	2	0	1	1			
> than 10 but < 16	14	14	10	16	24	30	26	24	24			
> than 15 but < 25	8	8	9	9	9	5	5	5	5			
Total number of open risks	32	32	29	28	35	37	31	30	30	0	0	0
Number of risks closed by SLT since 01/01/2011			5	6	11	13	19	21	21			
Total number of risks on register	32	32	34	34	46	50	50	51	51	0	0	0



Total number of risks on target to meet deadline by score	Deadlines updated following monthly SLT monitoring meeting											
	February	March	May	June	July	August	September	October	November	December	January	February
Low Risks												
< than 7 on deadline	8	3	2	2	0	1	1					
< than 7 may not meet deadline	2	0	0	0	0	0	0					
< than 7 will not meet deadline	0	0	0	0	0	0	0					
Medium risks												
> than 10 but < 16 will meet deadline	8	12	18	26	22	21	20					
> than 10 but < 16 may not meet deadline	2	4	6	4	4	3	4					
> than 10 but < 16 will not meet deadline	0	0	0	0	0	0	0					
High risks												
>than 15 but < 25 will meet deadline.	7	7	6	5	5	5	5					
< than 15 may not meet deadline	2	2	3	0	0	0	0					
>than 15 but < 25 will not meet deadline.	0	0	0	0	0	0	0					
Total number with deadline indicator	29	28	35	37	31	30	30	0	0	0	0	0

Cheltenham Borough Council Risk Register August SLT Version 4 as at... 09/09/11 12:13				Risk score		Managing risk				Mitigating action taken		Date of current/ last update		
row number	Risk Ref.	Risk description	Risk owner	Date raised	Impact Likelihood	Score >16 Red 7 to 15 Amber 3 to 6 Green	Control	Proposed Action	Deadline	On Target for deadline?	Responsible officer		(if you are not going to meet the deadline explain why, what action is being to mitigate the risk and what new deadline you propose.)	
1	CR9b	If the Department of Transport are unable to support the traffic proposals which underpin the civic pride schemes, specifically the closure of Boots corner then our vision and outcomes will not be achieved, and this will impact on the council's reputation and the future economic position of the town. Certain schemes such as North Place and Brewery phase 2 can still happen by likely to be enhanced by Boots closure to through traffic. Other schemes such as Royal Well will not proceed as envisaged if closure not deliverable	Task Force Managing Director Jeremy Williamson	01/04/10	4	4	16	Reduce	Initial outputs paint a positive impact on the town centre but disbenefits elsewhere. GCC/CBC have agreed preparation of a mitigation strategy by end of January 2011 which will also reflect impact of CSR.	June/July 2010 Mitigation strategy original deadline January 2011 revised to June 2011	Green	Task Force Managing Director Jeremy Williamson	Despite lobbying of local MP's and chair of LEP, GCC Local Sustainable transport Fund bid to Dept of Transport was not successful but equally not rejected. On this basis GCC have an opportunity to re-submit for the second tranche of funding in February 2012. Task Force to work with GCC on revising bid once initial feedback received from Dept of Transport. Given that there is no alternative or scheme B imperative that efforts are made to engender a positive outcome.	19/08/11
2	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 considered and agreed by MSG April 2011. County Council Housing projections work published May 2011. Econometric Housing Model - work progressing and on target to deliver July 2011 Revised timetable for JCS agreed by MSG July 2011. Econometric housing model delayed but expected mid August.	01/04/13	Green	Spatial planning manager – Tracey Crews	Work is ongoing to draft the report for council in September, there has been some delay with the development of the econometric study. Spatial options and broad locations are currently being tested and a member seminar programme has been arranged. Planning appeal north of Bishop's Cleeve will take place in September and it will be important that the spatial documents are completed to demonstrate prematurely There have been difficulties obtaining data from all of the councils in relation to the econometric housing model. This data is crucial to delivery of the JCS. The timetable for the report to council has now been revised to October 2011.	15/07/11
3	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 Appointment of a strategic infrastructure planner paid for by 3 DCs	Review position 01/07/2011 Sept 2011	Green	Spatial planning manager – Tracey Crews Judith Morris	Verbal confirmation that the County will have difficulty in supporting the infrastructure requirements of the JCS strategy staff cuts. Awaiting confirmation that SIDP support can be offered from the County until June 2011. CBPB - agreed to fund an in house Infrastructure planner on a short term contract. In the interim the County agreed to put in a member of their staff to undertake infrastructure planning for the JCS for 3 days per week until the end of June 2011. The post is at present going through the CBC HR process and it is hoped to have a person in place August 2011 - Dec 2011. Therefore will still be a risk until such time as the person is in place. There have been delays in getting the position graded as the panel said they were unable to grade it. A revised application form has been submitted.	15/07/11
4	CR41	If capacity to lead and manage the changes, at the same time as implementing major change (i.e. a new ERP system), is not secured then the benefits from commissioning and the ERP system will not be fully realized, and morale and motivation may be impacted adversely – affecting existing SLT, members and service managers	Chief Executive Andrew North	28 th October 2010	4	4	16	Reduce	Quarterly review of capacity for major change programmes, by SLT. Agree allocation of capacity funding. Ensure dialogue between project/programme managers and resource managers via portfolio management process re resource requirements and supply.	01/04/12	Green	Dir People, OD & Change Amanda Attfield SLT	Scoping completed re GO Shared Services requirements, and post advertised. Additional £26k is available for CBC local implementation and this will be considered by the local implementation project (GOPK). Capacity to support Waste LAC also under review. SLT considered requirements for major programmes - main pressures are on Finance, ICT, HR, Commissioning. SLT also reviewed capacity as main item at recent SLT away half day, and fed back to Service Managers on 14th July re commitment and actions.	14/07/11
5	CR45	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	AN/JW	21 07 10	4	4	16		It may be possible to utilise receipts from other non Civic Pride sites e.g. Midwinters if necessary. Effective soft market testing suggests optimism over net receipts.	February 2012 - financial close on North Place	Green	Task Force Managing Director Jeremy Williamson	On 01/07/11 four Outline Solution bids were submitted in line with the programme. These are currently the subject of detailed scrutiny with the objective of reducing the number of bids down to two. The last two will be invited to progress to Detailed Solution phase. A briefing for Councillors was delivered on 08/07/11 that explained the process, timetable and headline features of bids received. Other sites e.g. Midwinter will complete subject to planning due to be considered on 21/07/11; such schemes can assist (subject to Council approval) in mitigating any delayed or poor financial returns from North Place.	12 07 11
6	CR53	Resourcing : If availability of critical resources during the GO implementation and post implementation period - then officers involved in project may be unable to provide day to day delivery of service to their authority.	Director People Org Dev & Change Amanda Attfield	19/04/11	3	5	15	Reduce	Mitigating actions: Project structure and reporting defines resource requirements and will highlight any issues. Local GO implementation project due to commence July 2011 (GOPK).	01/03/12	Green	Director People Org Dev & Change Amanda Attfield	GOPK - Go Project K - Go Programme has identified Change Manager for Programme. CBC local co-ordinator appointed. Currently assessing resource needs re the capacity funding identified (£26k) for use. Project manager (RW) will join project from next meeting. Data migration template has identified lead officers for each stream in Finance and Procurement, still to do for HR (waiting person returning from leave). Also need to resolve under-capacity issue in HR, however this can be found from within budget. Next GOPK meeting is planned for 20 September. See also Capacity Risk above.	02/09/11

Cheltenham Borough Council Risk Register August SLT Version 4 as at... 09/09/11 12:13				Risk score		Managing risk				Mitigating action taken		Date of current/ last update	
row number	Risk Ref.	Risk description	Risk owner	Date raised	Impact Likelihood	Score >16 Red 7 to 15 Amber 3 to 6 Green	Control	Proposed Action	Deadline	On Target for deadline?	Responsible officer		(if you are not going to meet the deadline explain why, what action is being to mitigate the risk and what new deadline you propose.)
7	CR34 b	If the council does not have robust testing of its business continuity plans then there is a risk that they may not be effective	Exec Director Grahame Lewis	05.07.10	4	3	12	Reduce 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	01/09/11	Amber	ICT Infrastructure Manager Paul Woolcock	Installation of equipment, data replication software and site recovery management systems to allow for key business critical systems to be replicated at the depot have been installed. Initial testing has identified the need for additional configuration requirements which are now being addressed. Testing of GO system replication is to be completed to provide assurance to the GO programme board. This will be used to demonstrate the principle of site replication for all CBC systems. ICT to work with SLT on prioritising the 72 CBC systems and to develop a full testing programme to be rolled out over an agreed timetable taking into account CBC resourcing capacity. The outcome for this test will provide assurance to SLT that its back-up systems are effective. August: Schedule for GO DR test 14th - 16th September. Work is underway to reconfigure the network and server topology at the recovery site to meet this date.	12/08/11
8	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	Director People Org Dev & Change Amanda Attfield	01/02/10	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	01/03/2011 As per the action plan considered by audit committee Mar 2012	Amber	HR Operations Manager Julie McCarthy	Planned actions re H&S are continuing re reducing absence levels in Operations area - a informative visit to BaNES has taken place, and an update provided to the JCC on 1st September. Specific targeted action plan was under development for review end August 2011 but will now be considered in September. Capacity and skills shortage has impacted HR service's ability to report on workforce intelligence inc. absence data from CHRIS21. Interim measures are in place. E&BI are due to consider a report on absence levels in January 2012.	02/09/11
9	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.	Director People Org Dev & Change Amanda Attfield	25/02/10	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, skills for business, development programme, developed and delivered during 2011/12.	complete SMs Dec 2011 Members Dec 2011	Amber	HR Manager Learning and Org. Development Jan Bridges	Service Managers: Skills audit is complete. There is only one 'weak' area across all SM, that is marketing. Funding for this development will be from Corporate training budget. Individual skills 'gaps' will be addressed via coaching, buddying and internal workshops. A) COMPLETED B) REVISED deadline for delivery Dec 2011. Members: The skills audit return is low. Discuss with Group leaders how to take these forward and alternative approaches for those who have not responded. B) REVISED deadline for delivery Dec 2011	14/07/11
10	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	Director of Resource s Mark Sheldon	26/01/10	3	4	12	Reduce Development of the BtG programme. Establishment of a cross party working group following the elections in May. Review budget scrutiny process. Review and rolled out revised budget consultation process SLT presentation of new ideas to Cabinet leads.	01/09/10	Green	Director of Resources Mark Sheldon	Monthly BtG meeting with the Cabinet lead and monthly reports to SLT (Operational Programme Board) on progress in delivering BtG initiatives for both current and future years supported by budget monitoring reports to Cabinet. SLT have responded to the in year shortfall in green waste bin sales by freezing supplies and services budgets for 3 months and ensuring recruitment decisions are robust and also continue to work with Cabinet in identifying new initiatives for bridging future funding gaps. The Budget Working Group now established and has a work programme to support the budget process and to develop members budget scrutiny roles.	06/09/11
11	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.	Director Wellbeing & Culture	01/06/07	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.	01/08/12	Green	Museum and Arts Manager Jane Lilystone	Whilst Council approved the decision to underwrite the project funding shortfall of £919,587 (subject to a successful HLF bid) this sum will be raised through further fundraising by the CAG&M Development Trust and the Friends of CAG&M. The Phase III Fundraising Strategy will be launched on 25 May 2011 with the aim to have raised the £919k shortfall by the end of the build & construction stage of the project. (October 2012) prior to the commencement of fit out. Closure eventS took place on 25 May. a public fundraising launch will take place in late August, followed by a corporate fundraising event in September.	10/08/11
12	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.	Director of Resource s Mark Sheldon	09/04/10	4	3	12	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.	01/12/11	Green	Director of Resources Mark Sheldon	In April 2011, the Icelandic District Court judged that UK local authorities deposits be recognised as having priority status over other creditors' claims and will be at the front of the queue when it comes to getting their money back following the collapse of the failed Icelandic banks. However this decision has been appealed and will now be considered by the Icelandic supreme court in the autumn of 2011.	06/09/11
13	CR28	Icelandic banks - financial exposure 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 factored in through capitalisation of losses.	Director of Resource s Mark Sheldon	09/04/10	4	3	12	Accept Council commitment to join in group action with other councils to defend current priority depositor status.	01/12/11	Green	Director of Resources Mark Sheldon	In April 2011, the Icelandic District Court judged that UK local authorities deposits be recognised as having priority status over other creditors' claims and will be at the front of the queue when it comes to getting their money back following the collapse of the failed Icelandic banks. However this decision has been appealed and will now be considered by the Icelandic supreme court in the autumn of 2011.	06/09/11
14	CR36	If changes to contractual allowances are made outside the collective bargaining process, there may be local industrial action, morale and motivation may be impacted.	Director People Org Dev & Change Amanda Attfield	30/09/10	4	3	12	Reduce Seek to consult and negotiate via collective bargaining. Communicate and engage employees impacted re reasons for change. Ensure follow collective consultation regulations and give required contractual notice.	End March 2012	Green	HR Manager Operations Julie McCarthy.	No current issues. Will continue to monitor the position. Tus have raised concerns about the withdrawal of the car user allowance scheme from April 2012, and have signalled their intention to write formally.	02/09/11

Cheltenham Borough Council Risk Register August SLT Version 4 as at... 09/09/11 12:13				Risk score		Managing risk				Mitigating action taken	Date of current/ last update			
row number	Risk Ref.	Risk description	Risk owner	Date raised	Impact Likelihood	Score >16 Red 7 to 15 Amber 3 to 6 Green	Control	Proposed Action	Deadline	On Target for deadline?		Responsible officer	(if you are not going to meet the deadline explain why, what action is being to mitigate the risk and what new deadline you propose.)	
15	CR40	If Partner organisations are not sufficiently 'bought into' the commissioning process then there is a risk that the commissioning work will be done in isolation and potential savings and effective delivery of outcomes will be reduced.	Chief Executive Andrew North	28 th October 2010	4	3	12	Reduce	Effective engagement with the VCS forum, plus other partners through CSP and thematic partnerships. The objective of 'place based' project is to engage partners and create alignment. Ensure that joint funding is subject to use of proper commissioning disciplines.	Continuing to October 2012	Green	Policy and Partnerships Manager Richard Gibson	£10k pa agreed in budget to extend current CIG with Chelt VCA. Positive meetings held to take forward the partnership improvement project with Institute for Voluntary Action Research and programme of 3 sessions completed. Action plan and new structures proposed and will be taken forward. CSP endorsed the proposals at their meeting in June and a meeting has been held with officers at GCC to ensure that proposals are discussed at senior level within the organisation.	12/07/11
16	CR47	If the emerging car parking strategy which specifically relates to development sites is not properly articulated then it is likely that any potential redevelopment could be misinterpreted and not favourably received.	AN/JW	16 02 11	3	4	12	Reduce	Need to finalise car parking strategy through parking board Develop a communications plan to thoroughly involve stakeholders as early as possible.	18/10/11	Green	Owen Parry	Introduction of a series of parking demand management applications enabling data collection and modelling of demand, linked to the work undertaken through the Civic Pride traffic modelling will assist in formulating the parking strategy. At the Parking Board held on Thursday 11th May 2011 support was gained to continue with the process of engaging with key stakeholders and other interested parties through the resident and on street parking consultations. Further it is planned to link in the Parking Strategy project work to the Cheltenham Development Highways working group ensuring a holistic approach is taken in developing the strategy.	21/06.2011
17	CR56	Due to financial constraints the GO Programme does not have a separate business change manager role, and if the necessary change both within the retained organisation and inside the shared service does not take place to the required level, savings may be compromised. This was logged as a risk in August 2010, however on 20th April 2011 the GO Programme Board took a decision to increase the risk rating.	Exec Director Pat Pratley	10/05/11	3	4	12	Reduce	Mitigating actions - GO Programme Manager to maintain a close watching brief of business change tasks. Risk level raised as action was felt insufficient for the task. Other possible actions being considered. CBC to consider funding bid for business change capacity. CBC local GO Implementation project (Project GOPK) to commence July 2011. Further assessment of CBC capacity requirements to take place as part of GOPK.	01/09/11	Green	Director People Org Dev & Change Amanda Attfield	GO Shared Service Programme have appointed a Change Manager to commence role mid Sept. CBC has also appointed a local change co-ordinator (as have two of the other partner council, with the third to make an appointment w/c 5th Sept). See above re GO Project K - CBC's local implementation project - which has now commenced, and Capacity risk above.	02/09/11
18	CR57	North Place & Portland Street process may be compromised by misunderstanding of the proposal or legal framework (OJEU) within which proposal has been developed	AN/JW	23 05 11	4	3	12	Reduce	Ensure effective communication of structures	Early July	Green	AN/JW	informal briefing by G Garbutt/JW to inform Councillors of nature of bids received. Final recommendation for preferred bidder in November 2011 will reflect OJEU scoring outcome. Cabinet can reject proposal and decide not to progress a scheme but ability to appoint under scoring bid fettered by OJEU process and likelihood of legal challenge. Scoring of the bids taking place reway to shortlist 2 bidders. Public consultation planned for august and early september	14/07/11
19	CR59	if the council does not fully understand and plan for the impacts of new housing legislation and welfare reforms and their interdependencies then there is a risk to communities and to the MTFS.	Director of Resources Mark Sheldon	17/06/11	4	3	12	Reduce	the development of the HRA business plan and associated risks, member seminar, housing review working group Report to Cabinet 27.09.2011 Review report to cabinet 18.10.2011 HRA business plan report to be taken to cabinet	31/10/2011 18/10/2011	Green	Director of Commissioning Jane Griffiths	2 meetings have been held with the review group and an assessment undertaken. Member seminar held re Housing Revenue Account and implications of self financing.	14/07/11
20	CR44	If CBC do not complete the PCI self assessment and identify all of the risk then there is a risk that there could be a breach in security and subsequent fines from the Information Commissioner	Director of Resources Mark Sheldon	23/02/11	5	2	10	Reduce	Carry out self assessment to ensure compliance with PCI standard	31/03/12	Green	ICT Infrastructure Manager Paul Woolcock	Customer and support services manager has been in discussions with the bank. Currently reviewing which self assessment questionnaire (SAQ) each service area will need to complete. The bank has indicated that no PCI assessment is required for the current Regents Arcade system as this is being replaced. Access and file storage of the existing Regent Arcade system has been amended to minimise the risk of data loss. Once a new system has been selected a PCI assessment is required as part of the installation process. Customer and support services manager and ict infrastructure manager are contacting service managers over guidance and which SAQ forms they need to complete. Likelihood changed from 3 to 2. August: Feedback from bank that a SAQ needs to be completed for each system in use by the authority. Limited resources has prevented progress on this task.	06/09/11
21	CR13	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	Director Commissioning - Jane Griffiths	01/03/10	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	01/12/11	Green	Policy and Partnerships Manager Richard Gibson	Equality impact assessment has been carried out on the budget; equality issues has been included in new community assessment tool to be used as part of commissioning work. SLT have been briefed on the introduction of the new public sector equality duty set out in the Equality Act.	12/07/11
22	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 loss of assets, leading to a reduced public reputation and a lack of confidence from regulators	Director Commissioning - Jane Griffiths	01/02/10	3	3	9	Reduce	Annual data audit undertaken to identify classification of data Information strategy to be developed jointly with CBH	revised target date set - March 2012	Green	Director of Resources Mark Sheldon	The information strategy and supporting policies and staff guidance has been redrafted by the officer working and will be signed off by SLT on 27/9/11 and presented to service managers in October 2011. Support training to be organised.	06/09/11

Cheltenham Borough Council Risk Register August SLT Version 4 as at... 09/09/11 12:13				Risk score		Managing risk				Mitigating action taken		Date of current/ last update		
row number	Risk Ref.	Risk description	Risk owner	Date raised	Impact Likelihood	Score >16 Red 7 to 15 Amber 3 to 6 Green	Control	Proposed Action	Deadline	On Target for deadline?	Responsible officer		(if you are not going to meet the deadline explain why, what action is being to mitigate the risk and what new deadline you propose.)	
23	CR48	If key employees are suddenly unavailable then service delivery will be severely compromised.	Chief Executive Andrew North	16/02/11	3	3	9	Reduce	SLT to agree a working definition of key role - along lines of "highly technical, specialist knowledge residing in a single individual, that could not be easily picked up or covered by others in the event of sudden loss of that individual, the work cannot wait (is time driven)". SLT to identify which roles in their areas were "key" that would cause a major service disruption issue if they were suddenly unavailable - e.g. what is the degree of risk - what is in place that could cover the loss. SLT to determine actions to take in the event of a sudden loss of the key employee/s - this may vary according to the nature of the role/key employee/s. SLT to review findings of above actions.	Revised deadline set - end October 2011	Green	Director People Org Dev & Change Amanda Attfield	Process underway - SLT members are to identify "key" (definition of Key is agreed) posts and mitigating actions by end September. SLT to review summary findings in October. Deadline for completion re-set.	02/09/11
24	CR54	The proposed welfare reforms and parallel increases to affordable rents may lead to an increase in housing rent arrears across the social rented sector.	Director Commissioning - Jane Griffiths	04/04/11	3	3	9	Reduce	Keep government proposals for reform under review. Housing working group to be established to understand the impacts and what further action our housing benefit teams can undertake to mitigate against the reforms.	01/10/11	Green	Director Commissioning - Jane Griffiths	Housing Revenue group has met to consider implications. Officer group and relevant cabinet leads are also meeting. Issues report provided to Soc and Com. Committee who identified some specific areas they would wish to see addressed and officers are currently scoping format for housing strategy which will incorporate homelessness and tenancy strategies. .	07/09/11
25	CR55	If the council is not alert to new legislation with regard to fixed term tenancy arrangements and social rents then it may find that there are issues with people's ability to access social rented properties and the potential disruption to communities as people face fixed term tenancy arrangements.	Director Commissioning - Jane Griffiths	19th April	3	3	9	Reduce	Member working group to be established to understand the implications. Following review tenancy strategy to be drafted in consultation with CBH. As part of the review consideration to be given as to how the changes will impact on housing advice and housing options. Review to report back to cabinet October 2011	01/10/11	Green	Director Commissioning - Jane Griffiths	Housing Revenue group has met to consider implications. Officer group and relevant cabinet leads are also meeting. Issues report provided to Soc and Com. Committee who identified some specific areas they would wish to see addressed and officers are currently scoping format for housing strategy which will incorporate homelessness and tenancy strategies. .	07/09/11
26	CR58	If the Waste Project does not include impact assessments to the residual (client side) organisation then customer service and reputation could be put at risk	Exec Director Grahame Lewis	17/06/11	3	3	9	Reduce	Develop a programme of work to support the establishment of the local authority company that includes impact assessments and meets agreed deadlines	31/03/12	Green	Director of Commissioning Jane Griffiths	member working group has met several times to consider what services should be in and out of scope and the consequence of such decisions. Work is ongoing on the consideration of the client side and customer interface with the company. Gateway review in readiness for a report to cabinet is being conducted on 20 September.	07/09/11
27	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, and there will not be sufficient resource to support necessary tasks regarding payroll (returns re Pension Scheme and statutory returns to Inland Revenue) and ABW (GO) implementation.	Director People Org Dev & Change Amanda Attfield	01/04/10	4	2	8	Reduce	Raise as GO Programme risk. Monitor situation. Seek and obtain required skill set and experience - advertise role with partners, SWEmployers, other networks. Seek Agency support via Comensura / temporary contract.	Revised deadline set - end September 2011	Green	HR Operations Manager Julie McCarthy	Had identified a replacement Payroll Advisor via an agency, however the required knowledge and skills did not materialise. Were able to identify an alternative temporary resource but this person will not commence until mid September. In the event we did not meet the original deadline to have a replacement in place by end June 2011, which is when the replacement was needed to handover from the postholder (who commenced maternity leave in August). Deadline revised to meet current plan. We have reviewed budget position, and due to capacity demands will still need to recruit additional administrative resource to manage the data migration and data cleansing needed for ERP implementation - this will be done within existing budget. Have re-set deadline.	02/09/11
28	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.	Director Commissioning - Jane Griffiths	06/05/10	4	2	8	Reduce	Services are required to identify the actions they will be taking to respond to climate change (both adaptation and mitigation) in 2011/12 service plans. Internal audit has a trained officer in environmental auditing who will be assessing progress against the adaptation risk assessment.	01/09/11	Green	All Directors Audit Partnership Manager Richard Gibson, policy and partnerships manager	Given the new divisions following the s4 reports new service plans will need to be developed and this will be an ideal time to incorporate adaptation requirements Internal Audit now has a trained environmental auditing officer. This officer has completed a Sustainability & Environmental Management Review due to be discussed at Audit Committee on the 12th January 2011 An assessment tool was approved by the programme board in November and will be used in the initial review of leisure and culture to test its use and revised accordingly SLT has reviewed the planned climate change adaptations and has asked divisions to identify climate change champions; this champions group will be established once restructuring has been completed and risk assessments revised to reflect new structures. Risk remains amber but likelihood has been reduced to reflect completed and planned actions. SLT has agreed the energy policy and the low carbon group (which includes members) has identified a series of actions. Commissioning also includes a sustainability assessment	12/07/11
29	CR52	If the Waste Project between some of the GO partners has significant effects on the GO programme from both a Governance and operational perspective, delivery of the GO Programme may be adversely impacted.	Exec Director Grahame Lewis	10/05/11	4	2	8	Reduce	Mitigating actions - a set of fact finding tasks has been initiated, including a meeting held on 3rd May, covering legal, finance, communications, governance, and human resources issues as related to the GO Programme.	31/03/12	Amber	Director of Resources Mark Sheldon	A set of fact finding tasks has been initiated and a meeting arranged on 3rd May to progress the matter further - Update 12/5/11 Two meetings have been held to discuss the issues involved. Progress has been made, although challenges remain. Update 15/6/11 - Outline Business case has now been developed that has suitable funding to reduce risks to GO Programme UPDATE (29/6/11) Approval has been gained, but detail is still considered lacking. Residual Go Programme risk raised from 6 to 8 - HIGH RISK.Amber until detail issue is resolved.	13/07/11
30	CR60	If the business plan for the new service fails to be delivered this will impact on HLF bid and MTFS.	Director of Wellbeing and culture	16/08/11	2	2	4	reduce	Savings identified within the MTFS 2011/12 are on target following completion of re-structure of FoH in August 2011. Commencement of 2nd phase of re-organisation in September 2011, and negotiations regarding income generation activities.	01/12/11	Green	Museum Arts centre Manager Jane Lillystone	Review of business plan submitted to HLF to provide further information regarding income generation within the areas of the café, retail and community arts space will be complete by December 2011.	18/08/11

Cheltenham Borough Council Risk Register August SLT Version 4 as at... 09/09/11 12:13				Risk score		Managing risk				Mitigating action taken	Date of current/ last update		
row number	Risk Ref.	Risk description	Risk owner	Date raised	Impact Likelihood	Score >16 Red 7 to 15 Amber 3 to 6 Green	Control	Proposed Action	Deadline	On Target for deadline?		Responsible officer	(if you are not going to meet the deadline explain why, what action is being to mitigate the risk and what new deadline you propose.)
31	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.	Director Wellbeing & Culture	01/06/07			close	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)	01\09\11		Museum and Arts Manager Jane Lillystone	Following the appointment of the Principal Contractor ISG Pearce, and the commencement of mobilation of he site on 26 July 2011, the appointment of a dedicaed project manager to lead the programme of works was made in August. The postholder is now place and will sit on the Art Gallery & Museum Development Project Team. The business plan submitted as part of the HLF bid will be reviewed by December 2011 to provide further detailed financial information regarding income generation within the areas of the café, shop and "community" space. Closed at SLT 16-08-2011 New risk created for financial issue	10/08/2011
32	CR49	If County LEP does not progress then it may damage the ability of the Task force to deliver wider vision through inability to access potential funding and technical resources	Chief Executive Andrew North	21 07 10	2	4	Close	Engage with County and other stakeholders throughout development and bidding stage of LEP process	On going		Chief Executive Andrew North	LEP proposal discussed with stakeholders and submitted to Dept. CLG and BIS LEP established and successful business event undertaken by the LEP which was well received. County strategic Infrastructure Planning Group will interface with LEP re land use and infrastructure issues. SLT agreed 17-08-2011 that this risk has been mitigated and that it should be closed	14/07/11
33	CR60	If the required data for GO process projects (including Interface data) is not made available in required timescale then project delivery date could be delayed	Director People Org Dev & Change Amanda Attfield	20/06/11	4	3	Close	To be monitored and actively managed through effective project management of process projects. Concerns exist about the (local) resource available for required data cleansing & preparation activities. No additional mitigation is possible at this stage.	01/11/11		Director People Org Dev & Change Amanda Attfield Paul Jones Head of Financial services	Risk considered by SLT and refered back to GO programme board. Closed	
34	CR61	If the demands on GO Project Management Office (PMO) exceed capacity due to unforeseen issues such as the Waste Project and a number of current challenges then the project delivery dates could be put at risk.	Director People Org Dev & Change Amanda Attfield	20/06/11	3	4	Close	Partners will investigate what temporary project management resources might be available. Short term support to GOPA & B from SRO; joint interfaces / data migration (GOPH/); specific ICT support from Mike Brown (Cotswold District Council).	01/11/11		Director People Org Dev & Change Amanda Attfield Paul Jones Head of Financial services	Risk considered by SLT and refered back to GO programme board. Closed	
35	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	Director Operations Rob Bell	01/02/10	3	2	Close	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 27th July 2010. If approved, risk rating will significantly reduce.	01/03/11		Waste and Recycling Manager Beth Bought on	Cabinet approved new waste and recycling change programme on 27 th July 2010. Project underway to deliver these changes and is currently on track. County residual waste strategy still in development Risk rating to remain at 6. West Management Strategy approved. Risk should be closed as per SLT 21st June 2011.	07/01/10
36	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	10/03/10	3	3	Close	CEX has discussed this matter with group leaders Letter of apology signed by CEX and Group leaders Clear action plan developed on lessons learnt. CEX to discuss with group leaders should any further issues arise.	01/09/11		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 This will be reviewed following the final consideration by the Audit Committee March 2011. recommend closure	08/04/11
37	CR51	Airport Project If the airport project cannot be delivered within the business plan parameters, (including borrowing limits) approved by Cheltenham and Gloucester city councils, then the borrowing costs may fall on the councils	Director of Resources Mark Sheldon	09/03/11	2	3	Close	The project team must ensure that the project is delivered to the agreed costs and timescale	01/04/11		Director of Resources Mark Sheldon	Development funding agreement in place to protect council interests. Project management in place and expert project assurance role being provided for stakeholders to monitor costs in line with business case. Since project is now managed by the airport project board with Director of Resources representative, suggest this project is now closed. SLT 21/06/2011	17/06/11
38	CR50	if there is not sufficient time for detailed review and approval of the Solution Design Documents (SDDs) for the GO Programme (Agresso system), and preparation for that review within required timescales, then the eventual solution design may not be robust.	Director People Org Dev & Change Amanda Attfield	08/03/11	4	3	Close	Mitigating actions - Programme Plan being prepared. Need to ensure adequate time for preparing and conducting Gateway reviews of key programme documentation. Locally, need to ensure time is set aside for process work (e.g. via super users), and Programme Board members to ensure relevant attendance at sign off meetings (March/April).	05/04/11		Director People Org Dev & Change Amanda Attfield	Ensured key employees were made available for review of processes, and work prioritised to help this - this is now completed. Final sign off took place (Finance and Procurement) 18th April. E Recruiter process design to be approved electronically by 17th May, no resource issues. Suggest this risk can be completed and closed. sit 21/6/2011	10/05/11

Cheltenham Borough Council Risk Register August SLT Version 4 as at... 09/09/11 12:13				Risk score		Managing risk				Mitigating action taken	Date of current/ last update		
row number	Risk Ref.	Risk description	Risk owner	Date raised	Impact Likelihood	Score >16 Red 7 to 15 Amber 3 to 6 Green	Control	Proposed Action	Deadline	On Target for deadline?		Responsible officer	(if you are not going to meet the deadline explain why, what action is being to mitigate the risk and what new deadline you propose.)
39	CR39	Requirement to fund projected overspend from General Balances would result in General Balances falling below the minimum range of £1.5m to £2m set by the Chief Finance Officer.	Cabinet	01/06/10	3	3	Close	In preparing the revised budget for 2010/11, an exercise to realign earmarked reserves will be undertaken in order to strengthen the level of General Balances.	01/12/2010 30/06/2011		Director of Resources Mark Sheldon	SLT agreed a recruitment freeze and reviewed supplies and services budget resulting the projected £800k overspend being managed to a £174K under spend in 2010/11. Suggest this risk can now be closed (agreed at slt 21/6/2011)	17/06/11
40	CR34 a	If the council does not have robust testing of its business continuity plans then there is a risk that they may not be effective	Exec Director Grahame Lewis	05.07.10	4	4	Close	Desk top recovery test based on worst case scenario i.e. municipal offices out of action	01/12/2010 01/09/2011		Exec Director Grahame Lewis	Desk top exercise undertaken and BCP are being revised in light of this test. Planned testing of depot back up arrangements is to take place over the summer of 2011. This risk has been split to allow for on going resilience testing of BCP with a new deadline of 01/09/2011 Suggest close this risk	07/01/11
41	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	Exec Director Grahame Lewis	23/08/10	4	3	Close	Revised supplementary planning document consulted on for North Place, subject to Full Council approval. Property advisors appointed with aim of marketing January 2011.	Council December 2010 Jan 2011		Executive director	SPD formally adopted on 13.12.10 (Full Council). OJEU Notice issued 24.1.11 as per target. 5 bidders short listed in line with programme. Other asset disposals progressing as planned. Closed and combined with CR45 as per JW	06 06 11
42	CR8	If the council does not manage its ambitious change management programme effectively it will put pressure onto employee resources and may impact on the delivery of services	Chief Executive Andrew North	01/02/10			Close	The operational programme board has an oversight of the key change programmes which are run using the Managing Successful Programmes and PRINCE2 methodologies. The council's approach to portfolio management to be agreed. Approach to be reviewed to ensure that these methodologies are applied consistently	01/03/11		Business Development Manager Ken Dale	Resource 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. The recruitment freeze put in place Oct. 2010 to reduce the budget may have an impact on resources and will need to be analysed in April 2011. SLT on 9 November agreed that the likelihood score should increase from 3 due to implications of the recruitment freeze. The council's approach to resource management for major change programmes and projects is now largely agreed. SLT regularly considers resource requirements and the process of establishing requirements and addressing issues which arise is maturing. AN recommends that risk should be closed as it has been replaced by CR41 agreed SLT 10-05-2011	08/04/2011
43	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	22/03/10			Close	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. KPMG will review progress as part of the annual audit of accounts.	Deadlines as per the action plan. First monitoring report June 2010. Audit committee September 2010, January and March 2011 01/03/2011		Director Commissioning - Jane Griffiths	Third monitoring report has been drafted for audit committee and actions are on track for completion. Internal audit have undertaken a review of the action plan. Suggest that this risk is closed following the final update report to audit committee on the 23rd March 2011. This should be closed	08/04/11
44	CR 37	If there is national strike action as a result of the recent TUC motion to protest against the trajectory of government budget reductions, service delivery is likely to be disrupted	Director People Org Dev & Change Amanda Attfield	14/09/10			Close	Monitor likelihood, communicate Council case to employees, consult locally with unions, publish guidance to managers. Intranet updates re pay offer posted out to employees (done 18 02 2011); SLT and Cabinet lead kept informed.	01/03/11		HR Operations Manager Julie McCarthy	Monitoring situation. Employers organisation indicate strike action over pay, and budget situation is unlikely, action over any proposed pensions changes is more likely. Recent letter to chief execs received from regional secretary Unison SW to clarify union position on changes to terms and conditions. Suggest this can be noted and closed as a risk.	19/04/11
45	CR26	Airport If the airport project 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.	Director of Resources Mark Sheldon	01/04/10			Close	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.	01/09/2010 01/04/2011		Chief Finance Officer Mark Sheldon	Council approved additional borrowing facility to support the delivery of the revised businessman plan reflecting post tender evaluations. All legal documentation and procedure for loan mechanism now in place. Negotiations over Blenheim house remain unresolved. Deadline has been revised to reflect ongoing negotiations in relation to Blenheim house Risk Closed as per SLT1st March (new Airport Risk created)	07/01/11