

Cheltenham Borough Council Risk Register				Risk score		Managing risk				Mitigating action taken	Date of current/ last update			
09/01/2012 12:25				Impact and likelihood										
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	CR63	If we fail to agree a county wide approach to implementing the Supporting People strategy then it would result in an inability to effectively manage the budget which would result in reduction of services and/or failure to provide appropriate and integrated housing related support services. This in turn would impact disproportionately on the most vulnerable members of our community and may increase demand on homelessness budget.	Mike Redman	14/09/2011	4	4	16	Reduce	Influence implementation of strategy via consultation and partnership planning processes to secure robust programme of delivery that meets local and county wide needs	To be determined by SP Partnership Board	Green	Martin Stacey	To meet with partner organisations. Monthly meetings are now being held with Cheltenham Borough Homes to consider potential challenges and opportunities with regards to sheltered housing, plus alternative options. CBH are part of GALF, a Gloucestershire-wide group comprising a small number of social landlords, with a view to informing SP commissioning processes. GCC have delayed a report to their cabinet and are due to meet with CBH/CBC towards the end of January to discuss transitional arrangements. Other relevant groups which have CBC representation are: SP Partnership Board SP Core Strategy Group SP Provider Fora Cheltenham Housing and Support Forum	29/12/2011
2	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	01/04/2010	4	4	16	Reduce	Initial outputs paint a positive impact on the town centre but dis-benefits 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	DCResearch appointed to assist with economic evaluation aspect of LSTF bid working with GCC,CBC and Glos City; draft report anticipated for 08/12/11. This will bolster letters of support being generated from local retailers/businesses by M.Quantock/J. Williamson. A meeting with Dept for Transport arranged for 15/12/11 where further advice to be sought over final shape for resubmitted bid.	28/11/2011
3	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. Econometric Housing Model received and analysis undertaken. Seminars for councillors to explain the projections. Decision to consult from all three councils and consultation underway.	01/04/2013	Green	Spatial planning manager – Tracey Crews	3 JCS councils agreed JCS - developing the preferred option. Formal 9 weeks public consultation began 13 December 2011. In considering the emerging JCS there continue to be differences of views between councils. tensions arising need to be managed. JCS Cross Boundary Programme Board has been alerted via JCS risk log. CBC member working group to be established in addition to JCS member steering group to address concerns raised by elected members in regards to engagement.	23/12/2011
4	CR64	If the proposed transaction between CBC and preferred bidder for North Place fails to occur as a result of market instability, inability 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.		31/10/2011	4	4	16	Reduce	CBC need 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.	31/03/2012	Green	Task Force Managing Director Jeremy Williamson	Positive negotiations continue between CBC and Augur Buchler. Now awaiting board level approval from housing and foodstore operator, at which point aim to issue OJEU award notice and once 10 day standstill period elapsed, exchange contracts.	28/11/2011
5	CR67	If GCC give notice within the next 3 months to terminate the existing agency agreement relating to the management of the on-street car parking management and enforcement function in March 2013 then CBC may be unable to offer or negotiate acceptable terms for the renewal of the agreement from that date, This will in turn lead to significant HR and financial implications which will need to be managed.	Mike Redman Director BUILT Environment	03/01/2012	4	4	16	Reduce	Seek early advice and formal confirmation from GCC about their intentions regarding service commissioning. Ensure that existing service is fit for purpose and able to demonstrate efficient and holistic delivery in relation to alternative options. Prioritise review of outcomes from the service which support community plan objectives and seek to work in partnership with GCC in relation to service commissioning. Review potential impact on internal staffing and support costs and consider 'what if' scenarios.	30/12/2012	Green	Integrated transport and parking manager	SLT have requested that a briefing paper be produced detailing financial and other resource implications.	03/01/2012
6	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	Jeremy Williamson	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	Augur Buchler approved by Cabinet as preferred bidder on 18/10/11. Next stage is final clarification on Development Agreement and sub-tenants/sub-sales board approvals with objective of securing an exchange of contracts ASAP. If achieved this will allow for a planning submission targeted for 01/02/12. In the meantime there are sufficient funds in the Civic Pride Reserve fund to undertake key works e.g. East Promenade upgrade and works to improve Grosvenor Terrace car park.	29/11/2011
7	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	19/04/2011	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).	01/03/2012	Green	Director People Org Dev & Change Amanda Attfield	Additional HR admin support secured to release capacity of the teams - including super users, to commence in new year. Finance have secured additional resource needed, to commence in new year. Detailed implementation plans being finalised for Finance and HR, showing main impacts are likely to be around parallel payroll running and during "smart client training" in February. Change management support is in place for CBC's local implementation utilising capacity funding, with an agreed set of priorities to include work to identify £30k savings in retained organisation, as per BtG. "Outside ABW" processes have been mapped for HR and are almost completed for Finance. A communications and training and change plan is being finalised for CBC. Local implementation commenced, with project team to meet 2-weekly from January.	23/12/2011
8	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	3	12	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.	01/04/2012	Green	Dir People, OD & Change Amanda Attfield SLT	From a review of capacity for major programme, main pressure appeared to be within Finance, and additional resource has now been secured to commence fixed term contract in the new year and to end March 2012. A plan is in place to recruit additional resource. Reduced likelihood to 3 from 4. Emerging issue is around the impact on capacity when critical dates for pieces of work are brought forward (e.g. requiring change to deadlines and reports for cabinet). Forward plan items are being tracked. Funding bids for remaining £10k of the £80k capacity fund have been requested by 31 December.	23/12/2011

Cheltenham Borough Council Risk Register										09/01/2012 12:25	Risk score Impact and likelihood			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.)		Date of current/ last update				
9	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	3	12	Reduce	Appointment of a strategic infrastructure planner paid for by 3 JCS LAs. Countywide working group set up to consider collaboration on CIL. County council focussing its attention on being an infrastructure provider rather than part of the planning process - but the Gloucestershire LEP has agreed to be a conduit for engagement with the business community on infrastructure to support business growth.	working group initial conclusions by Feb 2012	Green	Spatial planning manager – Tracey Crews	SIDP Phase 2 data available from the County to assist with infrastructure planning. CBPB - agreed to fund an in house Infrastructure planner on a short term contract. The approach to CIL is being considered on a Gloucestershire wide basis. Engagement with infrastructure providers relevant to JCS underway	23/12/2011					
10	CR34b	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	01/09/2011	Amber	ICT Infrastructure Manager Paul Woolcock	November: As part of the centre of excellence for the hosting and supporting the GO infrastructure ICT was required to conduct a DR exercises of GO live system in September. This was successfully completed and the live environment was available to all GO partners within the agreed target of 2 days. Work is underway to utilise this technology for CBC applications. SLT requested that MS discuss progress re other key systems with PW and review deadline. November: A paper is being drafted for SLT (end of Jan) to discuss CBC applications DR options and recommendation.	05/01/2012					
11	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.	Director People Org Dev & Change Amanda Atfield	01/02/2010	4	3	12	Reduce	Introduction of health and safety audits inc. addressing issues in the internal audit action plan completed. Creation of a Health and Safety strategy - completed Development of a H&S action plan for 2010-11 (to include awareness training for managers and supervisors during 2010-11) - completed. Roll out Harriet Risk Management software - decision made not to roll out.	01/03/2011 As per the action plan considered by audit committee Mar 2012	Amber	HR Operations Manager Julie McCarthy	Recent HSE inspection at the Depot was positive, with a few minor issues to pick up. Health and Safety quarterly report (June-Sept 2011) was presented to the JCC on 24th November. More "near misses" and less actual accidents being recorded. Positive improvement in absence levels in Waste and Recycling, where level has reduced by 50% over same period last year. Questionnaire will be issued to employees in W&R to help inform a health and well being plan. Planning is underway re H&S support to the Local Authority Company.	22/12/2011					
12	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 Resources Mark Sheldon	26/01/2010	3	4	12	Reduce	Development of the BiG 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.	01/09/2010	Green	Director of Resources Mark Sheldon	Monthly BiG meeting with the Cabinet lead and monthly reports to SLT (Operational Programme Board) on progress in delivering BiG initiatives for both current and future years supported by budget monitoring reports to Cabinet. The October budget monitoring report to Cabinet / BiG monitoring in October confirmed the structural budget shortfall in 2011/12 and which added to the budget gap for 2012/13. SLT responded to the in year shortfall in green waste bin sales by freezing supplies and services budgets for 3 months and by ensuring recruitment decisions are robust. This supported by other one off savings mitigated the current years projected overspend. The Interim budget has been published for consideration at Cabinet on 13/12/11 including the BiG initiatives for closing the 2012/13 funding gap.	30/11/2011					
13	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 Atfield	30/09/2010	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.	The revised approach to car allowances is a revision to policy which TUs have not agreed. CBC wrote to TUs to set out the position formally. Intranet article published. Briefing note for SLT prepared and issued, and the direction of travel re the allowance proposal confirmed. Employees impacted have been briefed by their managers face to face w/c 5 12 2011, letters have gone out to individual employees, intranet article published. FAQs to be published in the new year in response to individual questions that have come in to HR. Key risks remain around motivation and morale, potential for non-acceptance /non use of vehicle and corresponding impact on service delivery.	23/12/2011					
14	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	Strategy and Engagement Manager Richard Gibson	£10k pa agreed to extend current grant agreement with GAVCA and additional provisions set out in new agreement. Revised partnership structures have been endorsed by cabinet on 18 October and preparations underway for launch of new structures in the new year. Market making work stream so far having limited success but to be considered further in the New Year.	23/12/2011					
15	CR47	If the emerging car parking strategy insofar as it relates to development sites, is not properly articulated, then it is likely that any potential redevelopment could be misinterpreted and not favourably received.	MR/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.	30/06/2012	Green	Owen Parry	Following on from the Cheltenham Parking Board ratifying the process for establishment of necessary working groups to engage with key stakeholders and other interested parties through the resident and on street parking consultations. This has started as evidenced through the Cheltenham south parking review, further work is still required in engaging on a broader level with such interests group as the chamber of commerce, mobility and disability representatives, resident associations, the cycle forum and other key stake holders such as Gloucestershire constabulary etc. Work is ongoing with the Cheltenham development task force highways working group, to ensure an holistic approach is taken in developing the strategy as it relates to the proposed network changes to boots corner and north place redevelopment. This is being achieved through a series of parking demand management applications enabling data collection and modelling of demand together with the traffic modelling. GCC has informally advised of their intention to give notice to terminate the existing CPE agency agreement from 31 March 2013, formal notice has yet to be given but it is expected this will be tabled at the next parki	27/09/2011					
16	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	17/06/2011	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	The proposals for HRA subsidy reform and the impact on the General Fund have now been published and built into the interim budget proposals for 2012/13. CFO's are working collectively to understand the financial implications of benefit and council tax changes and to develop a joint local scheme for council tax benefit reforms.	22/12/2011					

Cheltenham Borough Council Risk Register				Risk score		Managing risk				Mitigating action taken	Date of current/ last update			
09/01/2012 12:25				Impact and likelihood										
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.)	Date of current/ last update
17	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	04/04/2011	3	4	12	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. Current economic conditions are placing additional pressures on tenants and the Government 's benefit reforms in 2013 will significantly increase this risk . CBH have requested additional resources to mitigate the impact through its financial inclusion policy. Through CBH management agreement we will be monitoring actions	31/03/2013	Green	Director Commissioning - Jane Griffiths	Housing strategy will be presented to cabinet in June 2012. The HRA business plan has made provision for the increase in rent arrears, and the draft budget includes provision for additional arrears officers. Positive Lives Partnership have also identified housing as a key risk.	29/12/2011
18	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	23/02/2011	5	2	10	Reduce	Carry out self assessment to ensure compliance with PCI standard	31/03/2012	Green	ICT Infrastructure Manager Paul Woolcock	November: A workshop is planned for November with Service managers who deal with credit/debit card transactions to discuss the PCI compliance process and review which self assessment questionnaire to complete and discuss this can be moved forward. November: Workshop held with service managers who handle debit/credit card information. SAQ forms have been circulate and service managers have been asked to contact their suppliers regarding compliance and complete their information. Service risk registers to capture PCI compliance if applicable December Service managers have been asked to update their own risk registers regarding PCI compliance and feedback supplier correspondence to the Infrastructure Manager, A meeting has been planned for the 12th January with an external consultant to give additional advice/guidelines.	03/01/2012
19	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	01/06/2007	3	3	9	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.	01/10/12	Green	Museum, Arts & Tourism Manager Jane Lillystone	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 for CAG&M. The Phase III Fundraising Strategy was 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 with key dates revised with reference to the launch of public & corporate fundraising campaigns. The public campaign will commence from the end of January 2012, and the corporate fundraising launch (which is being organised through the Development Trustees) will take place in Spring 2012. Overall project cost has now been revised down to £5.6m with £5.38m currently raised. Therefore there remains a fundraising shortfall is £220k. It is anticipated that this will be raised following through the afore mentioned campaigns..	23/12/2011
20	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	25/02/2010	3	3	9	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: Marketing workshops delivery commenced. REVISED deadline for delivery Dec 2011. Members: Discussed with Group leaders how to take these forward and alternative approaches for those who have not responded. REVISED deadline for delivery Dec 2011. Reduced likelihood from 4 to 3 = low.	22/12/2011
21	CR68	If the Local Authority Company (for environmental service) is not fully operational on the 1st April 2012 it could impact upon service delivery	Director Commissioning - Jane Griffiths	06/01/2012	3	3	9	Reduce	Ensure that Go programme aware of interdependencies Project Implementation Plan for LAC is regularly monitored through project team	01/04/2012	Green	Director of Operations Rob Bell	New Risk	06/01/2012
22	CR69	CBH are currently reviewing their management structure, which while ongoing could impact on motivation with the loss of staff expertise, leading to a reduction in service delivery	Director Commissioning - Jane Griffiths	07/01/2012	3	3	9	Reduce	CEX of CBH to support managers through coaching and 1-2-1, Service delivery to be discussed at regular performance meetings (JG)	01/04/2012	Green	Chief Executive CBH	New risk CEX and leader have met with Vice chair and Board	06/01/2012
23	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	01/03/2010	3	3	9	Reduce	Ensure that the council complies with new duties set out in the Equality Act 2010	01/12/2011	Green	Strategy and Engagement Manager Richard Gibson	The Equality Act 2010 introduced new obligations on public bodies via the new Public Sector Equality Duty. To comply with this, we are preparing to publish statutory equality information, covering employees and service provision by 31 Jan 2012 and to set out our equality objectives by 6 April 2012	05/01/2012
24	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 has been established to understand the implications. Tenancy strategy to be drafted for inclusion in the housing strategy to be considered by cabinet July 2012	30/07/2012	Green	Director Commissioning - Jane Griffiths	Housing Revue group has met to consider implications. 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. Cabinet endorsed direction of housing review, housing strategy and HRA business plan at its meeting on 18 October. Tenancies have been discussed with housing forum and CBH	29/12/2011
25	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	17/06/2011	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	31/03/2012	Green	Director of Commissioning Jane Griffiths	A project team has been established and is currently considering some of the identified impacts for the retained organisation. Work is ongoing in the development of the SLA for the new company. Work is ongoing with systems thinking to identify how the disaggregating of services will be delivered in the best way to ensure continuity for the public, as well as ongoing work looking at the way in which the customer and member interface will work. A number of issues have emerged which are being discussed in early January relating to fleet management, invoicing and contracts	29/12/2011

Cheltenham Borough Council Risk Register				Risk score		Managing risk				Mitigating action taken	Date of current/ last update			
09/01/2012 12:25				Impact and likelihood										
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.)	
26	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.	Director of Resources	08/12/2011	4	2	8	Reduce	Complete Privacy Impact Assessment in relation to Go. Raise awareness of Data Protection and Information Security	31/12/2012	Green	Governance officer	Drafted intranet item to raise awareness. Contacted Go partners to start PIA. Onelegal drafting Privacy protocol	08/12/2011
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	01/04/2010	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 March 2012	Green	HR Operations Manager Julie McCarthy	Current temporary resource and team working well. In process of recruiting 20hrs additional temporary administrative resource to help manage the data migration and data cleansing needed for ERP implementation. Capacity funding bid for additional resource between Jan and April 2012 submitted (£7k). Still missing knowledge and experience to manage year end payroll processes, in particular to meet HMRC requirements. Currently working to resolve this, hence timescale revised to end March 12.	22/12/2011
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	06/05/2010	4	2	8	Reduce	A review of the climate change risk assessments and actions (both adaptation and mitigation) will be undertaken for all internal services to update them. Climate change adaptation and mitigation to be built into service specifications and contracts for services which are commissioned.	30/06/2012	Green	Business Transformation manager - Rachel Mckinnon	The service specification for built environment and the local authority company includes reference to the requirement to complete impact assessments on an annual basis.	29/12/2011
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 Pat Pratley	10/05/2011	3	2	6	Reduce	Mitigating actions - Establish formal links between respective project offices and designate GO programme board representative as formal link from the GO project to the LAC project..	31/03/2012	Green	Executive director Pat Pratley	Jenny Poole (Head of GO Shared Services designate) acts as formal link/liaison between the GO programme and the LAC programme. Risk is actively managed within the GO programme as part of the regular risk update. A set of fact finding tasks was 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 had been made, although challenges remained. 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 risk raised from 6 to 8 - UPDATE (19/10/11) LAC has been provided with list of required deliverables and a budget has been agreed and SPRINT II contract amendment placed to cover initial resources required. Residual risk reduced from 8 to 6. UPDATE 4.1.12 - LAC representatives on CBC and CDC GO Implementation team projects.	04/01/2012
30	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 Resources Mark Sheldon	09/04/2010	4	1	4	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.	01/12/2011	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. This decision has been appealed and was upheld by the Icelandic supreme court on 28/10/11 for the test cases. The council is awaiting confirmation by the district court that the ruling will apply to non test cases of which the council is one. Likelihood score now reduced.	22/12/2011
31	CR28	Icelandic banks - financial exposure 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.	Director of Resources Mark Sheldon	09/04/2010	4	1	4	Accept	Council commitment to join in group action with other councils to defend current priority depositor status.	01/12/2011	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. This decision has been appealed and was upheld by the Icelandic supreme court on 28/10/11 for the test cases. The council is awaiting confirmation by the district court that the ruling will apply to non test cases of which the council is one. Likelihood score now reduced.	22/12/2011
32	CR60	If the business plan for the new AG&M fails to be delivered this will impact on HLF bid and MTFS.	Director of Wellbeing and culture	16/08/2011	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.	20/12/2011	Green	Museum, Arts & Tourism 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 January 2012. Procurement of catering contract commenced in November. Expressions of interest closure date 23/12/11. Draft agreements with Glos. University & Glos Guild will be in place in January which will inform the revised business plan.	23/12/2011
33	CR65	If there is further / ongoing strike action following recent ballot of TU members (in protest against planned pension changes), service delivery - particularly impacting statutory services - is likely to be disrupted.	Director People, Organisational Development and Change	08/12/2011				Close	Monitor situation	31/03/2012		HR Manager Operations Julie McCarthy.	New Risk - but given the recent announcements re in principle agreement to pensions by local government, risk no longer anticipated. SLT agreed closure 3/1/2012	22/12/2011
34	CR62	If there is national strike action as a result of the proposed ballot of members as announced at the TUC conference (in protest against planned pension changes), service delivery - particularly impacting statutory services - is likely to be disrupted on Weds 30th November 2011 (the day announced for planned strike action, subject to ballot outcome).	Director of People, Organisation Development and Change	15/09/2011				Close	Monitor likelihood. Exec Board request to managers to communicate sensitively to employees, that as of 15th September no further leave is to be granted for 30th November. Communicate employers information to employees. Intranet updates. Publish strike action guidance to managers. SLT and Cabinet lead kept informed. Post strike action lessons learned to be captured.	01/03/2012		HR Manager Operations Julie McCarthy.	CBC's two recognised trade unions took action - GMB/Unison. Manager guidance, employee letter provided, plus sign in rosters and timesheets to record attendance for pay purposes. Exemptions agreed with Tus. Operational arrangements for reduced services/closed buildings in place in advance. Media release and public notices prepared. Liaised with SW region etc re impacts. Around a third of CBC employees took action, over half of these were at the Swindon Road site. Lessons learned have been captured, to be reviewed by Executive Board. Negotiations at national level regarding pensions are understood to be underway again, aiming to conclude by end December, however the possibility of further strike action cannot be ruled out. THIS RISK CAN BE CLOSED - SEE NEW RISK RE POTENTIAL FOR ONGOING ACTION.SLT 3/1/2012	08/12/2011
35	CR64	If there are challenges to the CBC decision making process as a result of the OJEU procurement process, cabinet decision making process or Government call-in then CBC will not be in a position to conclude the transaction.	Jeremy Williamson	31/10/2011				Close	CBC need 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.	31/03/2012		Task Force Managing Director Jeremy Williamson	SLT agreed that this should be closed 6/12/2011	31/10/2012

Cheltenham Borough Council Risk Register				Risk score		Managing risk				Mitigating action taken	Date of current/ last update		
09/01/2012 12:25				Impact and likelihood									
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.)	
36	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	01/02/2010			Close	Annual data audit undertaken to identify classification of data Information strategy to be developed jointly with CBH	revised target date set - March 2012		Director of Resources Mark Sheldon	The information strategy, supporting policies and staff guidance have 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. the draft strategy was considered by E&BI on 19/9/11 and members received sound responses to issues and questions raised and the strategy was commended for its clarity. appropriate support training will be organised for all staff. Future governance and assurance that staff are complying with the strategy will be monitored through the annual assurance statement process linked to the production of the annual governance statement signed off annually by the audit committee. SLT agreed Strategy IMG have an effective action plan for delivering improved information management policies. Review report will be brought back to SLT April 2012 Suggested that SLT close Agreed	04/11/2011
37	CR48	If key employees are suddenly unavailable then service delivery will be severely compromised.	Chief Executive Andrew North	16.02.11			Close	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		Director People Org Dev & Change Amanda Attfield	Review completed, 14 key posts identified. Summary findings were circulated to SLT in October. A list of the key posts is held within HR and will be reviewed on a quarterly basis. Has this risk been reduced to the point where it can be closed? SLT agreed that risk should be closed	31/10/2011
38	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	10/05/2011			Close	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.	01/09/2011		Director People Org Dev & Change Amanda Attfield	GO Shared Services Programme Change Manager commenced role mid Sept. Prior to the appointment the GO programme had commissioned an internal review of business change needs for the GO programme. As a result of that review it was agreed that a Change Manager be appointed. The Change Manager has now met with all the implementation team leads and process leads. The Change Manager leads the partnership change co-ordinators - a representative from each of the partnerships whose role is to engage and drive the individual business change needs at the partnership organisations. The Change Manager is currently working closely with implementation teams for Forest of Dean and West Oxfordshire - these authorities go live in December 2011 and January 2012 respectively. Business Change is also a specific project with the GOPN (Shared Service Implementation Project) a specific project within the GO Programme. The Lead Officer for that project is the GO Finance Lead for West Oxfordshire who is tasked with ensuring that the recommendations from the internal review are implemented.	31/10/2011
39	CR57	If the North Place & Portland Street process is compromised by misunderstanding of the proposal or legal framework (OJEU) within which proposal has been developed then Councillors will not lend their support to the scheme.	AN/JW	23.05.11			Close	Ensure effective communication of structures	Early July		AN/JW	Identification of preferred bidder by Cabinet on 18/10/11 means this risk has fallen away. Suggested that SLT close (agreed)	20/09/2011