

Corporate Risk Register - Cabinet 25th September 2012

Table 1 CRR Dashboard:

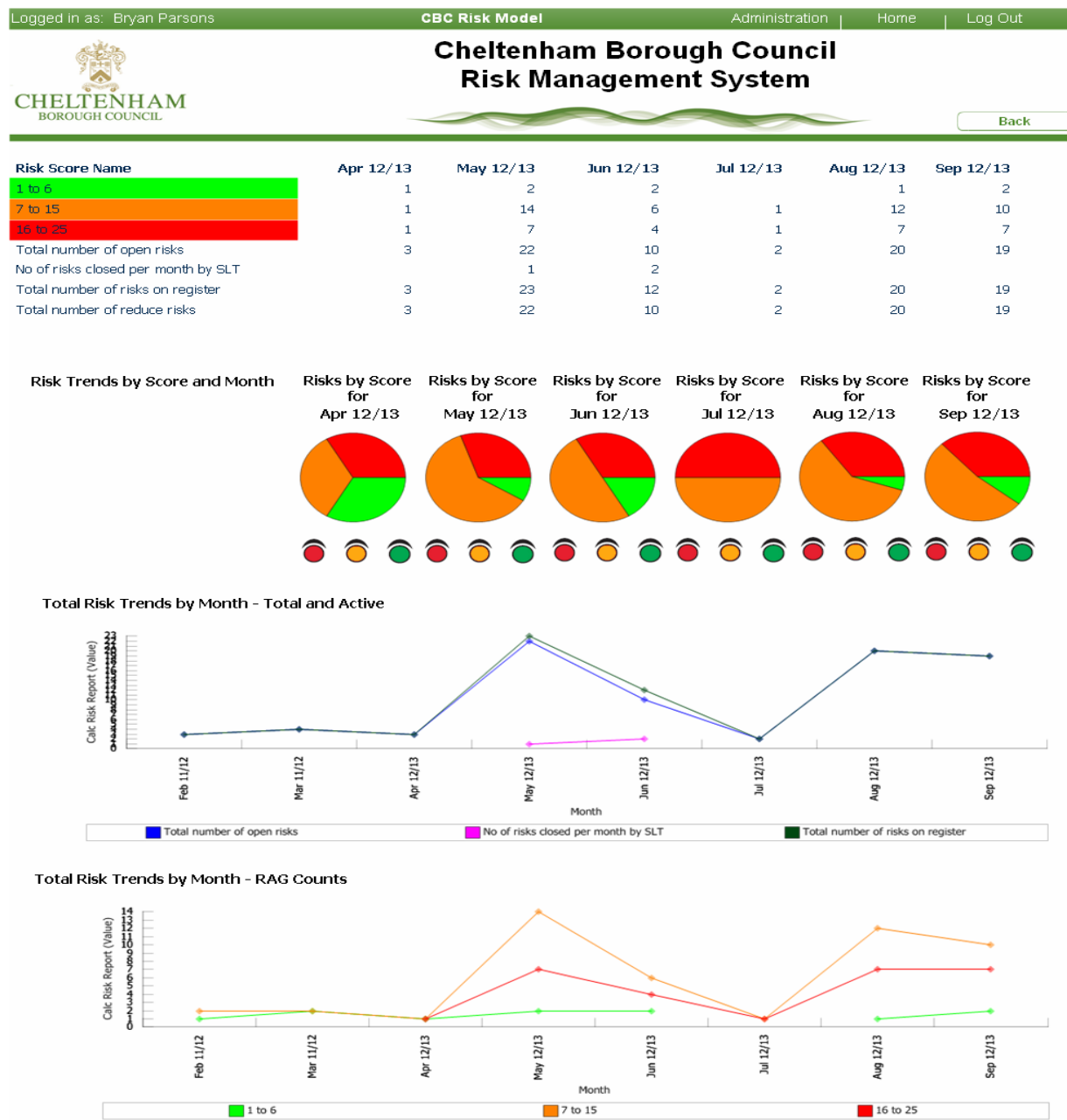
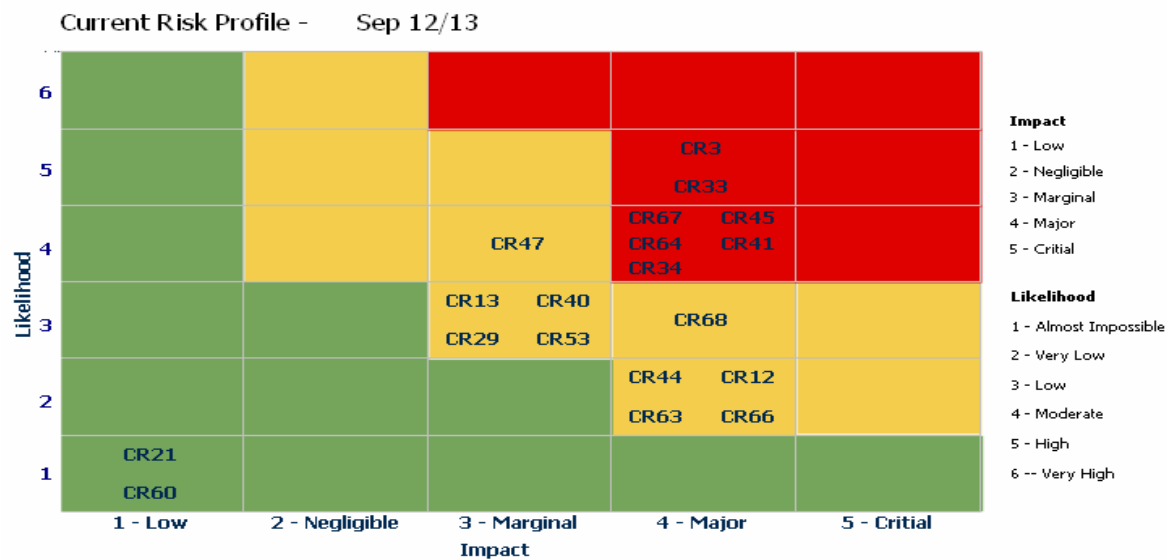


Table 2: Risk Profile - Heat Map



Click Here for an explanation of Risk Scoring: [Scorecards April 2012.pdf](#)

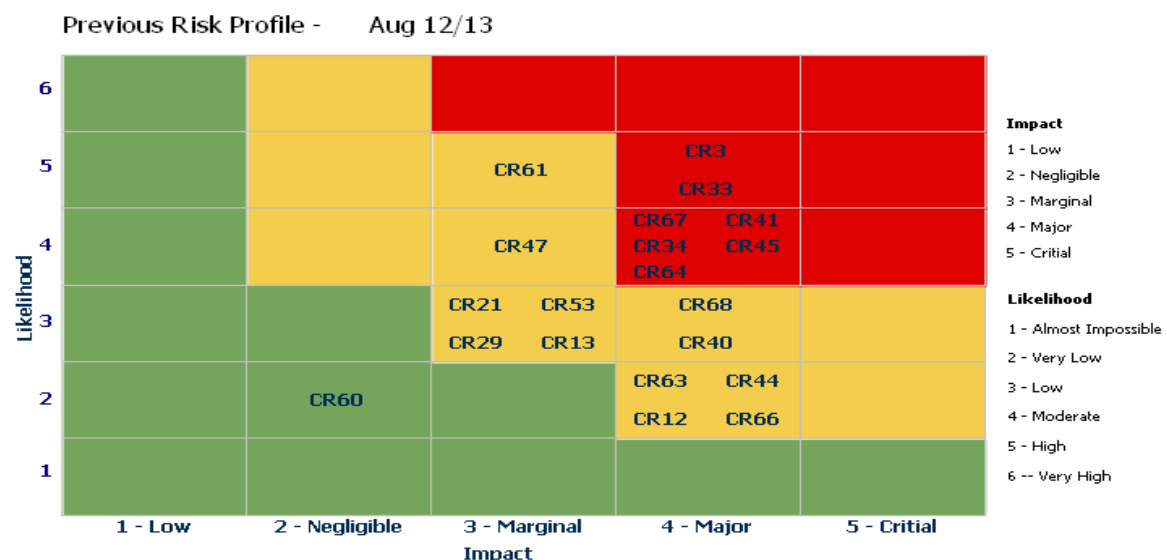














Table 3 Live Risks:

Row	Corporate Risk Description	Corporate Risk Owner	Corporate Risk Date Raised	Impact	Likelihood	Score	Score High Medium Low	Control	Proposed Action	Deadline	On Target for Deadline?	Corporate Risk Manager	Mitigating Action Taken	Target Score
1	CR33 - If the council does not keep the momentum going with regards to the JCS The policy vacuum left by the abolition of the RSS and the resultant delay in projections and framework could result in inappropriate development.	Andrew North	10/8/10/11	4 - Major	5 - High	20		Reduce	Agreement across Gloucestershire districts to work collaboratively on determining housing and employment projections by the end of 2013. Econometric Housing Model received and analysis undertaken. Seminars for councillors to explain the projections. Decision to consult from all three councils and initial phase of consultation undertaken on development scenarios. Establishment of a member working group.	Mon-1-Apr-13		David Halkyard Mike Redman	3 councils agreed to progress a JCS - developing a preferred option. Formal 9 weeks first stage public consultation began 13 December 2011 and closed 12 Feb 2012. 2,340 representations made to JCS. Work is in progress to analyse responses received. In considering the emerging JCS there continue to be some differences of view between the partner 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. Before the Preferred Option can be formulated and the JCS progressed to its next stage, a critical decision needs to be taken regarding the quantum of housing development to be taken forward in the plan. Milestone meeting 24th September	
2	CR3 - If the council is unable to come up with long term solutions which bridge the gap in the medium term financial strategy then it will find it increasingly difficult to prepare budgets year on year without making unplanned cuts in service provision	Mark Sheldon	26/1/09/10	4 - Major	5 - High	20		Reduce	Development of the BtG programme. Establishment of a cross party working group. Review budget scrutiny process. Review and rolled out revised budget consultation process. SLT presentation of new ideas to Cabinet leads.	Wed-28-Feb-18		Mark Sheldon	September 2012: A budget strategy report and projection has been developed to include 'targets' for work streams to close the MTFS funding gap, modelling 2 funding scenarios i.e. with the current projection of cuts and a deeper level of cuts. Cabinet are to informally consider and feed back to the next BtG meeting prior to consideration by the budget scrutiny group. Further workstreams have also been identified to close the projected funding gap for 2013/14.	
3	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	21/7/10/11	4 - Major	4 - Moderate	16		Reduce	CR.45 It may be possible to utilise receipts from other non Civic Pride sites e.g. Midwinter's if necessary. Effective soft market testing suggests optimism over net receipts.	Sun-31-Mar-13		Jeremy Williamson	North Place progressing to target - see CR64.Planning submission targeted for August 2012. 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 Scheme continues to progress including sub sale to Skanska. Anticipate planning application late August. Traffic assumptions will now include LSTF road network changes.	
4	CR64 - If the proposed transaction between CBC and preferred bidder for North Place fails to occur as a result of market instability then we would be unable to deliver price & quality of outputs agreed or failure to secure planning consent then CBC will be forced to abandon existing process and begin again.	Jeremy Williamson Andrew North	31/10/11/12	4 - Major	4 - Moderate	16		Reduce	CR.64 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.	Sat-31-Mar-12		Andrew North Jeremy Williamson	Contract exchanged with developer and subsequent sub sale to housing partner. Food store contract progressing. Planning submission anticipated August 2012.	
5	CR41 - If capacity to lead and manage the changes, at the same time as implementing major change At the	Andrew North	26/10/10/11	4 - Major	4 - Moderate	16		Reduce	Quarterly review of capacity for major change programmes by SLT by exception. Monitor allocation of	Sun-31-Mar-13		Amanda Atfield	06/08/2012 - Capacity reviewed by SLT in July 2012. Some projects still require scoping regarding support services	

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	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								capacity funding.				(GOSS) capacity requirements e.g. Leisure and Culture Review, Car Parking. Meetings / dialogue in progress with relevant project managers. 07/09/2012 - Some projects remain to be scoped in terms of forward capacity demands e.g. JMU, ICT. Forward planning has become even more critical in terms of assessing capacity to support and deliver key projects, whilst maintaining service levels and managing business as usual.	
6	CR67 – As GCC has given notice to terminate the existing agency agreement relating to the management of the on-street car parking management and enforcement function from 31st 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	3/1/11/12	4 - Major	4 - Moderate	16		Reduce	Seek early advice and formal confirmation from GCC about its 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.	Sun-30-Dec-12		Owen Parry Mike Redman	As a result of a Special Parking Board meeting involving GCC and the districts, a project management and governance structure has been agreed in principle and will now be refined. This will look to agree target outcomes for the core service and any additional discretionary elements, prior to agreeing options for delivery and soft market testing. No change at September review. No change at September review but Resources Director and Built Environment Director will review status of risk and consider if it needs to be closed and replace by a new risk.	
7	CR34 - If the council does not have robust testing of its business continuity plans then there is a risk that they may not be effective	Grahame Lewis	5/7/10/11	4 - Major	4 - Moderate	16		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	Sat-1-Sep-12		Paul Woolcock	August 2012 - a risk assessment has been undertaken on a number of factors relating to business continuity. These are being reviewed and updated during August. The highest scored risk related to power issues, this is being addressed by improving the UPS facility at the main site during August/September 2012. 07/09/12 - following two live power outage events On the 5th Sept. recovery procedures that had been put in place since the event in April resulted in improved recovery time(2.5rs) Additional work is on going in line with new UPS battery installation to reduce recovery times further. New UPS battery installed 6th Sept. this will now lead to servers being kept on line for a period of up to 2hours but all PCs will remain off line (no power)	
8	CR68 - If there is a failure to align and manage the Cheltenham Task Force developments with the (emerging) Car Parking Strategy then there is a risk of customer dissatisfaction and the loss of reputation and revenue. There are several strands to mitigating this Corporate Risk each will be managed through Divisional Risks registers.	Andrew North	25/7/12/13	4 - Major	3 - Low	12		Reduce	CR.68 There are several strands to mitigating this Corporate Risk each will be managed through the following Divisional Risks	Tue-1-Apr-14		Jeremy Williamson	The following 4 risks have been identified and are being managed within the Task Forces CBC divisional risk register TF01 North Place/Portland Street displacement during construction phase TF02 Grosvenor Terrace upgrade project TF03 Changes to the traffic network linked to LSTF TF04 Car Park directional signage strategy	
9	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	Andrew North	16/2/10/11	3 - Marginal	4 - Moderate	12		Reduce	Need to finalise car parking strategy through parking board Develop a communications plan to thoroughly involve stakeholders as early as possible.	Sat-30-Jun-12		Jeremy Williamson Owen Parry	The Cheltenham Parking Board has ratified the process for establishing working groups to engage with key stakeholders and other interested parties through the resident and on	

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	misinterpreted and not favourably received.												street parking consultations. This work commenced through the Cheltenham south parking review, but further work is required to engage on a broader level with interests group including Gloucestershire constabulary, the chamber of commerce, mobility and disability representatives, resident associations, the cycle forum and other key stakeholders. 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, critically access to car parks. this includes work with GCC highways to manage the delivery of LSTF GCC has informally advised its intention to give notice to terminate the existing CPE agency agreement from 31 March 2013 and it is expected that formal notice will be at the special parking board scheduled for 29th March 2012. It is likely that proposals will be tabled which will have an effect and impact on the emerging parking strategy for Cheltenham. Until further clarity is obtained, it is considered prudent to extend the due date to at least 31st July 2012 This is to enable engagement with GCC on any proposed changes to managing on street parking in Cheltenham, ensuring the emerging Cheltenham Local Parking plan aligns with the County's draft parking strategy. No update on mitigation received in September	
10	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	Jane Griffiths	6/5/10/11	3 - Marginal	3 - Low	9		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.	Mon-1-Oct-12		Gill Morris Rachel McKinnon	Risk assessments have been revised to reflect the new organisational structure and those relating to internal services have been circulated for updating. Ubico and the Built Environment Service have agreed to update their risk assessments. Completion of the risk assessment for GO has still to be agreed.	
11	CR53 - Resourcing: If availability of critical resources during the GO implementation and post implementation period is reduced - then officers involved in projects may be unable to provide day to day delivery of service to their authority.	Mark Sheldon	19/4/11/12	3 - Marginal	3 - Low	9		Reduce	Continuing to roll out action plan. Unable to recruit apprentice to support L&OD and H&S, so have recruited a part time administrator (within budget), shared with L&OD team, to assist with admin and processing of the accident/incident reports etc, to enable H&S advisors to operate more effectively.	Mon-30-Jul-12		Amanda Attfield	HR Ops Manager has returned to work, on phased return. Civica interface file tests indicate it is working Civica may need to come on site for final checks. No indication that other CBC projects are being, or have been adversely impacted (e.g. Ubico set up completed). Change resource will be available to support the roll out of self service during the remainder of April and May/June. 12/06/2012 HR Ops Manager returned. Civica interface working. Self serve to be rolled out in September (payslips view June).	

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													Self service roll out for ERP system at CBC agreed at from 1 04 2013. Day to day delivery does not appear impacted currently, however resources are having to be carefully managed.	
12	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.	Andrew North	28/10/10/11	3 - Marginal	3 - Low	9		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.	Wed-31-Oct-12	✓	Richard Gibson	Revised partnership structures are now in place. New action plan being drafted. Recommend that SLT transfer this risk from CRR to Commissioning Divisional Risk Register SLT considered risk 24/4/2012 and decided that it should remain on the CRR for further monitoring"	6
13	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	Jane Griffiths	1/3/09/10	3 - Marginal	3 - Low	9		Reduce	Ensure that the council complies with new duties set out in the Equality Act 2010	Sun-31-Mar-13	✓	Richard Gibson	The Equality Act 2010 introduced new obligations on public bodies via the new Public Sector Equality Duty. To comply with this, we published statutory equality information, covering employees and service provision by 31 Jan 2012 and our equality objectives were included within the corporate strategy so that we published in April 2012. The SLAs for Ubico and built environment include the necessity to complete an annual equality and corporate objectives assessment. Deadline revised from July to March 2013	9
14	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	Mark Sheldon	23/2/10/11	4 - Major	2 - Very Low	8		Reduce	Carry out self assessment to ensure compliance with PCI standard	Sun-31-Mar-13	✓	Paul Woolcock	Review Mtg with key project members mid August. ICT to complete SAQs for Parkeon, Hypercon, Pay as you Go, Tourist Information, by 1st week September. JH to send to Bank. ICT to consider and discuss Leisure @ and Town Hall SAQs and to update group on progress 1st Week September. Civica SAQ to be put on hold until after implementation of new system in October. Agreed that all SAQ should be completed and sent to the bank by Christmas 2012. PCI project group meeting 11/9/2012 to sign off completed SAQ to send to bank	6
15	CR66 - If members, senior managers, managers, supervisors, and employees are not fully aware of their obligations and responsibilities for Data Protection particularly in relation to the permitted and lawful disclose of private and confidential information, then the council could face financial penalties and reputation risks.	Mark Sheldon	8/12/11/12	4 - Major	2 - Very Low	8		Reduce	Complete Privacy Impact Assessment in relation to Go. Raise awareness of Data Protection and Information Security	Mon-31-Dec-12	✓	Bryan Parsons	HR reminded service managers about Data Protection refresher training on Learning Gateway Information Management Group meeting 13/9/2012 One legal to brief re changes in legislation. IMG to decide on additional course of action.	4
16	CR63 - If we fail to agree a county wide approach to implementing the Supporting People strategy 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	Jane Griffiths	14/9/11/12	4 - Major	2 - Very Low	8		Reduce	Influence implementation of strategy via consultation and partnership planning processes to secure robust programme of delivery that meets local and county wide needs	Sun-31-Mar-13	✓	Jane Griffiths Martin Stacey	Strategy adopted. Discussions are ongoing between CBC, Cheltenham Borough Homes and Supporting People to develop a transitional plan with regards to supporting people funding for sheltered housing services. Dialogue is positive with SP and we are hopeful that transitional funding will be available	

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	in turn would impact disproportionately on the most vulnerable members of our community and may increase demand on homelessness budget.												while we consider how we can support the implementation of the Supporting People Strategy for older people in the medium term. A pilot has already commenced in one of the sheltered schemes which has been well received by the residents and wider community. We continue to provide CBC representation at: 1. SP Partnership Board 2. SP Core Strategy Group 3. SP Provider Fora 4. Cheltenham Housing and Support Forum September review Transitional plan has been developed by CBH and CBC this is now being considered by supporting people for future funding for sheltered housing.	
17	CR12 - If members, senior managers, managers, supervisors, and employees are not aware of their obligations and responsibilities for health and safety (in relation to the public, customers, employees) and ensure that the necessary H&S arrangements are in place and adhered to, then the council could face prosecution (and/or personal injury claims) which would carry associated capacity, financial, and reputation risks.	Andrew North	1/2/09/10	4 - Major	2 - Very Low	8		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.	Sun-31-Mar-13		Julie McCarthy	The Health & Safety team are currently updating the action plan for the coming year. The plan will include training and awareness activities for both the over arching H&S responsibilities and division specific.	
18	CR21 - 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.	Sonia Phillips	1/6/07/08	1 - Low	1 - Almost Impossible	1		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.	Fri-31-May-13		Jane Lillystone Alison Kingsbury	Work on the specific website is nearly complete for the back office functions of enabling payments and the uploading of photos etc. The launch will now take place during schools October half term week.	
19	CR60 - If the business plan for the new AG&M fails to be delivered this will impact on HLF bid and MTFS.	Sonia Phillips	16/8/11/12	1 - Low	1 - Almost Impossible	1		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.	Thu-20-Dec-12		Jane Lillystone Alison Kingsbury	Proposed commencement of 2nd phase of reorganisation is underway and on target to deliver the financial targets.	

Table 4 CRR Closed risks:

Corporate Risk

CR9 - Closed - traffic proposals which underpin the civic pride schemes

CR36 - Closed - If changes to contractual allowances are made outside the collective bargaining process, there may be local industrial action, morale and motivation may be impacted.

CR52 - CLOSED - 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.

CR58 - Closed - 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

CR61 - Closed - Re-opened Risk - GO Programme- If the demands on GO Project Management Office (PMO) exceed capacity due to unforeseen issues such as availability of process leads and a number of current challenges then the project delivery da