

# Dashboard overview of Corporate Risks as at 1<sup>st</sup> March 2013

Logged in as: Bryan Parsons

CBC Risk Model

Administration

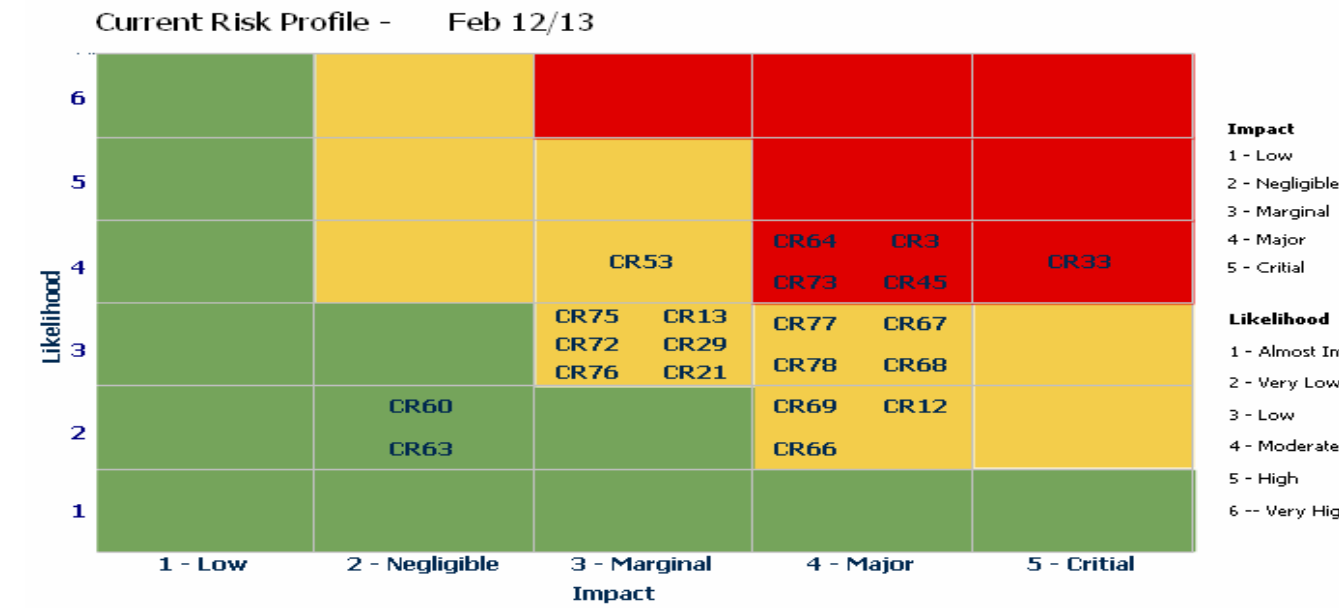
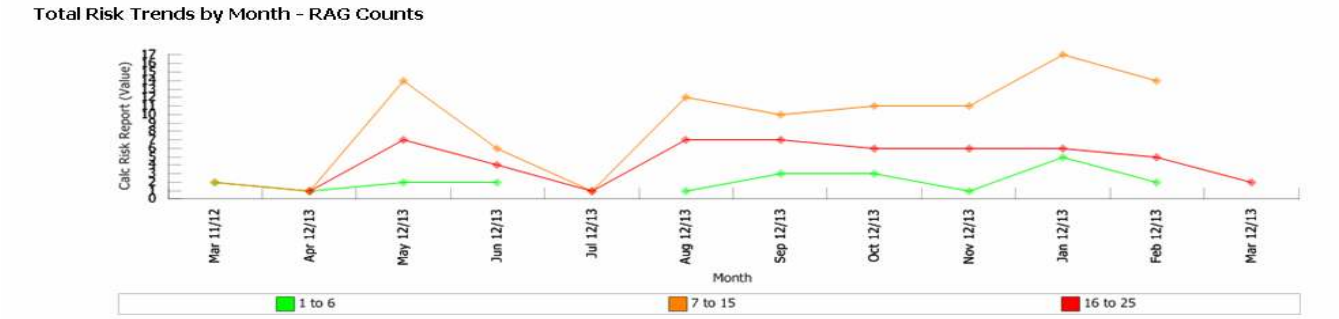
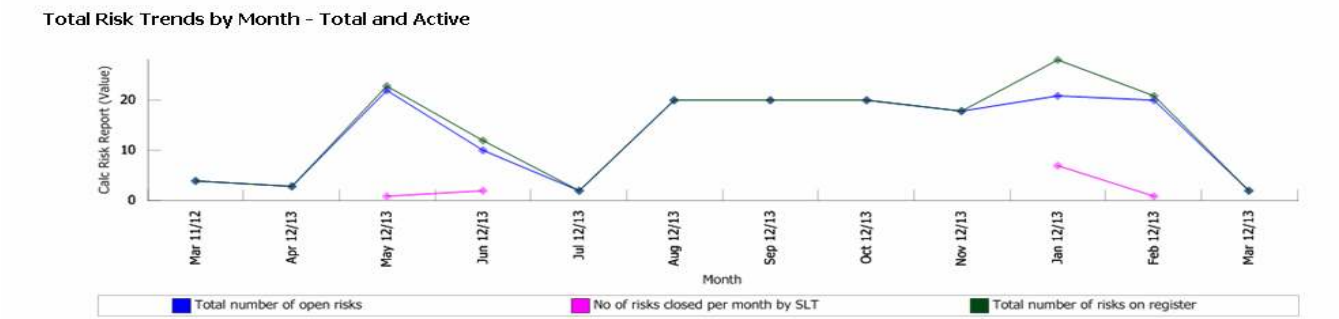
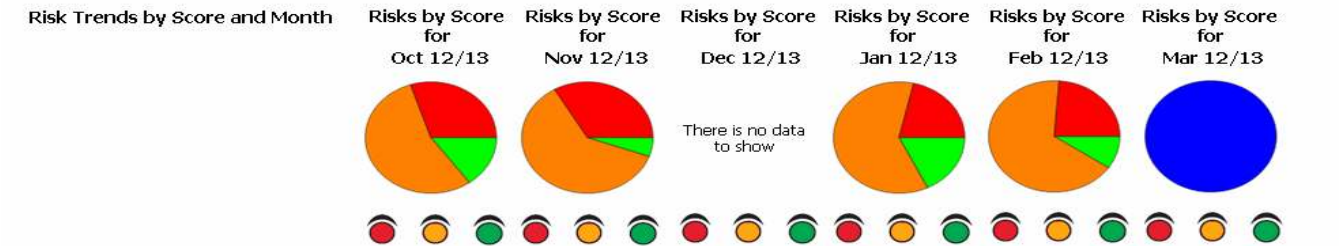
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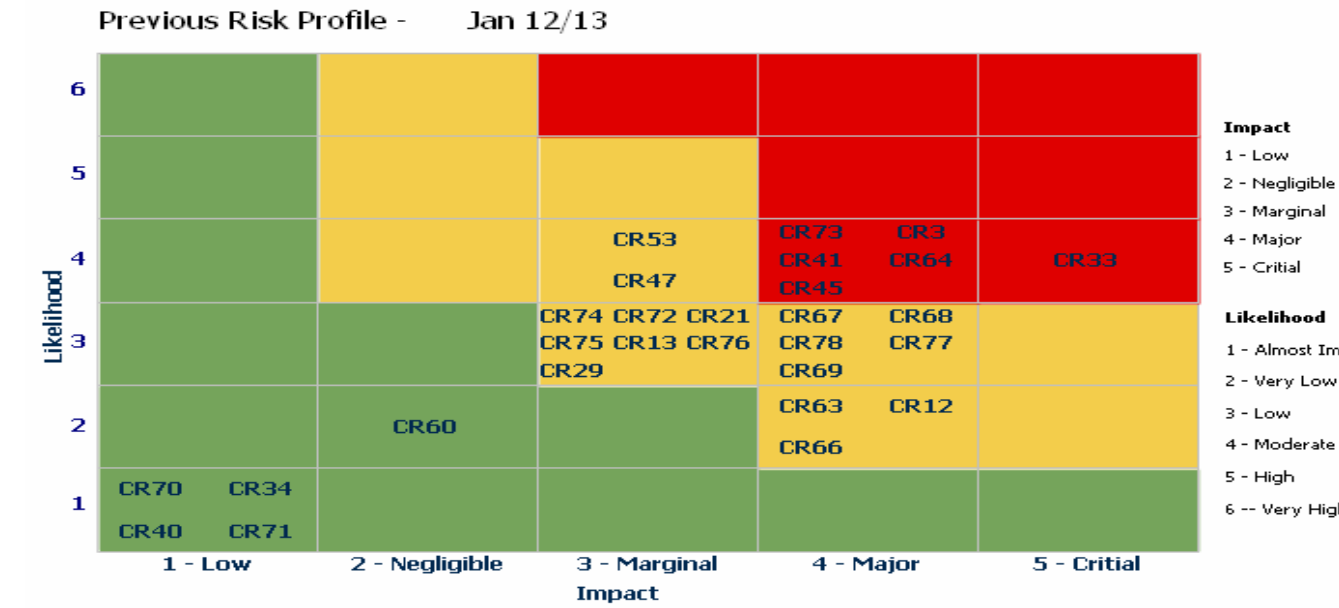
**Cheltenham Borough Council**  
Risk Management System

Back

Risk Score Name	Oct 12/13	Nov 12/13	Dec 12/13	Jan 12/13	Feb 12/13	Mar 12/13
1 to 6	3	1		5	2	
7 to 15	11	11		17	14	
16 to 25	6	6		6	5	2
Total number of open risks	20	18		21	20	2
No of risks closed per month by SLT				7	1	
Total number of risks on register	20	18		28	21	2
Total number of transfer risks	1					
Total number of reduce risks	19	18		21	20	2



















Click Here for an explanation of Risk Scoring: Scorecards April 2012.pdf









# Corporate Risk register as at 1 March 2013









Table 1; All current live corporate risks







Row	Corporate Risk	Corporate Risk Owner	Corporate Risk Date Raised	Impact	Likelihood	Score		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	5 - Critical	4 - Moderate	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-Jul-13		Mike Redman Tracey Crews	Gateway decision-making process adopted by the JCS member steering group, including the CBC requested work on household formation rates which will be considered as part of a gateway on 31/03/13. Work completed by the Cambridge Centre for Housing and Planning Research broadly supportive of data sources and approach recommended by Nathaniel Lichfield and Partners. Recommendations of the CBC JCS task group will be considered by O&S on 23/01/13 and forwarded for consideration by JCS partners. Programme currently on schedule to produce preferred option for public consultation in Summer 2013. February - No Change	
2	CR79 - If the VAT cost sharing exception is not positively resolved then costs to the shareholder councils will significantly increase to an unaffordable level	Mark Sheldon	26/2/13	4 - Major	5 - High	20		Reduce	Await ruling by HMRC VAT committee and develop contingency plans	Mon-1-Apr-13		Mark Sheldon	Contingency plans being developed by Commissioning and Resources Divisions.	
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	21/7/11	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 January 2013 committee. In the meantime there are sufficient funds in the Civic Pride Reserve fund to undertake key works e.g. East Promenade upgrade (now completed) and works to improve Grosvenor Terrace car park Traffic assumptions will now include LSTF road network changes. Feb - non change	
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	31/10/12	4 - Major	4 - Moderate	16		Reduce	CR.64 CBC needs to maintain close liaison with preferred bidder to work through challenges as appropriate. However it is recognised that for some items, such as global economic instability, there is no mitigation possible.	Sun-31-Mar-13		Jeremy Williamson	Contract exchanged with developer and subsequent sub sale to housing partner. Food store contract progressing. Planning submission to be considered by committee 21/02/13. Planning Permission granted	







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5	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	26/1/10	4 - Major	4 - Moderate	16		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	February 2013: Following the financial settlement in February 2013, the council's MTFS has been updated to reflect the impact of capping future council tax increases at 2% resulting from the reduction in the threshold for holding a referendum; future capping of pay awards at 1% for 2014/15 and 2015/16 and a review of other MTFS pressures. The final budget, approved by council on 8/2/13, included an updated budget strategy indicating 'targets' for future workstreams which reduce MTFS funding gap. The settlement and proposals in the Chancellors autumn statement resulted in an increase in the unresolved MTFS funding gap to £300k/yr and opened up the unresolved funding gap in 2014/15 to c£586k. A significant amount of work remains to firm up the deliverability of future years workstreams. The BtG group will now consider bringing forward future workstreams to close the gap in 2014/15 in line with the request from the budget scrutiny working group.	Target score 12
6	CR73 - If the PCI penetration scan of the payment systems is not completed to a satisfactory standard then there is a risk that the councils credit and debit systems could be compromised	Mark Sheldon	6/11/12	4 - Major	4 - Moderate	16		Reduce	To facilitate penetration scans of ICT systems by Sysnet	Fri-1-Mar-13		Mat Thomas	September 2012 Contact details passed to ICT Risk transferred to Mat Thomas new ICT Infrastructure manager	
7	CR77 - If the new reciprocal ICT Business Continuity arrangements with FoDDC are not put in place then there is a risk that key councils services in the event of an emergency or unplanned event will not be effective.	Grahame Lewis	30/1/12	4 - Major	3 - Low	12		Reduce	Agree an action plan with the ICT Infrastructure Manager that will deliver robust and effective ICT BCP arrangements between CBC and FoDDC by 1/6/2013	Sat-1-Jun-13		Bryan Parsons	SLT agreed that there should be reciprocal ICT BCP between FoDDC and CBC. Initial meeting taken place between. Resources and ICT Manager to scope out project delivery objectives and outcomes ICT Manager to Action plan by 6/2/13 to deliver new arrangements by 1/6/13 Preparation work on-going	
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	Andrew North	25/7/12	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	



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	are several strands to mitigating this Corporate Risk each will be managed through Divisional Risks registers.													
9	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/	3 - Marginal	4 - Moderate	12		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-1-Apr-13		Amanda Attfield	27/02/2013 Roll-out plan for self service HR on ABW system in place. Well Being and Culture also part of separate phase due to creation of Trust during 2013-14. Project management support secured. Sickness absence to be phased. Support and hosting team will have knowledge due to ICT shared service with FODDC and additional recruitment. On target to go live from April 15th, for May pay (expenses and annual leave self service, however the project for self service is listed as Amber due to the call on HR and ICT capacity.	
10	CR78 - If the Corporate and Service Business Continuity Plans do not reflect the governance structures associated with the commissioning and shared service arrangements then there is a risk that key services will be not be available in the event of and emergency or unplanned event.	Grahame Lewis	30/1/12	4 - Major	3 - Low	12		Reduce	Corporate and Service Business Continuity plans should be reviewed and tested to reflect the new commissioning and shared service governance arrangements	Tue-1-Oct-13		Bryan Parsons	Executive board agreed that because of the development of the shared service for ICT; the merging of resources and commissioning divisions as part of the Cheltenham Futures programme and the proposed reduction in headcount at Executive board level a review is to be undertaken to determine the council's future approach to both internal and external business continuity and emergency planning. Project brief agreed CBCP and S:Drive folders under review	
11	CR67 - Now that GCC have given notice to terminate the existing agency agreement relating to the management of the on-street car parking management and enforcement function from March 2013 then this will lead to significant HR and financial implications which will need to be	Mike Redman	3/1/11	4 - Major	3 - Low	12		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-31-Mar-13		Owen Parry Mike Redman	CBC established a corporate project to consider how it wishes to provide parking and associated integrated transport services from 1st April, 2013. Work is currently in progress looking at structure for the residual CBC parking/integrated transport function and managing the transition of staff that will be subject to TUPE transfer to the county's chosen contractor with effect from 1st April, 2013. New Risk CR76 set up to reflect arrangements from April when this risk will probably be closed GCC has advised that it will not be in a position to share tender information with districts until 18th Dec, 2013 at the earliest. This means that the evaluation of alternative service delivery options, including the option of drawing off-street parking services from the framework agreement will not be possible by 31st March, 2013. Consequently, the project group is looking at an interim structure to manage the	



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	managed.												transition period and to allow for a full commissioning review to take place, prior to a longer term decision about whether or not to opt into the framework agreement for some aspects of the off-street service. Cabinet has considered a report on the proposed future scope of the parking service and this will inform the new structure for the off-street parking service moving forward.	
12	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/	3 - Marginal	3 - Low	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 applications.	Tue-31-Dec-13		Sandra West Jane Lillystone Alison Kingsbury	Myfacelive is now live. An application has been submitted to the JP Getty trust and further applications are pending.	
13	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	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.	Sun-31-Mar-13		Gill Morris Rachel McKinnon	New risk assessments have been produced for all retained and commissioned services and circulated to directors for dissemination to management teams. Climate change adaptation now needs to be built into performance management processes to ensure identified actions are implemented.	
14	CR76 - As from 1/4/13 the Council's responsibility for car parking will be limited to its own car parks. However, the Council will still need to work with GCC to ensure the cost of car parking for both on-street and in our car parks is appropriately priced	Grahame Lewis	30/1/12	3 - Marginal	3 - Low	9		Reduce	Develop a cohesive town wide car parking strategy to ensure that both CBC and GCC pricing structures are appropriately aligned. Refreshing the objectives of the 'Parking Board' is seen as a vital component to this.	Tue-1-Apr-14		Mike Redman	This risk replaced CR47 following Cabinet's decision on 15th January 2013. A meeting has been arranged with senior officers at GCC on 15th March 2013, to establish the future remit of the Cheltenham Parking Board in relation to parking policy, green travel initiatives and the Local Sustainable Transport Fund initiative.	6
15	CR13 - If members, senior managers and employees do not recognise their	Jane Griffiths	1/3/09/	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	

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	obligations and responsibilities for equalities then there is a risk that we could be treating people unfairly and the council could face prosecution												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. We have carried out equality assessments to inform cabinet decisions made on L+C, Integrated Transport and the draft 13-14 budget. Currently rolling out equality and diversity training for officers and managers No progress yet in coming forward with updated equality policy. Deadline revised from July 2012 to March 2013	
16	CR72 - If Leisure@ do not meet PCI standards and identify associated risks then there is a risk that there could be a breach in security and subsequent fines from the Information Commissioner	Sonia Phillips	11/10/12/	3 - Marginal	3 - Low	9		Reduce	The Leisure@ General manager will ensure that any cash receipting systems under their control will meet PCI standard	Mon-1-Apr-13		Stephen Petherick	At 21 February 2013 Still await update from CBC ICT over security patches issues. We have received confirmation from the suppliers TLMS XN Advantage do not hold / store any card or cardholder data and are compliant therefore in terms of PCI.	
17	CR75 - If capacity to deliver key projects is achieved by diverting necessary resources away from either core services or other provider commitments, then there is a risk of not being able to deliver all of the business as usual expectations including a failure to comply with internal controls that could in turn impact on our reputation and finances.	Andrew North	21/12/12	3 - Marginal	3 - Low	9		Reduce	Quarterly review of resource by SLT. SLT review resource and capacity.	Tue-1-Apr-14		Ken Dale		
18	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	Mark Sheldon	8/12/11	4 - Major	2 - Very Low	8		Reduce	Complete Privacy Impact Assessment in relation to Go. Raise awareness of Data Protection and Information Security	Mon-1-Apr-13		Bryan Parsons	Information Security/Information breach guidance etc. under review. Review on-going Resource for PIA being identified	

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	private and confidential information, then the council could face financial penalties and reputation risks.													
19	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	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 Business Partners of Go Shared Service will revise the current work plan to reflect actions required for 2013/14. This will include the introduction and implementation of relevant Emergency Action Plans across CBC premises, continuation of the training plans and wellbeing initiatives for managers and staff and the development of risk ownership during risk assessment and audit reviews. Feb no change	
20	CR69 - If Cheltenham is not able to grow its business rate base each year then it will impact on the income the Council receives through the business rates retention scheme.	Mark Sheldon	8/10/12	4 - Major	2 - Very Low	8		Reduce	Join Gloucestershire pool to share the risk of fluctuations in business rates revenues retained by the council. Work with Members and Gloucestershire LEP to ensure Cheltenham grows its business rate base.	Tue-1-Apr-14		Jayne Gilpin	All of the Gloucestershire authorities have agreed management arrangements for a Gloucestershire NDR Pool. The Governance arrangements are now under consideration to be signed off by CEO and Leaders. The Gloucestershire Pool arrangements have been agreed for 2013/2014 Feb - no change	
21	CR63 - Closed - 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	Jane Griffiths	14/9/11	2 - Negligible	2 - Very Low	4		Close	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 Stacy	Cheltenham Borough Homes have submitted proposals to Supporting People to develop a transitional plan with regards to supporting people funding for sheltered housing services. Still awaiting outcome. Last supporting people board agreed to direction of travel and decommissioning plans. Contracts are currently being let by the supporting people team at GCC for a number of new services and decommissioning of some support services. Need to consider outcomes and transitional plans in the context of other housing and welfare changes. officers continue to attend the relevant SP forums. Transferred to Divisional risk register as per SLT 26/02/2013	

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	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.													
22	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	2 - Negligible	2 - Very Low	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 2012, and negotiations regarding income generation activities.	Sun-31-Mar-13		Jane Lillystone Alison Kingsbury Sandra West	No further forward. Awaiting the outcome of the L&C trust PQQ, before this can move forward.	

**Table 2; All Closed risks**

Corporate Risk	Risk Last Updated
CR9 - Closed - traffic proposals which underpin the civic pride schemes	19/06/12
CR34 - Closed-If the council does not have robust testing of its business continuity plans then there is a risk that they may not be effective	30/01/13
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.	15/06/12
CR40 - Closed-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.	30/01/13
CR41 - Closed-If capacity to lead and manage the changes, at the same time as implementing major change 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	18/01/13
CR44 - Closed - 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	08/10/12
CR47 - Closed - 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.	28/01/13
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.	19/06/12
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	19/06/12
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 dates could be put at risk.	07/09/12
CR63 - Closed - 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 in turn would impact disproportionately on the most vulnerable members of our community and may increase demand on homelessness budget.	26/02/13
CR70 - Closed-If the CIVICA systems do not meet the PCI standards and identify associated risks then there is a risk that there could be a breach in security and subsequent fines from the Information Commissioner	30/01/13
CR71 - Closed - If the Town Hall do not meet PCI standards and identify associated risks then there is a risk that there could be a breach in security and subsequent fines from the Information Commissioner	30/01/13
CR74 - Closed - If capacity to manage and deliver key change projects is not secured against the planed timescales, then the benefits from commissioning will not be realised, morale and motivation, and employee well being may be adversely impacted.	30/01/13