

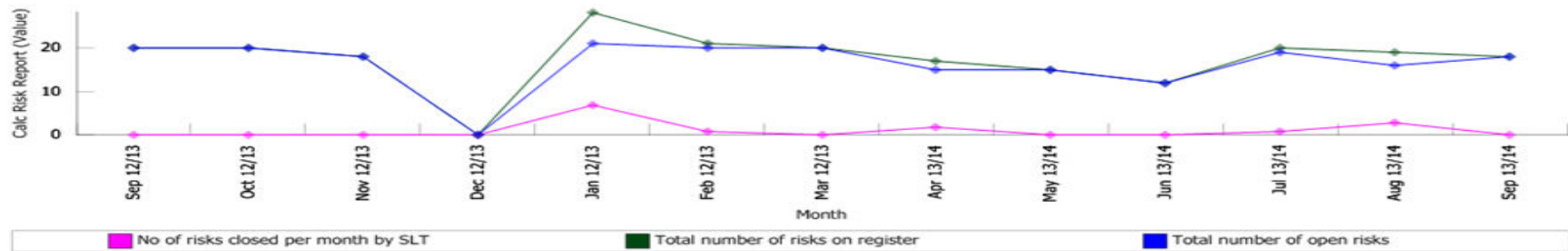
# Corporate Risk Register - Dashboard - September 2013

**Table 1 - All Risk activity October 2012 to October 2013**

Risk Score Name	Oct 12/13	Nov 12/13	Dec 12/13	Jan 12/13	Feb 12/13	Mar 12/13	Apr 13/14	May 13/14	Jun 13/14	Jul 13/14	Aug 13/14	Sep 13/14	Totals reported
1 to 6	2	1	0	5	2	1	3	3	3	4	3	0	0
7 to 15	11	11	0	17	14	13	12	10	7	14	12	15	15
16 to 25	6	6	0	6	5	6	2	2	2	2	4	4	4
Total number of open risks	20	18	0	21	20	20	15	15	12	19	16	19	19
No of risks closed per month by SLT	0	0	0	7	1	0	2	0	0	1	3	0	14
Total number of risks on register	20	18	0	28	21	20	17	15	12	20	19	19	19
Total number of Transfer risks	1	0	0	0	0	0	0	0	0	1	1	0	3
Total number of reduce risks	19	18	0	21	20	20	15	15	12	18	15	19	19
Total number of accept risks	0	0	0	0	0	0	0	0	0	0	0	0	0

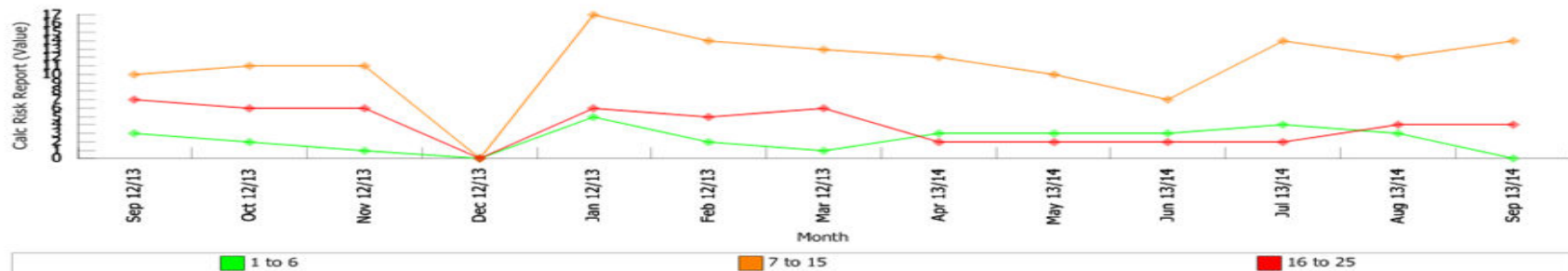
**Table 2;**

**Total Risk Trends by Month - Total and Active**



**Table 3;**

**Total Risk Trends by Month - RAG Counts**



**Table 4 - All Live Corporate Risks – September 2013**

Row	Date raised	Corporate Risk	Risk Owner	Proposed Action	Impact	Likelihood	Score	Control		Risk Control Progress	Risk Manager	Corporate Risk Last Updated
1	Sep 13/14	CR3 - If the council is unable to come up with long term solutions which bridge the gap in the medium term financial strategy then it will find it increasingly difficult to prepare budgets year on year without making unplanned cuts in service provision	Mark Sheldon	Development of the budget strategy to address the MTFs funding gap. Establishment of a cross party budget working group which reviewed the budget scrutiny process and considered specific aspects of the budget proposals for 2013/14. Regular meetings of Bridging the Gap (BtG) programme with Cabinet lead and on going dialogue with SLT on new ideas for savings.	4 - Major	5 - High	20	Reduce		Aug 2013: Consultation on the local government settlement indicates that the spending review cut of 10% for 2015/16 is likely to translate into a real terms cut of c17% for district councils adding c£300k to the councils MTFs budget gap for the period 2014/15 to 2017/18, increasing it to £2.7m and leaving an unresolved gap, assuming that the council's budget strategy is delivered, to c£950k. There is a now increased pressure to deliver additional savings and income above the levels planned in the already challenging budget strategy. Score increased from 16 to 20. September - no change	Mark Sheldon	06/09/13
2	Sep 13/14	CR84 - If we fail to work with the liquidator to finalise the existing contractual arrangements then there is a risk that the Council's cremation service could be compromised.	Grahame Lewis	Work constructively with liquidator to conclude current arrangements. Commission independent assessment of installation which will inform ongoing decision making processes to ensure we have short term support from cremator / abatement / management systems specialists. Obtain independent testing of fully commissioned system and procure long term maintenance contract.	5 - Critical	4 - Moderate	20	Reduce		Contact Crawford equipment re contractual obligations, contact liquidators to establish current position of Crawford equipment, brief produced for independent assessment by cremator installation specialists, issued brief for technical assessment asking for quotations, produce post Crawford PID, project plan and form new project team, ongoing risk analysis.	Rob Hainsworth	10/09/13
3	Sep 13/14	CR85 - If we fail to evaluate the current	Grahame Lewis	Work constructively with liquidator & existing	5 - Critical	4 - Moderate	20	Reduce		A project team has been formed and has produced a brief for a	Rob Hainsworth	10/09/13

		installation issues and mercury abatement process within the cremator's and put in place an all inclusive maintenance contract for the future then the Councils permit may be compromised.		contractor to conclude current arrangements, commission independent assessment of installation which will inform ongoing decision making process, ensure we have short term support from cremator / abatement / management systems specialists.						technical report, which includes an assessment of the system's performance. Project completion and commissioning. Ensure that current levels of abatement are maintained in the short term. Arrangements are in place for reactive maintenance and repairs. Commence procurement for long-term maintenance contract. Business continuity plan in place.		
4	Sep 13/14	CR33 - If the council does not keep the momentum going with regards to the JCS The policy vacuum left by the abolition of the RSS and the resultant delay in projections and framework could result in inappropriate development.	Andrew North	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.	4 - Major	4 - Moderate	16	Reduce		August - working version of draft JCS consulted upon internally with members via Scrutiny Task Group and member seminars. Member steering group meetings completed gate process to enable sign off of draft JCS for presentation to individual councils. Draft for consultation agreed by Cheltenham 5/9/13 Draft for consultation agreed by Tewkesbury 3/9/13 Draft for consultation agreed by Gloucester's planning sub committee going to Council 12/09/13	Tracey Crews	05/09/13
5	Sep 13/14	CR86 - If the ICT shared service fail to submit a successful PSN compliance application in July 2014 then the Councils preferred method of transmitting and receiving data could be put at risk.	Mark Sheldon	Assess what is required to meet the 2014 self assessment October 2013. Prepare a report for SLT on resource and operational implications November 2013	5 - Critical	3 - Low	15	Reduce		ICT shared Service undertaking a to determine what is required to meet compliance requirements	Mat Thomas	26/09/13
6	Sep 13/14	CR83 - If the current payroll resource issues in GOSS	Mark Sheldon	Work with GOSS (EAST) for technical support during August and	3 - Marginal	5 - High	15	Reduce		Capacity issues remain but arrangements' are in place to ensure September payroll is	Amanda Attfield	03/09/2013

		(West) are not resolved, it may impact upon the delivery of payrolls.		possibly September if needed. Seek to recruit and train additional support (temporary) in advance of return to work of existing staff.						processed as normal. Work with GOSS (EAST) for technical support. Arrangements worked effectively for August payrolls, which demonstrated resilience, will run similar for. September. A replacement payroll technician started early September.		
7	Sep 13/14	CR12 - If members, senior managers, managers, supervisors, and employees are not aware of their obligations and responsibilities for health and safety (in relation to the public, customers, employees) and ensure that the necessary H&S arrangements are in place and adhered to, then the council could face prosecution (and/or personal injury claims) which would carry associated capacity, financial, and reputation risks.	Andrew North	Introduction of H&S audit process to review the effectiveness of the current management system Oct 13 - Feb 14 / Introduction of H&S managers training Jan 2014 / Introduction of H&S core training courses for relevant employees Jan 2014 / Review of current policies and procedures and implement improvements March 2014	4 - Major	3 - Low	12	Reduce		Audit plan for council to be agreed by SLT and roll out from Oct 2013. Outcomes from audit will provide H&S team with feedback on effectiveness of the current H&S management system and help inform and develop the H&S strategy plan.	Iain Wilkie	06/09/13
8	Sep 13/14	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	It may be possible to utilise receipts from other non Civic Pride sites e.g. Midwinter's if necessary. Effective soft market testing suggests optimism over net receipts.	4 - Major	3 - Low	12	Reduce		North Place/Portland Street planning permission issued August 2013, following signing of Unilateral Undertakings. Morrison's have exchanged with Augur Buchler and confirmed publicly their site intentions. Given need to discharge planning conditions and CBC to retain car parks over Christmas period target completion 06/01/14.	Jeremy Williamson	28/08/13
9	Sep 13/14	CR64 - If the proposed	Jeremy Williamson	CBC need to maintain close liaison with preferred	4 - Major	3 - Low	12	Reduce		Contract exchanged with developer and subsequent sub	Jeremy Williamson	28/08/13

		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.	n Andrew North	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.						sale to housing partner. Planning Permission issued August 2013. Morrison's have exchanged with developer and Skanska party to Unilateral Undertaking. Start on site targeted for January 2014.		
10	Sep 13/14	CR68 - If there is a failure to align and manage the Cheltenham Task Force developments with the (emerging) Car Parking Strategy then there is a risk of customer dissatisfaction and the loss of reputation and revenue. There are several strands to mitigating this Corporate Risk each will be managed through Divisional Risks registers.	Andrew North	There are several strands to mitigating this Corporate Risk each will be managed through the following Divisional Risks	4 - Major	3 - Low	12	Reduce		The following 4 risks have been identified and are being managed within the Task Forces CBC divisional risk register TF01 North Place/Portland Street displacement during construction phase TF02 Grosvenor Terrace upgrade project TF03 Changes to the traffic network linked to LSTF TF04 Car Park directional signage strategy The 2013/13 Corporate strategy includes the TFMD developing a car parking strategy to inform the Asset Management Plan	Jeremy Williamson	28/08/13
11	Sep 13/14	CR75 - If capacity to deliver key projects is achieved by diverting necessary resources away from either core services or other provider commitments, then there is a risk of not being able to deliver all of the business as usual	Andrew North	Gathering of projected resource data on the council's key programmes and projects takes place quarterly. This enables the council's Senior Leadership Team to review demands alongside the resource needs of their core services and modify plans if necessary.'	3 - Marginal	4 - Moderate	12	Reduce		Reviews of the impact of Leisure and Culture Review and Cheltenham Futures plans on GO Shared Services are taking place - some areas are not yet scoped and are only partially reflected in the resource figures reviewed by SLT on 16th July. Therefore additional mitigating action may be required, e.g. additional spend or delays to projects.	Ken Dale	30/08/2013

		expectations including a failure to comply with internal controls that could in turn impact on our reputation and finances.										
12	Sep 13/14	CR77 - If the new reciprocal ICT Business Continuity arrangements with FoDDC are not put in place then there is a risk that key council services in the event of an emergency or unplanned event will not be effective.	Grahame Lewis	Agree an action plan with the Shared ICT Manager that will deliver robust and effective ICT BCP arrangements between CBC and FoDDC by 1/6/2013	4 - Major	3 - Low	12	Reduce		Relocation of servers complete for both authorities, couple of minor technical issues to resolve. Preparations for testing of remote access for the Elections business systems for CBC and FoDDC planned for mid September Election system tests going well, tier 0 test schedule to be agreed later this month This will be followed by the testing of CIVICA cashier systems in October.	Bryan Parsons	06/09/13
13	Sep 13/14	CR78 - If the Corporate and Service Business Continuity Plans do not reflect the governance structures associated with the commissioning and shared service arrangements then there is a risk that key services will be not be available in the event of and emergency or unplanned event.	Grahame Lewis	Corporate and Service Business Continuity plans should be reviewed and tested to reflect the new commissioning and shared service governance arrangements	4 - Major	3 - Low	12	Reduce		Challenge group meeting considered BCP and supporting documents number of amendments being applied will be considered again in August All but one Service BCP have been reviewed within the last 12 months Municipal Building Action Plan have been completed except for reciprocal arrangements with FoDDC (ongoing. Testing of Business Systems for access to live and back-up servers will commence with the Elections Team systems in September for both CBC and FoDDC. This will be followed by CIVICA cashiers systems. Testing continuing	Bryan Parsons	06/09/13
14	Sep 13/14	CR80 - If the Council does not have a robust and effective CCTV Code of Practice for all of the systems that operate in our properties or car parks, then there	Mark Sheldon	Draft a CCTV Code of Practice that meets the requirements of the Information Commissioner for CCTV and Automatic Number Plate Recognition (ANPR) systems operated in public places. This	3 - Marginal	4 - Moderate	12	Reduce		Corporate Policy approved by SLT 18/7/2013. Responsibility for delivering CoP and complying with legislation with Executive Directors, Directors and Service Managers for the following systems by the 01/01/2014 1. Each CCTV and ANPR system	Bryan Parsons	06/09/2013

		is a risk that we could breach the requirements of the; The Data Protection Act 1998 (DPA), The Human Rights Act 1998 (HRA), The Freedom of Information Act 2000 (FOIA) and The Regulation of Investigatory Powers Act 2000 (RIPA)		should be supported by an additional Surveillance Code of Practice (following Home Office consultation and guidance)						operated by CBC in its car parks 2. Leisure@ 3. Town Hall 4. Pittville Pump room 5. Cemetery and Crematorium 6. Municipal Building 7. Art Gallery and Museum CCTV policy still out for consultation on Cabinet forward plan for October		
15	Sep 13/14	CR81 - If the Council does not progress as quickly as possible to preparing the Cheltenham Plan, then the Borough will be exposed to the risk of inappropriate development.	Mike Redman	Scrutiny Task Group set up to advise and challenge on the development of a Cheltenham Plan	3 - Marginal	4 - Moderate	12	Reduce		Task Group have met to progress work programme. Next Meeting arranged for April 2013. Cheltenham Plan Scoping document published with an 8 week consultation ending on 2 September 2013. Document published in line with key dates of project plan. September - Scoping consultation closed, 40 responses received. Work programme updated and discussion to take place with Planning & Liaison Scrutiny Task Group 9 October 2013.	Tracey Crews	05/09/2013
16	Sep 13/14	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	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.	3 - Marginal	3 - Low	9	Reduce		As reported last month, fundraising continues and a number of sponsorship opportunities are being explored	Sandra West Jane Lillystone Alison Kingsbury	06/09/13
17	Sep 13/14	CR82 - If we fail to mitigate the risk to the current trade and garden waste databases then customer account data could be lost	Jane Griffiths	The trade waste project will consider various options for the service including the processes involved in delivering the service. This will include recommendations in	3 - Marginal	3 - Low	9	Reduce		A detailed trade waste project plan has been drafted which includes a review of Business processes. ICT have confirmed that the two databases are unsupported for maintenance and updated design; however they are	Jane Griffiths	06/09/13

		which would impact upon CBC finances and reputation.		respect of the storing, securing and recovery of data (information security)						both backed-up each night for both the template design and the customer data. The Trade Waste project will consider any affordable alternatives for improved ICT systems that can provide greater functionality.		
18	Sep 13/14	CR66 - If members, senior managers, managers, supervisors, and employees are not fully aware of their obligations and responsibilities for Data Protection particularly in relation to the permitted and lawful disclose of private and confidential information, then the council could face financial penalties and reputation risks.	Mark Sheldon	Complete Privacy Impact Assessment in relation to Go. Raise awareness of Data Protection and Information Security	4 - Major	2 - Very Low	8	Reduce		Audit Cotswold have included a Privacy Impact Assessment for the Go partnership during 2013/14 This will commence Between Sept and December with a report to Audit Committee January/March. September - no change Also a IA will report on the councils progress in delivering the Governments Transparency agenda at the same time	Bryan Parsons	06/09/13
19	Sep 13/14	CR69 - If Cheltenham is not able to grow its business rate base each year then it will impact on the income the Council receives through the business rates retention scheme.	Mark Sheldon	Join Gloucestershire pool to share the risk of fluctuations in business rates revenues retained by the council. Work with Members and Gloucestershire LEP to ensure Cheltenham grows its business rate base.	4 - Major	2 - Very Low	8	Reduce		All of the Gloucestershire authorities have agreed management arrangements for a Gloucestershire NDR Pool and the arrangements have been agreed for 2013/2014. CBC has created its own provision of £186k which is the safety net exposure for 2013/2014. The pool position will be reviewed by Chief Finance Officers in mid September. Feb - no change Mar - no change Apr - no change May - no change Jul - no change Aug - No change Sept - No change	Jayne Gilpin	06/09/2013