

4 September 2018 Corporate Risk Register review

Row	Corporate Risk	Corporate Risk Owner	Proposed Action	Original Impact	Original Likelihood	Original Score	Current Impact	Current Likelihood	Current Score	Control Risk	Risk Control Progress	Corporate Risk Manager	Corporate Risk Last Updated
1	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	Paul Jones	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 ongoing dialogue with SLT on new ideas for savings.	4 - Major	5 - High	20	5	3	15	Reduce	The MTFS projection includes 'targets' for work streams to close the funding gap which aligns with the council's corporate priorities. The Council is to adopt a commercial strategy which enables a self-financing strategic approach to its financial strategy with the aim of being financially sustainable by 2021/22. June no change July no change	Paul Jones	26/07/2018
2	CR105 - If the Budget Deficit (Support) Reserve is not suitably resourced insufficient reserves will be available to cover anticipated future deficits resulting in the use of General Balances which will consequently fall below the minimum required level as recommended by the Chief Finance Officer in the Council's Medium Term Financial Strategy.	Paul Jones	Mitigation: In preparing the outturn position for 2017/18 and regular monitoring of the budget for 2018/19, consideration will be given to the use of fortuitous windfalls and potential future under spends with a view of strengthening reserves whenever possible.	4 - Major	3 - Low	12	4 - Major	3 - Low	12	Reduce	The MTFS is clear about the need to enhance reserves and identifies a required reserves strategy for managing this issue. In preparing the budget for 2018/19 and in ongoing budget monitoring, consideration will continue to be given to the use of fortuitous windfalls and potential future under spends with a view to strengthening reserves whenever possible. The 2017/18 outturn was approved with the transfer of £392k from the overall underspend into the budget strategy support reserve. The consultation on the LG finance settlement has been published and S151 officer will review the risks once he has digested the detail	Paul Jones	01/09/2018
4	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.	Pat Pratley	Service managers and project managers are responsible for identifying capacity shortfalls and escalating those that cannot be resolved. Currently reviewing whether any further systematic action is needed.	4 - Marginal	5 - Low	9	4 - Major	5 Moderate	20	Reduce	Risk score remains high. Allocation of budget to support key strategic Place and Growth project approved by Council. #wearecbc programme roles in place and more detailed project and resource planning underway but will not be complete until new ED in post (starts 8 Oct). Corporate Plan consideration by Council moved to Feb to enable more time to create and consider carefully resource implications at same time as reviewing the organisational model and structure.	Pat Pratley	22/8/18
5	CR98 - If we fail to make the cremators reliable and are unable to cremate due to failure of the equipment over a sustained period of time, cremations will have to be transferred to another crematorium and may need to be suspended, resulting in lost income and reputational damage to the authority.	Mike Redman	Review business continuity plans and liaise with Funeral Directors and other interested parties to ensure the risk of service disruption is minimised during planned and unplanned maintenance periods. Make sure there is an adequate stock of principal service parts needed to avoid any longer than needed planned or unplanned downtime	3 - Marginal	3 - Low	9	4 - Major	4 - Significant	16	Reduce	Due to continuing issues with both cremators, we have had to limit throughput to 4 per day. Cremator 1 is offline due to a section of flue burning through. There are also refractory issues that will need addressing. Cremator 2 has issues with a previous weld repair that needs to be addressed as smoke is currently being emitted. None of the various alarms/detectors we have in	Ben Jenkins	22/08/18

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											place have sounded indicating the working environment is not dangerous with regards to staff. P&R have inspected a non-operational fan above the cremators and has recommended a larger fan be installed. ATI are currently inspecting to determine what needs to be done to remedy both cremator issues. As ATI's performance appears to be deteriorating we are exploring the possible notion of bringing FT into the forl to help ensure we can maintain limited service delivery. Contact has also been made with Westerleigh's and Taunton Deane for them to advise on their respective capacity and cost if we were to use them to cremate for us. Alex Burn's (FD) has also been contacted to confirm that they will be able to assist with the transportation of coffins if we so needed. Risk raised to 16 as per SLT 4/9/2018		
6	CR104 - If the proposed new crematorium is not delivered to the expected quality, cost and timescale, there are likely to be significant operational, financial and reputational risks for the authority.	Mike Redman	Deliver project to agreed programme of works, to budget and deadline.1. Produce PID (complete), 2. Establish agreed procurement methodology with timescales and milestones (complete).3. Appoint appropriate professional leads under direction of programme board (complete). 4. Ensure that Cabinet lead, OPB, CMWG & Exec Board are kept updated on progress (ongoing). 5. Undertake gateway reviews as required (ongoing). 6. Develop operational BC plans for moving into the new building, including staff training and succession planning arrangements (planned).	4 - Major	3 - Low	12	4 - Major	3- Moderate	12	Reduce	Construction is progressing satisfactorily and is 'on programme'. Costs currently within budget. Overall programme risk level has increased slightly as necessary changes continue to erode the outstanding financial contingency.	Ken Dale	31/08/18
7	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 an emergency or unplanned event.	Mark Sheldon	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	4 - Major	3 - Low	12	Reduce	ICT have provided CBC with a copy of their revised BCP. Additional questions have been asked of ICT re this plan regarding relocation and alternate Telephony system before Service Manager review can begin. SWAP are undertaking a 'best practice' review ahead of revisiting BCM arrangements as a result of the Executive Board restructure. All Service managers were requested to update their BCP before 10 August. All Directors were asked to remind managers at 1-2-1 mtgs	Bryan Parsons	22/08/18

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											Please note that only 7 of the 15 BCPs have been updated further reminders will be sent to Service managers SWAP are about to undertake an audit of the BCP process.		
8	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.	Tracey Crews	Scrutiny Task Group set up to advise and challenge on the development of a Cheltenham Plan	3 - Marginal	4 - Moderate	12	4 - Major	3 - Low	12	Reduce	The Pre Submission Cheltenham Plan consultation closed in April. Slight delay in the process as consultation responses and updated housing supply figures are assessed. Submission to the Planning Inspectorate now due at the end of August submission to be in place 14 September.	John Rowley	23/08/2018
9	CR111 - If the increases in the quantity of recyclate collected at the kerbside as a result of the new Waste and Recycling service launched in October 17 is sustained at the current level (25% increase), then the service provision procured and implemented based upon the initial route optimisation which forecast a 3% uplift, will fall short of the demand. This may require the need to implement operational / logistical changes and may create an additional financial pressure.	Tim Atkins	Following a short period of testing delivering the service using additional resources, initial analysis of the data and understanding of the patterns and pressures created from this increased level of recycling activity has been identified. Ubico have recommended a further period of operation with additional resources (c£14k per month) to test some immediate changes to routes to help fully understand where longer term resources will need to be secured. This data will inform a business case to support a request for investment.	4 - Moderate	5 - Critical	20	4 - Moderate	5 - Critical	20	Reduce	CBC has commissioned a waste consultant to review the service, both operationally and strategically. The review concluded the on-going need for 2 additional recycling vehicles given the level of recycling has been sustained. An additional £200k has been built into the 2018/19 budget to fund 12 vehicles operating without a spare. Budget pressure for 2019/20 is forecast to be £300k revenue ongoing. A review of the UBICO contract sum has started with a view to funding the additional £300k revenue required for 2019/20 onwards. Other work streams will also be taken forward to ease the budget pressure.	Karen Watson	25/07/2018
10	CR112 - If the Council is unable to produce a robust and effective housing strategy in a timely manner, then opportunities to deliver key priorities within the emerging Place Strategy will be missed.	Tim Atkins	Divert resources to create more capacity within the housing team Research best practice on potential supply delivery mechanisms. Ensure the strategy is clear in its mission and objectives. Strengthen the collaborative arrangements between the council and CBH to support delivery. Build in significant consultation in the formation of the strategy. Once in place, build in effective and ongoing monitoring arrangements to ensure that our mission and objectives are followed, and that progress against key outcomes are achieved.	4 - Moderate	5 - Critical	20	4 - Moderate	3 - Moderate	12	Reduce	Cabinet have now approved the council's housing strategy. Suggest this risk is now removed. SLT Agreed to close risk 4/9/2018	Martin Stacy	26.7.18
11	CR113 -If the council is unable to deliver satisfactory improvements	Tracey Crews	Funding and a project to be put in place to manage the design and	5 - Critical	4 - Significant	20	5 - Critical	4 - Significant	20	Reduce	High level of risk remains with the contractor claiming delays and	Ken Dale	31/08/18

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	to the public realm in the High St East master planning area in acceptable timescales then it will suffer reputational damage and the opportunity to boost the local economy will be missed.		delivery of improvements; and to develop and execute a communications and stakeholder engagement plan.								additional costs. Contractor's 'accelerated' programme shows no available contingency before JL opening. New risks continue to emerge, mainly linked to sub-surface issues uncovered by the works. Risk being mitigated by extending working hours and looking to maintain increased rates of productivity.		
12	CR114 If CBC as a Data Controller fails to take effective action to comply with the GDPR or to act on the recommendations set out in ICO Codes then it could suffer substantial financial and reputational damage.	Mark Sheldon	Initiate and deliver a project based on a project Plan with clear objectives, sufficient resources and clear roles and responsibilities.	5	2	10	5	2	10	Reduce	The investment required to progress system updates and activity to ensure compliance has been estimated and consideration is being given as to how the work will be undertaken. Proposals for recruiting temporary staff to support record rationalisation and scanning have been developed but have yet to be approved by EB. Tempstaff Recruitment process on hold Project manager on sick leave SPOC role being considered along with Governance role job descriptions Next Project Board mtg 12 September	Alex Lawson	31/08/18
13	CR115 If the council does not develop a customer and digital strategy it will be unable to effectively transform the council and interface effectively with Publica to support transformation.	Mark Sheldon	Develop a customer and digital strategy and continue dialogue with Public ICT to articulate CBC's aspirations for transformation	4	3	12	4	3	12	Reduce	Draft Customer and Digital Strategy completed and is with People and Change Director for review. This has also been shared with Publica. Core modernisation team formed and modernisation governance structure and work stream document discussed with lead member and Director of People and Change. Team are currently working on a high level plan and timeframe which will include some of the key future decisions around digital.	Ann Wolstencroft	22/8/18
14	CR117 If the Council does not actively enter the market to purchase office accommodation, demand will continue to exceed supply and have a direct impact on the economy Request: Close risk	Dominic Stead	The Council will actively seek to purchase opportunities that come to the market.	4	3	12				Reduce	The Council has actively sought to purchase opportunities that come to the market, which primarily will provide economic benefit and secondary investment yield. SLT suggested that CBC cannot solely control this risk and requested that the risk is closed and monitored / managed locally. SLT agreed to close risk 4/9/2018	Simon Hodges	23/08/18

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15	CR119 If the implementation of phase 4 of the Cheltenham Transport Plan (trial closure of Boots Corner) causes significant and sustained disruption and / or if the intended benefits do not materialise then the Council may suffer reputational damage.	Tracey Crews	Action – Work with the Highways Authority to plan, communicate and monitor implementation so as to minimise disruption, being clear that phase 4 is a trial which seeks to understand the impacts of changes.	4	5	20	4	5	20	Reduce	Communications Plan defined and being implemented by CBC and GCC. Monitoring plan well developed. Some adverse comments being received from members of the public. No sign of significant and sustained disruption so far.	Ken Dale	31/08/18
16	CR120 If GCC decide on 10 October 2018, or at any point before or after this, that Cheltenham Borough Council is directed to direct delivery waste to Javelin Park (Energy for Waste Plant) then the Council will have a significant financial burden both in capital and revenue terms for 2019/20 and ongoing – current estimates are approximately £4.5m824k capital and £1.5m revenue.	Tim Atkins	Officer/member negotiation with GCC and contingency plans being drawn up to minimise reputational and financial impact on CBC	5 - Critical	5 - High	25	5 - Critical	5 - High	25	Reduce	GCC/TBC/CBC officers and members have met to try to progress a solution. Further work is taking place to safeguard CBC/TBC's position as far as possible and mitigate any financial or reputational risk. Members and Exec board are being updated regularly.	Karen Watson	26/07/2018
17	CR 121 If GCC decide on 10 October 2018, or at any point before or after this, that Cheltenham Borough Council is directed to deliver waste to Javelin Park (Energy for Waste Plant) then the Council will have a significant reputational risk to manage as the operational consequences on collections rounds may mean another route optimisation exercise will be required as undertaken in October 2017 with the resultant customer confusion, increased level of missed collections as crews get used to new rounds and the impact this will have on customer services as well as comprising the quality of the service provided.	Tim Atkins	Officer/member negotiation with GCC and contingency plans being drawn up to minimise reputational and financial impact on CBC	5 - Critical	5 - High	25	5 - Critical	5 - High	25	Reduce	GCC/TBC/CBC officers and members have met to try to progress a solution. Further work is taking place to safeguard CBC/TBC's position as far as possible and mitigate any financial or reputational risk. Members and Exec board are being updated regularly.	Karen Watson	26/07/2018
18	CR122 If the UK government and the EU cannot agree a deal for the UK to leave the European Union and CBC is not adequately prepared for the effect on its services e.g. elections, employment, financial planning etc. then the risk to its reputation and Service delivery could severely be impacted	Mark Sheldon	Consider the impact of a “No Deal” on their services Draft Brexit No Deal Action plan Inform Members of Actions and progress	5 - Critical	3 Low	15				Reduce	Director of Corporate Projects identified as lead officer for project. Action Plan under discussion Gov.uk commercial services contacted for details for audit on No Deal Brexit preparations. SWAP contacted for details on any cross partner Brexit No Deal audits being planned	Bryan Parsons	30/08/2018

Closed risks

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	CR118 If the Council does not effectively respond to the government's air quality directive to the authority, there may be reputational damage to the Council and potential impacts on investment	Mike Redman	We will commission the targeted feasibility study as required by DEFRA and consider an appropriate action plan in light of the results, consulting as appropriate with DEFRA and other stakeholders who may have a role to play.	4	2	8	4	2	8	Reduce	Complete required targeted feasibility study by 30th April, 2018 Closed as per July SLT	Sarah Clark	12/04/18
	If Severn Trent Water fail to deliver a list of adequate and fully assessed water distribution points for the Cheltenham area there is a risk that the most vulnerable citizens could be put at risk and the councils reputation could be adversely affected in the event of an incident.	Pat Pratley	Action –challenge and support STW to deliver a properly assessed list of Water Distribution points that cover the whole of the CBC area. Work with Parish Councils to identify water drop of points within their areas to support vulnerable people	5	5	20				Reduce	Contact senior management within STW to provide resources to deliver a list of adequate water distribution points Consider if O&S need to be advised SLT agreed that this was not required on CRR, to be managed by DEPLO	Bryan Parsons	02/07/18
	CR116 If the human and / or financial resources required to deliver the project are not identified adequately and put in place there may be a failure to deliver GDPR compliance. Risk is closed as covered by CR114	Mark Sheldon	All service Managers and Champions to be asked to identify any additional resources required to deliver GDPR compliance	3	3	9				Reduce	Currently identifying investment required to progress system updates and activity to ensure compliance.	Alex Lawson	6/04/18
10	CR108 - If the Council does not	Tim Atkins	The aims of the Car Parking	4 - Major	3 - Low	12	4 - Major	3 - Low	12	Reduce	Progress reported to Car Park Member Working Group in March, report with strategy to Cabinet planned for June	Mike Redman	10/04/17

	<p>have a coherent car parking strategy, there are risks of increased traffic congestion, customer dissatisfaction, loss of reputation and reduced economic performance. There are several strands to mitigating this Corporate Risk each will be managed through Divisional Risk registers.</p> <p>Risk closed at Oct SLT now that the parking strategy has now been approved by Cabinet and that progress on implementation is monitored through a 'Parking Programme Board' and OPB reporting.</p>		<p>Strategy are; 1.To ensure the provision of adequate car parking that is delivered effectively, logically and at a competitive cost, whilst encouraging access by more sustainable transport alternatives, including walking, cycling and public transport; 2.To help manage traffic, minimise congestion and its associated environmental impacts; 3.To enhance the visitor experience and thereby help to optimise the economy of the town.</p>								2017.		
11	<p>CR101 - Risk closed at Oct SLT If the council is not able to progress delivery of the 2020 Vision project, then the Council will have to look for alternative ways to deliver the £1.32m savings predicted to be realised over the 10 years of the programme – proposed corporate risk</p> <p>Suggest close this risk and create new one – see email to MS and PJ.</p>	Pat Pratley	<p>Work with elected Members and partners to progress delivery of the 2020 Vision project. The predicted end date is 30/9/2015 – when the 2020 business case will have been considered by all four councils.</p>	5 - Critical	3 - Low	15	3 - Marginal	3 - Low	9	Reduce	<p>The legal agreement including service specifications, CBC's service standards, KPI's and programme of support requirements, has been agreed with partner councils, S151 officers and one legal and is ready for formal sign in line with agreed delegated powers to the Chief Executive in consultation with key officers and members. . A meeting to discuss the documents with CBC Cabinet Lead Member and the Leader took place 19/10/17 ahead of a Publica Board meeting on 20/10/17 at which the principles were agreed and documents were informally 'signed off'.</p>	Pat Pratley	12/10/17
3	<p>CR107 - If the governments technical consultation New Homes Bonus - Sharpening the Incentive, leads to a reduction for the payment period from 6 to 4 years then this could have an estimated negative financial impact of between £1.5m and £1.8m, impact on the planning process</p>	Paul Jones	<p>the response to the government's consultation has been submitted and we await the outcome</p>	5 - Critical	3 - Low	15	4 - Major	5 - High	20	Reduce	<p>The Section 151 officer responded in January 2017 to the provisional 2017 Local Government Finance Settlement and is awaiting the outcome.</p> <p>Closed as per SLT</p>	Paul Jones	06/04/17

	effecting the ability to approve new developments in a timely manner and impact on CBC ability to deliver core frontline services													
11	<p>CR101 - If the council is not able to progress delivery of the 2020 Vision project, then the Council will have to look for alternative ways to deliver the £1.32m savings predicted to be realised over the 10 years of the programme – proposed corporate risk</p> <p>Suggest close this risk and create new one – see email to MS and PJ</p> <p>CR110 created.</p>	Pat Pratley	Work with elected Members and partners to progress delivery of the 2020 Vision project. The predicted end date is 30/9/2015 – when the 2020 business case will have been considered by all four councils.	5 - Critical	3 - Low	15	3 - Marginal	3 - Low	9	Reduce	The legal agreement including service specifications, CBC's service standards, KPI's and programme of support requirements, has been agreed with partner councils, S151 officers and one legal and is ready for formal sign in line with agreed delegated powers to the Chief Executive in consultation with key officers and members. . A meeting to discuss the documents with CBC Cabinet Lead Member and the Leader took place 19/10/17 ahead of a Publica Board meeting on 20/10/17 at which the principles were agreed and documents were informally 'signed off'.	Pat Pratley	12/10/17	
CR110	<p>If the Publica service specifications are not sufficiently flexible to accommodate the anticipated organisational transformation in the authority then there is a risk that the services will not meet the authority's needs in the future.</p> <p>Suggest close this risk</p> <p>Agreed to close risk at SLT MS to consider further</p>	Pat Pratley	<p>Mitigating action; Director of Corporate Resources and Projects leading on the service specification work with Publica with input from CBC client officers who work closely with service areas. Specifications will include a business partner approach which will mean that Publica staff will work closely with services to understand future requirements. CBC CX ensuring that Publica MD, Group Manager ICT, and Group Manager HR are kept up to date with CBC organisational transformation programme activities and that they are being actively engaged in the work currently being undertaken by Ignite to identify</p>	5	3	15	4	3	12	Reduce	<p>The final approved legal agreement and service specification documents included new functions including 'business partnering' and 'service transformation support' for the support services provided by Publica. This was agreed with partner councils and will facilitate the delivery of future CBC transformation programmes</p> <p>Meetings are set up to understand the Publica transformation programme and to determine if there are opportunities for CBC to align behind the programme or technologies which will support CBC transformation.</p>	Mark Sheldon	29/6/18	

			the future operating model for CBC.											
7	CR33 - If the council does not keep the momentum going with regards to the JCS and move towards adoption this could result in inappropriate development. transferred to Divisional risk register as per Exec Board	Tim Atkins	To fully participate in JCS examination in public with objective to facilitate actions required by the Inspector as quickly as possible to enable outstanding open issues to be closed and Inspector to progress to writing recommendations report.	4 - Major	4 - Moderate	16	1 - None	-1 None	q	Reduce	Close this risk. The JCS was adopted by all councils on the 11 th of December 2017. In Judicial Review Period until 22 January, but this is outside the control of CBC	Philip Stephenson	29/03/2018	